

**The Department of Homeland Security (DHS)  
Notice of Funding Opportunity (NOFO)  
Fiscal Year 2020 Port Security Grant Program (PSGP)**

**NOTE:** If you are going to apply for this funding opportunity and have **not** obtained a Data Universal Numbering System (DUNS) number and/or **are not** currently registered in the System for Award Management (SAM), please take immediate action to obtain a DUNS Number, if applicable, and then to register immediately in SAM. It may take 4 weeks or more after you submit your SAM registration before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information. Information on obtaining a DUNS number and registering in SAM is available from Grants.gov at: <http://www.grants.gov/web/grants/register.html>. Detailed information regarding DUNS and SAM is also provided in Section D of this NOFO, subsection, Content and Form of Application Submission.

**A. Program Description**

- 1. Issued By**  
U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA), Grant Programs Directorate (GPD)
- 2. Assistance Listings (formerly Catalog of Federal Domestic Assistance (CFDA) Number)**  
97.056
- 3. Assistance Listings Title (formerly CFDA Title)**  
Port Security Grant Program
- 4. Funding Opportunity Title**  
Port Security Grant Program
- 5. Funding Opportunity Number**  
DHS-20-GPD-056-00-01
- 6. Authorizing Authority for Program**  
Section 102 of the Maritime Transportation Security Act of 2002 (Pub. L. No. 107-295, as amended) (46 U.S.C. § 70107)
- 7. Appropriation Authority for Program**  
Department of Homeland Security Appropriations Act, 2020 (Pub. L. No. 116-93)
- 8. Announcement Type**  
New

## 9. Program Overview, Objectives, and Priorities

### Overview

The Fiscal Year (FY) 2020 Port Security Grant Program (PSGP) is one of four grant programs that constitute the Department of Homeland Security (DHS)/Federal Emergency Management Agency's (FEMA's) focus on transportation infrastructure security activities. These grant programs are part of a comprehensive set of measures authorized by Congress and implemented by DHS to help strengthen the Nation's critical infrastructure against potential terrorist attacks. PSGP provides funds to state, territorial, local, and private sector partners to support increased port-wide risk management and protect critical surface transportation infrastructure from acts of terrorism. Among the five basic homeland security missions noted in the 2018 DHS Quadrennial Homeland Security Review, PSGP supports the goal to Strengthen National Preparedness and Resilience.

The 2018-2022 FEMA Strategic Plan creates a shared vision for managing the risks posed by terrorism and sets an ambitious, yet achievable, path forward to unify and further professionalize emergency management across the country. PSGP supports the goals of Building a Culture of Preparedness and of Readyng the Nation for Catastrophic Disasters. We invite our stakeholders and partners to also adopt these priorities and join us in building a more prepared and resilient nation.

Finally, for FY 2020, DHS is focused on the criticality of information sharing and collaboration to building a national culture of preparedness and protecting against terrorism and other emerging threats to our national security. DHS and its homeland security mission were born from the "failures among federal agencies and between the federal agencies and state and local authorities to share critical information related to the threat of terrorism" prior to the September 11, 2001, attacks.<sup>1</sup> The threat profile has changed in the last two decades – we now face continuous cyber threats by sophisticated actors, threats to soft targets and crowded places, threats to our democratic election process and threats from new and emerging technologies. But information sharing and cooperation between state, local, and tribal authorities and federal agencies, including all DHS officials, is just as vital, and perhaps even more vital, today. Therefore, for FY 2020, we have identified [three] priority areas, tied to some of the most serious threats that recipients should address with their PSGP funds. Perhaps most importantly, DHS will be focused on forging partnerships to strengthen information sharing and collaboration in each of these priority areas and looking for recipients to remove barriers to communication and cooperation with DHS.

### Objectives

The objective of the FY 2020 PSGP is to provide funding to port authorities, facility operators, and State and local agencies for activities associated with implementing Area Maritime Security Plans (AMSPs), facility security plans, and other port-wide risk management efforts.

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<sup>1</sup>Homeland Security Act of 2002: Report Together with Minority and Dissenting Views 222, Select Committee on Homeland Security: 107th Congress, U.S. House of Representatives (2002) (H. Rpt. 107-609).

**Priorities**

Given the evolving threat landscape, it is incumbent upon DHS/FEMA to continuously evaluate the national risk profile and set priorities that help ensure appropriate allocation of scarce security dollars. In assessing the national risk profile for FY 2020, one area attracts the most concern:

- 1) Enhancing cybersecurity

Likewise, there are several enduring security needs that crosscut the homeland security enterprise. The following are second-tier priorities that help recipients implement a comprehensive approach to securing critical transportation infrastructure:

- 1) Enhancing the protection of soft targets/crowded places;
- 2) Addressing emerging threats (e.g., transnational criminal organizations, weapons of mass destruction [WMD], unmanned aerial systems [UASs], etc.);
- 3) Effective planning;
- 4) Training and awareness campaigns;
- 5) Equipment and capital projects; and
- 6) Exercises.

The table below provides a breakdown of these priority areas for the FY 2020 PSGP, showing both the core capabilities impacted, as well as examples of eligible project types for each area. A detailed description of allowable investments for each project type is included in the [Preparedness Grants Manual](#). As discussed in Section E, projects that sufficiently address the Cybersecurity National Priority will have their final review scores increased by a multiplier of twenty (20) percent.

**FY 2020 PSGP Funding Priorities**

Priority Areas	Core Capabilities	Lifelines	Example Project Types
<b>National Priorities</b>			
Enhancing Cybersecurity	<ul style="list-style-type: none"> <li>• Cybersecurity</li> <li>• Intelligence and information sharing</li> </ul>	<ul style="list-style-type: none"> <li>• Safety and security</li> <li>• Transportation</li> </ul>	<ul style="list-style-type: none"> <li>• Cybersecurity risk assessments</li> <li>• Projects that address vulnerabilities identified in cybersecurity risk assessments               <ul style="list-style-type: none"> <li>○ Improving cybersecurity of critical infrastructure to meet minimum levels identified by CISA</li> <li>○ Cybersecurity training and planning</li> </ul> </li> </ul>
<b>Enduring Needs</b>			
Enhancing the Protection of Soft Targets and Crowded Places	<ul style="list-style-type: none"> <li>• Operational coordination</li> <li>• Public information and warning</li> <li>• Intelligence and Information Sharing</li> <li>• Interdiction and disruption</li> <li>• Screening, search, and detection</li> <li>• Access control and identity verification</li> </ul>	<ul style="list-style-type: none"> <li>• Safety and security</li> <li>• Transportation</li> </ul>	<ul style="list-style-type: none"> <li>• Physical security enhancements at cruise and ferry terminals               <ul style="list-style-type: none"> <li>○ Explosive detection canine teams</li> <li>○ Security cameras (CCTV)</li> <li>○ Security screening equipment for people and baggage</li> <li>○ Access controls                   <ul style="list-style-type: none"> <li>▪ Landside fencing, gates, barriers, etc.</li> </ul> </li> </ul> </li> </ul>

Priority Areas	Core Capabilities	Lifelines	Example Project Types
	<ul style="list-style-type: none"> <li>Physical protective measures</li> <li>Risk management for protection programs and activities</li> </ul>		<ul style="list-style-type: none"> <li>Marine (floating) barriers to prevent access to sensitive berthing areas</li> <li>Enhanced security aboard ferries <ul style="list-style-type: none"> <li>Explosive detection canine teams</li> <li>Security cameras (CCTV)</li> </ul> </li> <li>Rapid response boats for preventing or responding to security incidents on waterways, especially in and around airports, cruise terminals, ferry terminals, etc.</li> </ul>
Addressing Emerging Threats, such as Transnational Criminal Organizations, WMD and UAS	<ul style="list-style-type: none"> <li>Interdiction and disruption</li> <li>Screening, search and detection</li> <li>Physical protective measures</li> <li>Intelligence and information sharing</li> </ul>	<ul style="list-style-type: none"> <li>Safety and security</li> <li>Transportation</li> </ul>	<ul style="list-style-type: none"> <li>Sharing and leveraging intelligence and information</li> <li>Chemical Biological Radiological Nuclear and Explosive (CBRNE) prevention, detection, response, and recovery equipment</li> <li>UAS detection technologies</li> </ul>
Planning	<ul style="list-style-type: none"> <li>Planning</li> <li>Risk management for protection programs and activities</li> <li>Risk and disaster resilience assessment</li> <li>Threats and hazards identification</li> <li>Operational coordination</li> <li>Community resilience</li> </ul>	<ul style="list-style-type: none"> <li>Safety and security</li> <li>Transportation</li> </ul>	<ul style="list-style-type: none"> <li>Development of: <ul style="list-style-type: none"> <li>Port-wide Security Risk Management Plans</li> <li>Continuity of Operations Plans</li> <li>Response Plans</li> </ul> </li> <li>Efforts to strengthen governance integration between/among regional partners</li> </ul>
Training and Awareness	<ul style="list-style-type: none"> <li>Long-term vulnerability reduction</li> <li>Public information and warning</li> <li>Operational coordination</li> <li>Situational assessment</li> <li>Community resilience</li> </ul>	<ul style="list-style-type: none"> <li>Safety and security</li> <li>Transportation</li> </ul>	<ul style="list-style-type: none"> <li>Active shooter training</li> <li>Shipboard firefighting training</li> <li>Public awareness/preparedness campaigns</li> <li>Maritime domain awareness projects</li> </ul>
Equipment and Capital Projects	<ul style="list-style-type: none"> <li>Long-term vulnerability reduction</li> <li>Infrastructure systems</li> <li>Operational communications</li> <li>Interdiction and disruption</li> <li>Screening, search and detection</li> <li>Access control and identity verification</li> <li>Physical protective measures</li> </ul>	<ul style="list-style-type: none"> <li>Safety and security</li> <li>Transportation</li> </ul>	<ul style="list-style-type: none"> <li>Implementing risk management projects that support port resilience and recovery</li> <li>Implementing physical security enhancement projects</li> <li>Transportation Worker Identification Credential (TWIC) projects</li> </ul>
Exercises	<ul style="list-style-type: none"> <li>Long-term vulnerability reduction</li> <li>Operational coordination</li> <li>Operational Communications</li> <li>Community resilience</li> </ul>	<ul style="list-style-type: none"> <li>Safety and security</li> <li>Transportation</li> </ul>	<ul style="list-style-type: none"> <li>Response exercises</li> </ul>

## 10. Performance Metrics

Performance metrics for this program are as follows:

- Percentage of funding allocated by the recipient to core capabilities to build or sustain the national priorities identified in the section above.

## B. Federal Award Information

- |   |               |
|---|---------------|
| 1. Available Funding for the NOFO:                | \$100 million |
| 2. Period of Performance:                         | 36 months     |
| 3. Projected Period of Performance Start Date(s): | 9/01/2020     |
| 4. Projected Period of Performance End Date(s):   | 8/31/2023     |
| 5. Funding Instrument Type:                       | Grant         |

## C. Eligibility Information

### 1. Eligible Applicants

All entities subject to an AMSP, as defined by 46 U.S.C. § 70103(b), may apply for PSGP funding. Eligible applicants include, but are not limited to, port authorities, facility operators, and State and local government agencies. A facility operator owns, leases, or operates any structure or facility of any kind located in, on, under, or adjacent to any waters subject to the jurisdiction of the United States. Examples of facility operators include, but are not limited to, terminal operators, ferry systems, bar/harbor pilots, and merchant's exchanges. See the "Applications Submitted by Eligible Entities" section below for further detail.

### 2. Applicant Eligibility Criteria

Pursuant to the *Maritime Transportation Security Act of 2002* (MTSA), as amended, DHS established a risk-based grant program to support maritime security risk management. Funding is directed towards the implementation of AMSPs, Facility Security Plans (FSPs), and Vessel Security Plans (VSPs) among port authorities, facility operators, and State and local government agencies that are required to provide port security services. In administering the grant program, national, economic, energy, and strategic defense concerns based upon the most current risk assessments available will be considered.

### Port Area Definition

A Port Area is a location on a coast, shore, or inland waterway containing one or more harbors where vessels can dock and transfer people or cargo to or from land. For the purpose of PSGP, the presence of MTSA-regulated facilities are the primary consideration of harbors that define a Port Area.

### **Applications Submitted by Eligible Entities**

Subject to the information and exceptions in this section, ***an eligible entity may submit only one application within each Port Area. An application may contain up to five investment justifications.*** (See Section D, below, for further instructions regarding investment justifications.)

- A single eligible entity may have multiple facilities, departments, subcomponents, or agencies operating within a Port Area. ***FEMA will generally view multiple agencies within a local government (e.g., police department, fire department, emergency management office) operating within one Port Area as a single eligible entity.*** An applicant's DUNS number and EIN will help inform FEMA's determination of which applicants may constitute a single eligible entity.
  - An eligible entity operating multiple facilities, departments, subcomponents, or agencies within a single Port Area may choose to submit separate applications for facilities, departments, subcomponents, or agencies within it, but any such separate applications will be considered part of the same eligible entity for purposes of the cost share requirements, as discussed further below.
  - If a single eligible entity chooses to have its components submit separate applications, each individual facility, department, subcomponent, or agency of that single eligible entity should submit no more than one application. For example, a police department should submit no more than one collective application. If an individual facility, department, subcomponent, or agency of an eligible entity submits more than one application for a single Port Area, FEMA reserves the discretion to consolidate the projects or determine which application(s) to approve or deny.
- Funding allocation decisions are based partially on Port Area risk. Therefore, ***no single application should include investment justifications for projects intended to be implemented in multiple Port Areas.*** For example, a State agency or facility operator that operates in multiple Port Areas must submit separate applications to fund projects in each Port Area.

### **Compliance with Maritime Security Regulations**

As a condition of eligibility, all PSGP applicants must be fully compliant with relevant Maritime Security Regulations (33 C.F.R. Parts 101-106). Any applicant who, as of the grant application deadline, has an open or outstanding Notice of Violation (NOV) will not be considered for PSGP funding if:

1. The applicant has failed to pay the NOV within 45 days of receipt of the NOV and the applicant has failed to decline the NOV within 45 days of receipt of the NOV, resulting in the U.S. Coast Guard entering a finding of default in accordance with 33 C.F.R. § 1.07- 11(f)(2); or
2. The applicant appealed the NOV pursuant to 33 C.F.R § 1.07-70 and received a final appeal decision from the Commandant, U.S. Coast Guard, as described in 33 C.F.R. §

1.07-75, and failed to come into compliance with the terms of the final appeal decision within the timelines noted herein. The local U. S. Coast Guard (USCG) Captain of the Port (COTP) will verify security compliance eligibility during the field review process. Eligibility does not guarantee grant funding.

### **Ferry Systems**

Ferry systems are eligible to apply for FY 2020 PSGP funds. However, any ferry system receiving funds under the FY 2020 PSGP will not be eligible for funding under the FY 2020 Transit Security Grant Program (TSGP). Likewise, any ferry system that participates in the TSGP will not be eligible for funding under the PSGP.

### **Subawards**

***Subawards are prohibited under PSGP.*** Applicants are also prohibited from applying on behalf of other, separate entities. Notwithstanding this prohibition, however, community-based projects, to include planning, training, and exercises that may include multiple beneficiaries (e.g., a port authority hosts a large training session or exercise) in which the applicant applies for and administers the grant award are allowable.

### **3. Other Eligibility Criteria**

Prior to allocation of any Federal preparedness awards in FY 2020, recipients must adopt and/or maintain implementation of the National Incident Management System (NIMS). Please see the [Preparedness Grants Manual](#) for further information on NIMS.

### **4. Cost Share or Match**

The FY 2020 PSGP has a cost share requirement. The non-Federal entity contribution can be cash (hard match) or third-party in-kind (soft match), with the exception of construction activities, which must be a cash (hard) match. In-kind contributions are defined as third-party contributions per 2 C.F.R. § 200.306.

All applicants will be required to commit to the cost share requirement at the time of application. ***The required cost share is based on and calculated against the total of all PSGP funds awarded to an eligible entity as described in the “Applications Submitted by Eligible Entities” section above during this fiscal year within a single Port Area.*** For example, if an entity operates multiple facilities within the same Port Area, FEMA will view these projects collectively for purposes of determining the appropriate cost share. As a result, multiple components within a single eligible entity (e.g., port authority, facility operator, local government, or State government) are strongly encouraged to coordinate their applications if they apply separately (even if addressing multiple, disparate projects within the port area) for these cost share purposes.

### **Public Sector Cost Share**

***All public sector and non-governmental, nonprofit PSGP award recipients—meaning recipients other than private, for-profit entities—must provide a non-Federal entity contribution supporting 25 percent of the total of all project costs as submitted in the application and approved in the award.*** The non-Federal contribution should be specifically identified for each proposed project. The non-Federal contribution, whether

cash or third-party in-kind match, has the same eligibility requirements as the Federal share (e.g., operational costs for routine patrol are ineligible, and operational costs for overtime to conduct an approved exercise may be eligible as part of the investment justification) and must be justified as part of the project within the investment justification. For example, if the Federal award for a public sector recipient requires a 25 percent cost share and the total project cost is \$100,000, then:

- Federal share is 75 percent of \$100,000 = \$75,000
- Recipient cost share is 25 percent of \$100,000 = \$25,000

### **Private Sector Cost Share**

***Private, for-profit PSGP award recipients must provide a non-Federal entity contribution supporting 50 percent of the total of all project costs as submitted in the application and approved in the award.*** The non-Federal entity contribution should be specifically identified for each proposed project. The non-Federal contribution, whether cash (hard) or third-party in-kind (soft), has the same eligibility requirements as the Federal share (e.g., operational costs for routine patrol are ineligible, and operational costs for overtime to conduct an approved exercise may be eligible as part of the investment justification) and must be justified as part of the project within the investment justification. For example, if the Federal award for a public sector recipient requires a 50 percent cost share and the total project cost is \$100,000, then:

- Federal share is 50 percent of \$100,000 = \$50,000
- Recipient cost share is 50 percent of \$100,000 = \$50,000

Ultimately, the recipient is responsible for ensuring that it contributes the proper cost share to its actual project costs. ***If actual total project costs exceed the projected total project costs stated in the Federal Award, the recipient will not receive any additional Federal funding and will be responsible for contributing additional funds above the required cost match.*** If actual total project costs are less than the projected total project costs stated in the Federal Award, the recipient will be responsible for contributing a cost match calculated as a percentage of those actual project costs.

Cash and third-party in-kind matches must consist of eligible costs (i.e., same allowability as the Federal share) and must be identified as part of the submitted budget detail worksheet. A cash-match includes cash spent for project-related costs, while a third-party in-kind match includes the valuation of in-kind services. The cost match requirement for the PSGP award may not be met by funds from another Federal grant or assistance program, or by funds used to meet matching requirements for another Federal grant program, unless otherwise permitted by Federal statute. Likewise, third-party in-kind matches used to meet the matching requirement for the PSGP award may not be used to meet matching requirements for any other Federal grant program. Additionally, normal routine operational costs cannot be used as cost match unless a completely new capability is being awarded. Please see 2 C.F.R. § 200.306, as applicable, for further guidance regarding cost matching.

## Exceptions to the Cost-Match Requirements

The following exceptions to the cost-match requirement may apply:

- ***The cost-match requirements for projects that have a port-wide benefit need only to be funded at the public-sector matching fund level of 25 percent. These projects must be certified by the COTP as having a port-wide benefit.*** Examples of projects with a port-wide benefit include, but are not limited to:
  - Port-wide planning, training, and exercises;
  - Security camera systems with shared access;
  - Response vessels; and
  - Other maritime domain awareness systems.
- There is no matching requirement for grant awards where the total project cost for all projects under the award is \$25,000 or less in accordance with 46 U.S.C. § 70107(c)(2)(A). If multiple small projects are submitted totaling more than \$25,000 under this exemption, a cost match is required to be demonstrated at the time of application.
- There is no matching requirement for grants to train law enforcement agency personnel in the enforcement of security zones as defined by 46 U.S.C. § 70132 or in assisting in the enforcement of such security zones.
- Requests for cost-match waivers as outlined in 46 U.S.C. § 70107(c) may be considered for successful applicants only after awards have been made. Applicants must have demonstrated the ability to comply with the cost match requirement at the time of application and since being awarded the grant, have experienced significant financial constraints as outlined in [DHS/FEMA Information Bulletin \(IB\) 376](#), (i.e., specific economic issues preclude provision of the cost-share identified in the original grant application). Cost-share waiver requests that do not demonstrate new, post-award difficulties and cost-share waivers submitted at the time of application will not be considered. Cost-share waiver requests must comply with the process identified in IB 376.

## D. Application and Submission Information

### 1. Key Dates and Times:

- a. Application Start Date:** 2/14/2020
- b. Application Submission Deadline:** 4/30/2020 ~~4/15/2020~~ at 5:00 p.m. ET

All applications must be received by the established deadline. The Non-Disaster (ND) Grants System has a date stamp that indicates when an application is submitted. Applicants will receive an electronic message confirming receipt of the full application. ***DHS/FEMA will not review applications that are not received by the deadline or consider these late applications for funding.*** DHS/FEMA may, however, extend the application deadline on request for any applicant who can demonstrate that good cause exists to justify extending the deadline. Good cause for an extension may include technical problems outside of the applicant's control that prevent submission of the application by the deadline or other exigent or emergency circumstances.

Applicants experiencing technical issues must notify the FEMA Headquarters (HQ) Program Analyst prior to the application deadline. If applicants do not know their FEMA HQ Program Analyst or if there are programmatic questions or concerns, please contact the Centralized Scheduling and Information Desk (CSID) by phone at (800) 368-6498 or by e-mail at [askcsid@fema.dhs.gov](mailto:askcsid@fema.dhs.gov), Monday through Friday, 9 a.m. – 5 p.m. ET.

**c. Anticipated Funding Selection Date:** *No later than 7/1/2020*

**d. Anticipated Award Date:** *No later than 9/30/2020*

**e. Other Key Dates:**

<b>Event</b>	<b>Suggested Deadline for Completion</b>
Obtaining DUNS Number	3/16/2020 <del>3/1/2020</del>
Obtaining a valid EIN	3/16/2020 <del>3/1/2020</del>
Updating SAM registration	3/16/2020 <del>3/1/2020</del>
Completing the initial application in Grants.gov	4/23/2020 <del>4/8/2020</del>
Completing application in NDGrants	4/30/2020 <del>4/15/2020</del> by 5pm Eastern Time

**2. Agreeing to Terms and Conditions of the Award**

By submitting an application, applicants agree to comply with the requirements of this NOFO and the terms and conditions of the award, should they receive an award.

**3. Address to Request Application Package**

Application forms and instructions are available on Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Applicants” then “Apply for Grants. Hard copies of the NOFO and associated application materials are not available. In order to obtain the application package, select “Download a Grant Application Package.” Enter the Assistance Listings (formerly CFDA) and/or the funding opportunity number located on the cover of this NOFO, select “Download Package,” and then follow the prompts to download the application package.

In addition, the following Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this Notice and all relevant NOFOs is (800) 462-7585. Initial applications are processed through the Grants.gov portal. Final applications are completed and submitted through FEMA’s Non-Disaster Grants (ND Grants) System. Application forms and instructions are available at Grants.gov. Applications will be processed through the Grants.gov portal and ND Grants.

#### **4. Steps Required to Submit an Application, Unique Entity Identifier, and System for Award Management (SAM)**

To apply for an award under this program, all applicants must:

- a. Apply for, update, or verify their Data Universal Numbering System (DUNS) Number from Dun & Bradstreet (D&B) and Employer ID Number (EIN)
- b. In the application, provide a valid Data Universal Numbering System DUNS number, which is currently the unique entity identifier;
- c. Have an account with [login.gov](https://login.gov);
- d. Register for, update, or verify their SAM account and ensure the account is active before submitting the application;
- e. Create a Grants.gov account;
- f. Add a profile to a Grants.gov account;
- a. Establish an Authorized Organizational Representative (AOR) in Grants.gov;
- b. Submit an initial application in Grants.gov;
- g. Submit the final application in the Non-Disaster Grants (ND Grants) system and
- h. Continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by a federal awarding agency.

Applicants are advised that DHS may not make a federal award until the applicant has complied with all applicable DUNS and SAM requirements. Therefore, an applicant's SAM registration must be active not only at the time of application, but also during the application review period and when DHS is ready to make a federal award. Further, as noted above, an applicant's or recipient's SAM registration must remain active for the duration of an active federal award. If an applicant's SAM registration is expired at the time of application, expires during application review, or expires any other time before award, DHS may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

#### **5. Electronic Delivery**

DHS is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. DHS encourages or requires applicants to submit their applications online through Grants.gov, depending on the funding opportunity. For this funding opportunity, the DHS PSGP requires applicants to submit initial applications through Grants.gov and final applications in ND Grants.

#### **6. How to Register to Apply through Grants.gov**

- a. *Instructions:* Registering in Grants.gov is a multi-step process. Read the instructions below about registering to apply for DHS funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

The registration process can take up to four weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required application submission deadlines.

Organizations must have a Data Universal Numbering System (DUNS) Number, active System for Award Management (SAM) registration, and Grants.gov account to apply for grants. If individual applicants are eligible to apply for this grant funding opportunity, then you may begin with step 3, Create a Grants.gov account, listed below.

Creating a Grants.gov account can be completed online in minutes, but DUNS and SAM registrations may take several weeks. Therefore, an organization's registration should be done in sufficient time to ensure it does not impact the entity's ability to meet required application submission deadlines. Complete organization instructions can be found on Grants.gov here:

<https://www.grants.gov/web/grants/applicants/organization-registration.html>

- 1) *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a DUNS number from Dun & Bradstreet (D&B). Applicants must enter the DUNS number in the data entry field labeled "Organizational DUNS" on the SF-424 form.

For more detailed instructions for obtaining a DUNS number, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

- 2) *Register with SAM:* All organizations applying online through Grants.gov must register with the System for Award Management (SAM). Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually.

For more detailed instructions for registering with SAM, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

- 3) *Create a Grants.gov Account:* The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the detailed instructions here: <https://www.grants.gov/web/grants/applicants/registration.html>

- 4) *Add a Profile to a Grants.gov Account:* A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the DUNS Number for the organization in the DUNS field while adding a profile.

For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/web/grants/applicants/registration/add-profile.html>

- 5) *EBiz POC Authorized Profile Roles*: After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the EBiz POC. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role.

For more detailed instructions about creating a profile on Grants.gov, refer to:  
<https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>

- 6) *Track Role Status*: To track your role request, refer to:  
<https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>
- 7) *Electronic Signature*: When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC *must* authorize people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; *this step is often missed, and it is crucial for valid and timely submissions.*

## 7. How to Submit an Application to DHS via Grants.gov

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each NOFO, you can create individual instances of a workspace. Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities using Workspace, refer to:  
<https://www.grants.gov/web/grants/applicants/workspace-overview.html>

- a. *Create a Workspace*: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- b. *Complete a Workspace*: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
- c. *Adobe Reader*: If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:

<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

- d. *Mandatory Fields in Forms:* In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
  - e. *Complete SF-424 Fields First:* The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.
  - f. *Submit a Workspace:* An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
  - g. *Track a Workspace Submission:* After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace. For additional training resources, including video tutorials, refer to: <https://www.grants.gov/web/grants/applicants/applicant-training.html>
  - h. *Applicant Support:* Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at [support@grants.gov](mailto:support@grants.gov). For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for. If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist DHS with tracking your issue and understanding background information on the issue.
- 8. Submitting the Final Application in Non-Disaster Grants System (ND Grants)**  
Please see the [Preparedness Grants Manual](#) for information on preparing and submitting an application. For assistance registering for the ND Grants system, please contact [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076. For step-by-step directions on using the ND Grants system and other guides, please see <https://www.fema.gov/non-disaster-grants-management-system>.
- 9. Timely Receipt Requirements and Proof of Timely Submission**
- a. All applications must be received by 5:00 p.m. Eastern time on April 30, 2020. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully

received by Grants.gov. The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When DHS successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role who submitted the application. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by DHS. Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role attempting to submit the application. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application.

- b. As application submission is a two-step process, the applicant with the Authorized Organizational Representative (AOR) role who submitted the application will receive an acknowledgment of receipt, a tracking number (GRANTXXXXXXXX) from Grants.gov, and ND Grants application number (EMW-2020-PU-APP-00XXX) with the successful transmission of the initial application. This notification does not serve as proof of timely submission as the application is not complete until it is submitted in the ND Grants system. All applications must be received in the ND Grants system by **5:00 PM Eastern Time on April 30, 2020.**

## **10. Content and Form of Application Submission**

### **Specific Application Instructions (PSGP)**

All applicants will submit their PSGP grant applications, the associated Investment Justifications (IJs), including detailed budgets and any associated Memoranda of Understanding (MOU)/Memoranda of Agreement (MOA) as file attachments within ND Grants prior to the application deadline.

### **Priority Investments (PSGP)**

#### **Cybersecurity**

Cybersecurity investments must support the security and functioning of critical infrastructure and core capabilities as they relate to achieving target capabilities related to preventing, preparing for, protecting against, or responding to acts of terrorism. *Due to the urgent nature of this issue, FEMA anticipates awarding at*

***least 50% of FY 2020 PSGP funding to projects that support this priority. This goal will likely increase in future award rounds.***

**Investment Justification**

As part of the FY 2020 PSGP application process, applicants must use the formal IJ template to address each initiative being proposed for funding. A separate IJ should be submitted for each proposed project. ***Please refer to the “Applications Submitted by Eligible Entities” language in Section C above regarding the limitations on the number of applications per eligible entity or facilities, departments, subcomponents, or agencies within a single eligible entity. No single application or IJ may include projects intended to be implemented in different Port Areas, subject to the provisions of this section, below. Applicants may submit up to five IJs within a single application.***

IJs must demonstrate how proposed projects address gaps and deficiencies in one or more of the core capabilities outlined in the Goal. In the IJ, the applicant must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by DHS/FEMA. PSGP projects must be both 1) feasible and effective at reducing the risks for which the project was designed; and 2) able to be fully completed within the thirty-six (36) month period of performance. For information on the feasibility and effectiveness determination, please see the Review and Selection Process as outlined in this NOFO.

***For the purposes of a PSGP application, a Port Area is selected for funding based on the project location. Eligible entities that have facilities in multiple Port Areas should apply for projects based on the Port Area where the project/asset will be implemented, housed, or maintained, not the entity’s headquarters location.*** For entities submitting applications for a single project that spans multiple Port Areas, such as one patrol vessel that may be deployed outside of the primary Port Area, the project location is considered to be the predominant Port Area in which the project will be utilized. Large projects that implement multiple components in multiple Port Areas, such as State agency purchases of multiple patrol vessels for multiple Port Areas, should be submitted as separate applications (e.g., State Police vessel project in Port Area #1 is one application; State Police vessel project in Port Area #2 is a separate application). All eligible and complete applications will be provided to the applicable COTP for further review.

Applicants seeking to participate in large-scale regional projects requiring the purchase of services or equipment should directly reference this need in their applications. Applicants should specify their portion of the requested project funding and role in the project. Applicants should also note if their portion of a project can be completed independently of the large-scale regional project. Applicants will find the IJ template on Grants.gov in the “Related Documents” tab of the PSGP posting. This IJ template must be used for each project submitted. Applicants must provide information in the following categories for each proposed investment:

1. Background
2. Strategic and Program Priorities
3. Impact
4. Funding/Implementation Plan

Applicants must use the following file naming convention when submitting an IJ as part of the FY 2020 PSGP:

***Name of Applicant\_Name of Project\_IJ Number (Example: XYZ  
Oil\_Fencing\_IJ#1)***

### **Detailed Budget**

All applicants must provide budget detail worksheets that include project milestones for the funds requested at the time of application. The detailed budget must be complete, reasonable, and cost-effective in relation to the proposed project and should provide the basis of computation of all project-related costs (including management and administrative costs) and any appropriate narrative. Review panels must be able to thoroughly evaluate the projects being submitted based on the information provided. Consequently, applicants must provide an appropriate level of detail within the budget detail worksheets to clarify what will be purchased and spent. These worksheets may be used as a guide to assist applicants in the preparation of budgets and budget narratives.

***Applications that do not include a detailed budget narrative will not be considered for funding.*** Detailed budgets often assist reviewers in determining what type of equipment or service is being purchased, which may assist in determining the effectiveness of a project. Additionally, a detailed budget must demonstrate the required cost share, either cash (hard) or third-party in-kind (soft), of the recipient based on the projected project cost. Applications failing to demonstrate the required cost share will not be considered for funding.

Cash and third-party in-kind matches must consist of eligible costs (i.e., same allowability as the Federal share) and must be identified as part of the submitted budget detail worksheet. A cash (hard) match includes cash spent for project-related costs while a third-party in-kind (soft) match includes the valuation of in-kind services. The cost-match requirement for a PSGP award may not be met by funds from another Federal grant or assistance program or funds used to meet matching requirements for another Federal grant program. Likewise, third-party in-kind matches used to meet the matching requirement for the PSGP award may not be used to meet matching requirements for any other Federal grant program. Please see “Cost Share” in section C of this NOFO, also reference 2 C.F.R. § 200.306, as applicable, for further guidance regarding cost matching. Applicants must use the following file naming convention when submitting their budget detail worksheets as part of the FY 2020 PSGP:

***Name of Applicant\_Name of Project\_Budget Number (Example: XYZ  
Oil\_Fencing\_Budget #1)***

**Memorandum of Understanding/Memorandum of Agreement (MOU/MOA)  
Requirement for Security Services Providers**

State and local agencies that are required to provide security services to one or more MTSA regulated facilities within a Port Area may apply for PSGP funding. However, *a signed MOU/MOA between the security service agency and the MTSA regulated facilities receiving these services within the applicant port area will be required prior to receipt of PSGP funding* and must include an acknowledgement of the security services, roles, and responsibilities of all entities involved. This information must be maintained by the grant recipient and provided to DHS/FEMA upon request; or verification through the field review process that the agency is identified within the Area Maritime Security Plan as an entity that provides maritime security services.

The MOU/MOA must address the following points:

- The nature of the security service that the applicant agrees to supply to the MTSA regulated facility (waterside surveillance, increased screening, etc.);
- The roles and responsibilities of the MTSA regulated facility and the applicant during different Maritime Security (MARSEC) levels;
- An acknowledgement by the MTSA regulated facility that the applicant is part of the facility's security plan; and
- An acknowledgment that the applicant will provide semi-annual progress reports on project status to the local applicable Area Maritime Security Committee (AMSC) and/or COTP.

The signed MOU/MOA for State or local agencies providing security services to regulated entities should be submitted with the grant application as a file attachment within ND Grants (<https://portal.fema.gov>). A sample MOU/MOA can be found in the [Preparedness Grants Manual](#). Applicants must use the following file naming convention for FY 2020 MOUs and MOAs:

*Name of Applicant\_MOU (Example: Harris County\_MOU)*

**Sensitive Security Information (SSI) Requirements**

A portion of the information that is routinely submitted in the course of applying for funding or reporting under certain programs or that is provided in the course of an entity's grant management activities under those programs that are under Federal control is subjected to protection under SSI requirements and must be properly identified and marked. SSI is a control designation used by DHS/FEMA to protect transportation security related information. It is applied to information about security programs, vulnerability and threat assessments, screening processes, technical specifications of certain screening equipment and objects used to test screening equipment, and equipment used for communicating security information relating to air, land, or maritime transportation. Further information can be located in Title 49, Part 1520, Sections 1 to 19 of the Code of Federal Regulations (49 C.F.R. §§ 1520.1-15.20.19).

For the purposes of the PSGP, and due to the high-frequency of SSI found in IJs, all IJs shall be considered SSI and treated as such until they have been subject to review for SSI

by DHS/FEMA. This means that applicants shall label these documents as SSI in accordance with 49 C.F.R. § 1520.13.

## **11. Other Submission Requirements**

### **Emergency Communications and Resilience**

All entities using PSGP funding to support emergency communications investments are required to comply with the [SAFECOM Guidance on Emergency Communications Grants \(SAFECOM Guidance\)](#). More information on Emergency Communications can be found in the [Preparedness Grants Manual](#).

## **12. Intergovernmental Review**

An intergovernmental review may be required. Applicants must contact their state's Single Point of Contact (SPOC) to comply with the state's process under Executive Order 12372. (See <https://www.archives.gov/federal-register/codification/executive-order/12372.html>; <https://www.whitehouse.gov/wp-content/uploads/2019/02/SPOC-February-2019.pdf>).

## **13. Funding Restrictions**

All costs charged to awards covered by this NOFO must comply with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements at 2 C.F.R. Part 200, unless otherwise indicated in the NOFO, the terms and conditions of the award, or the [Preparedness Grants Manual](#). For more information on FEMA's implementation of 2 C.F.R. Part 200, see Information Bulletin (IB) No. 400.

Federal funds made available through this award may be used for the purpose set forth in this award and must be consistent with the statutory authority for the award. Award funds may not be used for matching funds for any other federal awards, 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. See the [Preparedness Grants Manual](#) for more information on funding restrictions and allowable costs. For additional information on allowable costs and Funding Restrictions, please refer to the [Preparedness Grants Manual](#).

## **14. Allowable Costs**

### **a. Pre-Award Costs**

Pre-award costs are not allowable and will not be approved, with the exception of costs resulting from pre-award grant writing services provided by an independent contractor that shall not exceed \$1,500.

### **b. Management and Administration (M&A) Costs**

Management and administration costs are allowed. Recipients may use *up to 5* percent of the amount of the award for their M&A costs. M&A activities are those defined as directly relating to the management and administration of PSGP funds, such as financial management and monitoring. M&A expenses must be based on

actual expenses or known contractual costs. Requests that are simple percentages of the award, without supporting justification, will not be allowed or considered for reimbursement.

M&A costs are not operational costs. They are the necessary costs incurred in direct support of the grant or as a consequence of the grant and should be allocated across the entire lifecycle of the grant. Examples include preparing and submitting required programmatic and financial reports, establishing and/or maintaining equipment inventory, documenting operational and equipment expenditures for financial accounting purposes; and responding to official informational requests from State and Federal oversight authorities.

If an applicant uses an outside consultant or contractor to provide pre-award grant writing services or post-award grant management services, the following considerations and restrictions shall apply.

**c. Authorized Use of Contractual Grant Writers and/or Grant Managers**

A grant applicant may procure the services of a contractor to provide support and assistance for pre-award grant development services (grant writing) or post-award grant management and administrative services (grant management). As with all Federal grant-funded procurements, grant writer or grant management services must be procured in accordance with the Federal procurement standards at 2 C.F.R. §§ 200.317 – 200.326. See the [Preparedness Grants Manual](#) regarding Procurement Integrity, particularly the sections applicable to non-State entities that discuss organizational conflicts of interest under 2 C.F.R. § 200.319(a) and traditional conflicts of interest under 2 C.F.R. § 200.318(c)(1).

DHS/FEMA considers a contracted grant writer to be an agent of the recipient for any subsequent contracts the recipient procures under the same Federal award in which the grant-writer provided grant writing services. Federal funds and funds applied to a Federal award's cost share generally cannot be used to pay a contractor to carry out the work if that contractor also worked on the development of such specifications. A state must follow the same policies and procedures it uses for procurements of its non-Federal funds, pursuant to 2 C.F.R. § 200.317.

Regardless of whether an applicant or recipient uses grant writing and/or grant management services, the recipient is solely responsible for the fiscal and programmatic integrity of the grant and its authorized activities and expenditures. The recipient must ensure adequate internal controls, including separation of duties, to safeguard grant assets, processes, and documentation, in keeping with the terms and conditions of its award, including this NOFO, and 2 C.F.R. Part 200.

**d. Grant Writers**

Grant writing contractors may assist the applicant in preparing, writing, and finalizing grant application materials and assisting the applicant with handling online application and submission requirements in [Grants.gov](#) and [ND Grants](#). Grant writers may assist in a variety of ways up to and including the actual submission of the

application. Ultimately, however, the applicant that receives an award is solely responsible for all grant award and administrative responsibilities.

By submitting the application, applicants certify that all of the information contained therein is true and an accurate reflection of the organization and that regardless of the applicant's intent, the submission of information that is false or misleading may result in actions by DHS/FEMA. These actions include but are not limited to the submitted application not being considered for an award, temporary withholding of funding under the existing award pending investigation, or referral to the DHS Office of the Inspector General.

To assist applicants with the cost of grant writing services, DHS/FEMA is permitting a one-time pre-award cost of no more than \$1,500 per applicant per year for contractual grant writing services as part of the recipient's M&A costs. This is only intended to cover costs associated with a grant writer and may not be used to reimburse the applicant for their own time and effort in the development of a grant application. Additionally, the applicant may be required to pay this fee with its own funds during the application preparation and submission period; if the applicant subsequently receives an award, the applicant may then request to be reimbursed once grant funds become available for that cost, not to exceed \$1,500. If the applicant does not receive an award, this cost will not be reimbursed by the Federal Government. The applicant must understand this risk and be able to cover this cost if an award is not made.

If an applicant intends to request reimbursement for this one-time pre-award cost, *it must include this request in its application materials*, including in the budget detail worksheet for each IJ. Failure to clearly identify this as a separate cost in the application may result in its disallowance. This is the only pre-award cost eligible for reimbursement. Recipients must maintain grant writer fee documentation including, but not limited to, a copy of the solicitation, such as a quote request, rate request, invitation to bid, or request for proposals, if applicable; a copy of the grant writer's contract agreement; a copy of the invoice or purchase order; and a copy of the cancelled check or proof of payment. These records must be made available to DHS/FEMA upon request.

Pursuant to 2 C.F.R. Part 180, recipients may not use Federal grant funds to reimburse any entity, including a grant writer or preparer, if that entity is presently suspended or debarred by the Federal Government from receiving funding under Federally funded grants or contracts. Recipients must verify that the contractor is not suspended or debarred from participating in specified Federal procurement or non-procurement transactions pursuant to 2 C.F.R. § 180.300. FEMA recommends recipients use [SAM.gov](https://sam.gov) to conduct this verification.

Further, regardless of whether any grant writer fees were requested, unless a single contract covering both pre- and post-award services was awarded to the grant writer and procured in compliance with 2 C.F.R. §§ 200.317 – 200.326, Federal funds and

funds applied to the award's cost share cannot be used to pay the grant writer to provide post-award services.

**e. Grant Managers**

Grant management contractors provide support in the day-to-day management of an active grant and their services may be incurred as M&A costs of the award. Additionally, recipients may retain grant management contractors at their own expense.

**f. Indirect Facilities & Administrative (F&A) Costs**

Indirect F&A costs means those costs incurred for a common or joint purpose benefitting more than one cost objective and not readily assignable to the costs objectives specifically benefitted, without effort disproportionate to the results achieved. Indirect costs are allowable under this program as described in 2 C.F.R. pt. 200, including 2 C.F.R. § 200.414. Applicants with a negotiated indirect cost rate agreement that desire to charge indirect costs to an award must provide a copy of their negotiated indirect cost rate agreement at the time of application. Applicants that are not required by 2 C.F.R. pt. 200 to have a negotiated indirect cost rate agreement but are required by 2 C.F.R. pt. 200 to develop an indirect cost rate proposal must provide a copy of their proposal at the time of application. Post-award requests to charge indirect costs will be considered on a case-by-case basis and based upon the submission of an agreement or proposal as discussed above.

**E. Application Review Information**

**1. Application Evaluation Criteria**

**a. Programmatic Criteria**

The PSGP uses a risk-based methodology for making funding decisions whereby each Port Area's relative threat, vulnerability, and consequences from acts of terrorism are considered. This approach helps ensure that program funding is directed toward those Port Areas that present the highest risks in support of the National Preparedness Goal (the Goal) of a secure and resilient Nation. Please refer to the [Preparedness Grants Manual](#) for further information on the Goal. The PSGP will only fund those eligible projects that close or mitigate maritime security risk vulnerabilities gaps as identified in the applicable AMSP, FSP, VSP, and/or Port-wide Risk Management Plan (PRMP). Projects that enhance business continuity and resumption of trade within a Port Area will also be considered for funding. FY 2020 PSGP applications will be evaluated through a three-part review and selection process that encompasses: 1) an Initial Screening; 2) a Field Review; and 3) a National Review. There are five core PSGP scoring criteria applied in each step of this process:

- 1) Projects that support development and sustainment of the core capabilities in the National Preparedness Goal (the Goal).

- 1) Projects are ranked and weighted based on alignment with core capabilities across the five mission areas of the Goal. A composite score is given to each project to determine a Port Area prioritized ranking of all reviewed projects. The following scale shall be used:  
0=None; 1=Minimal; 3=Moderate; 9=Significant/Gap Filled
- 2) Projects that address priorities outlined in the applicable AMTSP, FSP, and/or VSP, as mandated under the MTSA and/or in an applicable PRMP.
  - AMSP priorities are the top three Transportation Security Incidents (TSIs) (as defined in 46 U.S.C. § 70101(6)) ranked and correspondingly weighted. Each IJ will be given a score based on how well it addresses one or more TSIs within the context of the five mission areas of the Goal: Prevention, Protection, Mitigation, Response, and Recovery. The following scale shall be used:  
0=None; 1=Minimal; 3=Moderate; 9=Significant/Gap Filled
- 3) Projects that address additional maritime security priorities based on the USCG COTP's expertise and experience within the specific Port Area.
- 4) Projects that are eligible and feasible, based on the available period of performance. In addition, a recipient's past performance demonstrating competent stewardship of Federal funds may influence funding decisions.
  - IJs should justify the scope, breadth, and cost of a project, as well as a timeline for completing the project as required within this NOFO. Projects failing to demonstrate these minimum funding considerations may be denied funding. The following scale shall be used:  
0=No Funding Recommended; 1=Funding Recommended
- 5) Projects submitted by a public sector applicant or projects otherwise certified by the USCG COTP as having a port-wide benefit (please see the [Preparedness Grants Manual](#) as well as the cost match section of this NOFO for further information regarding what constitutes a port-wide benefit) will have their final scores increased by a multiplier of ten (10) percent.

**b. Financial Integrity Criteria**

Prior to making a federal award, DHS/FEMA is required by 31 U.S.C. § 3321 note, 41 U.S.C. § 2313, and 2 C.F.R. § 200.205 to review information available through any OMB-designated repositories of government wide eligibility qualification or financial integrity information. Therefore, application evaluation criteria may include the following risk-based considerations of the applicant:

- 1) Financial stability.
- 2) Quality of management systems and ability to meet management standards.
- 3) History of performance in managing federal award.
- 4) Reports and findings from audits.
- 5) Ability to effectively implement statutory, regulatory, or other requirements.

**c. Supplemental Financial Integrity Criteria and Review**

Prior to making a federal award where the anticipated total federal share will be greater than the simplified acquisition threshold, currently \$250,000 (see Section 805 of the National Defense Authorization Act for Fiscal Year 2018, Pub. L. No. 115-91, OMB Memorandum M-18-18 at <https://www.whitehouse.gov/wp-content/uploads/2018/06/M-18-18.pdf>):

- 1) DHS/FEMA is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM, which is currently the [Federal Awardee Performance and Integrity Information System](#) (FAPIIS) and is accessible through the [SAM](#) website.
- 2) An applicant, at its option, may review information in FAPIIS and comment on any information about itself that a federal awarding agency previously entered.
- 3) DHS/FEMA will consider any comments by the applicant, in addition to the other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 C.F.R. § 200.205.

**2. Review and Selection Process**

Following the USCG COTP-led Field Review, a National Review, led by DHS/FEMA, will convene. The National Review encompasses 1) a review by a panel of subject-matter experts (SMEs) from DHS/FEMA and other Federal partners that validates the USCG COTP-led Field Review results; and 2) a detailed administrative/ financial review of applications recommended for funding. ***As part of the National Review, the SME panel will increase the score of any proposed project that sufficiently addresses the Cybersecurity National Priority identified above by twenty (20) percent.*** As part of the National Review, the SME panel will also have the ability to recommend partial funding for individual projects and eliminate others that are determined to be duplicative or require a sustained Federal commitment to fully realize the intended risk mitigation. ***In addition, the SME panel will validate proposed project costs. Decisions to reduce requested funding amounts or eliminate requested items deemed inappropriate under the scope of the FY 2020 PSGP will take into consideration the ability of the revised project to address the National Priorities and whether it will achieve the intended risk mitigation goal.*** Historically, the PSGP has placed a high priority on providing full project funding rather than partial funding.

Elements of the application considered during the National Review include the following as specified within this NOFO:

- Eligibility of an applicant;
- Allowable costs;
- Required cost share; and
- Alignment with program priorities

Independent of the Field and National Reviews, a risk score will also be calculated for each Port Area in which an eligible entity applies for funding under PSGP. A port area risk score will be calculated based on the relative threat, vulnerability, and consequences from acts of terrorism. The risk methodology used to calculate this score is focused on three elements:

- *Threat* – likelihood of an attack being attempted by an adversary;
- *Vulnerability* – likelihood that an attack is successful, if attempted; and
- *Consequence* – effect of an event, incident, or occurrence.

The risk methodology determines the relative risk of terrorism faced by a given Port Area, considering the potential risk of terrorism to people, critical infrastructure, economic security, and national security missions. The analysis includes threats from domestic violent extremists, international terrorist groups, and individuals inspired by terrorists abroad. A risk and effectiveness prioritization will then be applied to the SME panel’s recommended list of projects for each port area. This analysis considers the following factors to produce a comprehensive national priority ranking of port security proposals:

- Relationship of the project to one or more of the National Priorities;
- Relationship of the project to the local port security priorities;
- Risk level of the Port Area in which the project would be located;
  - Those port areas that have a measurable risk of at least 1 percent of the overall maritime security risk based on the comprehensive DHS/FEMA risk methodology would be prioritized above those with less than 1 percent of the overall risk;
  - To ensure that the most effective projects are funded, the risk and effectiveness prioritization could be limited by Port Area, based on the Port Area’s relative risk score; and
- Effectiveness and feasibility of the project to be completed in support of the priorities highlighted above during the period of performance. For projects where an applicant’s collaboration with others is relevant to the project’s ability to reduce risks, projects will be evaluated based on the degree to which the proposal adequately details how the applicant will use investments to overcome existing logistical, technological, legal, policy, and other impediments to collaborating, networking, sharing information, cooperating, and fostering a culture of national preparedness with federal, state, regional, and nonprofit partners. In evaluating an applicant’s ability to collaborate, FEMA will consider any information provided by the applicant and may also consider relevant information from other sources.

Projects recommended for funding will also receive a detailed administrative/financial review to ensure compliance with all program requirements. As a part of this, applications will be reviewed to ensure there are no ineligible costs, there is an appropriate nexus to maritime security, etc.

***FEMA may place a risk-based funding cap on port areas to ensure a wide distribution of program funds among multiple port areas. This will ensure that minimally effective projects in the highest risk port areas are not funded ahead of highly effective projects in lower risk port areas; however, this does not guarantee that port areas with minimal risk scores will receive funding.*** All funding recommendations will be provided to the inter-agency partners for concurrence. All final funding determinations will then be made by the Secretary of Homeland Security, who retains the discretion to consider other factors and information in addition to DHS/FEMA's funding recommendations.

### **Reprogramming Award Funds**

The purpose of the grant award is to implement projects pursuant to the authorities at 46 U.S.C. § 70107. Under extreme circumstances, a recipient may reprogram award funds from one project to another with prior written approval from FEMA, and in a manner consistent with 2 C.F.R. § 200.308. Circumstances include, but are not limited to, an inability to complete the original project; disaster events perpetuating an immediate need to reprioritize funds; and changes in regulatory requirements. A recipient must explain the deviation from the original project, including why it is deviating from or scaling down the original project, and what specific circumstances that occurred after the time of its award that necessitate the reprogramming request, in its reprogramming request. The recipient must also identify how the reprogramming request aligns with PSGP priorities and the recipient's original application. FEMA will also coordinate such reprogramming requests with the USCG Captain of the Port (COTP), and these requests must be verified and supported by the COTP as essential in addressing Port Area priorities.

## **F. Federal Award Administration Information**

### **1. Notice of Award**

Before accepting the award, the AOR and recipient should carefully read the award package. The award package includes instructions on administering the grant award and the terms and conditions associated with responsibilities under federal awards.

***Recipients must accept all conditions in this NOFO as well as any special terms and conditions in the Notice of Award to receive an award under this program.***

Please see the [Preparedness Grants Manual](#) for information on Notice of Award.

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

Please see the [Preparedness Grants Manual](#) for information on Administrative and National Policy requirements.

All successful applicants for DHS grant and cooperative agreements are required to comply with DHS Standard Terms and Conditions, which are available online at: [DHS Standard Terms and Conditions](#).

The applicable DHS Standard Terms and Conditions will be those in effect at the time the award was made, unless the application is for a continuation award. In that event, the terms and conditions in effect at the time the original award was made will generally apply. What terms and conditions will apply for the award will be clearly stated in the award package at the time of award.

### **3. Reporting**

Please see the [Preparedness Grants Manual](#) for information on Reporting, including financial, programmatic, and closeout reporting and disclosing information per 2 C.F.R. § 180.335.

#### **a. Federal Financial Reporting Requirements**

Please see the [Preparedness Grants Manual](#) for information on Reporting, including financial, programmatic, and closeout reporting and disclosing information per 2 C.F.R. § 180.335. The Federal Financial Report (FFR) form is available online at: [SF-425 OMB #4040-0014](#)

#### **b. Programmatic Performance Reporting Requirements**

Please see the [Preparedness Grants Manual](#) for information on Reporting, including financial, programmatic, and closeout reporting and disclosing information per 2 C.F.R. § 180.335.

#### **c. Closeout Reporting Requirements**

Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, recipients must submit the following:

- 1) The final request for payment, if applicable;
- 2) The final FFR (SF-425);
- 3) The final progress report detailing all accomplishments;
- 4) A qualitative narrative summary of the impact of those accomplishments throughout the period of performance; and
- 5) Other documents required by this NOFO, terms and conditions of the award, or other DHS/FEMA guidance.

If applicable, an inventory of all construction projects that used funds from this program must be reported with the final progress report.

After these reports have been reviewed and approved by DHS/FEMA, a closeout notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR, unless a longer period applies, such as due to an audit or litigation, for equipment or real property used beyond the period of performance, or due to other circumstances outlined in 2 C.F.R. § 200.333.

In addition, any recipient that issues subawards to any subrecipient is responsible for closing out those subawards as described in 2 C.F.R. § 200.343. Recipients acting as pass-through entities must ensure that they complete the closeout of their subawards

in time to submit all necessary documentation and information to DHS/FEMA during the closeout of their prime grant award. The recipient is responsible for returning any funds that have been drawn down but remain as unliquidated on recipient financial records.

**d. Disclosing Information per 2 C.F.R. § 180.335**

This reporting requirement pertains to disclosing information related to government-wide suspension and debarment requirements. Before a recipient enters into a grant award with DHS/FEMA, the recipient must notify DHS/FEMA if it knows if it or any of the recipient's principals under the award fall under one or more of the four criteria listed at 2 C.F.R. § 180.335:

- 1) Are presently excluded or disqualified;
- 2) Have been convicted within the preceding three years of any of the offenses listed in 2 C.F.R. § 180.800(a) or had a civil judgment rendered against it or any of the recipient's principals for one of those offenses within that time period;
- 3) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses listed in 2 C.F.R. § 180.800(a); or
- 4) Have had one or more public transactions (federal, state, or local) terminated within the preceding three years for cause or default.

At any time after accepting the award, if the recipient learns that it or any of its principals falls under one or more of the criteria listed at 2 C.F.R. § 180.335, the recipient must provide immediate written notice to in accordance with 2 C.F.R. § 180.350.

**e. Reporting of Matters Related to Recipient Integrity and Performance**

Per 2 C.F.R. Part 200, Appendix I § F.3, the additional post-award reporting requirements in 2 C.F.R. Part 200, Appendix XII may apply to applicants who, if upon becoming recipients, have a total value of currently active grants, cooperative agreements, and procurement contracts from all federal awarding agencies that exceeds \$10,000,000 for any period of time during the period of performance of an award under this funding opportunity. Recipients that meet these criteria must maintain current information reported in FAPIIS about civil, criminal, or administrative proceedings described in paragraph 2 of Appendix XII at the reporting frequency described in paragraph 4 of Appendix XII.

**4. Monitoring**

Per 2 C.F.R. § 200.336, DHS/FEMA through its authorized representatives, has the right, at all reasonable times, to make site visits to review project accomplishments and management control systems to review project accomplishments and to provide any required technical assistance. During site visits, DHS/FEMA will review grant recipients' files related to the grant award. As part of any monitoring and program evaluation activities, grant recipients must permit DHS/FEMA, upon reasonable notice, to review grant-related records and to interview the organization's staff and contractors

regarding the program. Recipients must respond in a timely and accurate manner to DHS/FEMA requests for information relating to the grant program.

## **G. DHS Awarding Agency Contact Information**

### **1. Contact and Resource Information**

#### **Centralized Scheduling and Information Desk (CSID)**

CSID is a non-emergency comprehensive management and information resource developed by DHS/FEMA for grants stakeholders. CSID provides general information on all DHS/FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the Federal, state, territorial and local levels. When necessary, recipients will be directed to a Federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800) 368-6498 or by e-mail at [askcsid@fema.dhs.gov](mailto:askcsid@fema.dhs.gov), Monday through Friday, 9 a.m. – 5 p.m. ET.

#### **FEMA Grant Programs Directorate**

FEMA's Grant Programs Directorate (GPD) provides support regarding financial matters and budgetary technical assistance. Additional guidance and information can be obtained by contacting the FEMA's Grant Operations Help Desk via e-mail to [ASK-GMD@fema.gov](mailto:ASK-GMD@fema.gov).

#### **FEMA Regional Offices**

DHS/FEMA Regional Offices also may provide fiscal support, including pre- and post-award administration and technical assistance such as conducting cash analysis, financial monitoring, and audit resolution to the grant programs included in this solicitation. GPD will provide programmatic support and technical assistance. A list of contacts in FEMA Regions is available online at <https://www.fema.gov/fema-regional-contacts>.

#### **GPD Environmental Planning and Historic Preservation (GPD EHP)**

The FEMA GPD EHP Team provides guidance and information about the EHP review process to recipients. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to [gpdehpinfo@fema.gov](mailto:gpdehpinfo@fema.gov). EHP Technical Assistance, including the EHP Screening Form, can be found online at <https://www.fema.gov/grants/preparedness/preparedness-grants-ehp-compliance>.

### **2. Systems Information**

#### **Grants.gov**

For technical assistance with [Grants.gov](https://www.grants.gov), please call the customer support hotline at (800) 518-4726. Support is available 24/7, except for Federal holidays.

### **Non-Disaster (ND) Grants**

For technical assistance with the ND Grants system, please contact the ND Grants Helpdesk at [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076, Monday through Friday, 9 a.m. – 5 p.m. ET.

### **Payment and Reporting System (PARS)**

DHS/FEMA uses the Payment and Reporting System ([PARS](#)) for financial reporting, invoicing and tracking payments. 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.

## **H. Additional Information**

### **1. Period of Performance Extensions**

Extensions to the period of performance under this program are allowed. Please see the [Preparedness Grants Manual](#) for further information.

### **2. Other**

GPD has developed the [Preparedness Grants Manual](#) to guide applicants and recipients of grant funding on how to manage their grants and other resources. Recipients seeking guidance on policies and procedures for managing Preparedness Grants should reference the manual for further information. Examples of information contained in the [Preparedness Grants Manual](#) include:

- Conflicts of Interest in the Administration of Federal Awards and Subawards
- Extensions
- Monitoring
- Procurement Integrity
- Other Post-Award Requirements

In response to recent disasters, FEMA has introduced a new lifelines construct, in order to enable the continuous operation of government functions and critical business essential to human health, safety, or economic security during and after a disaster. To learn more about lifelines, please refer to the [Preparedness Grants Manual](#) or visit <https://www.fema.gov/emergency-managers/practitioners/lifelines>.

Additionally, recipients can access the [DHS Strategic Framework for Countering Terrorism and Targeted Violence](#) which explains how the department will use the tools and expertise that have protected and strengthened the country from foreign terrorist organizations to address the evolving challenges of today.