

U.S. Department of Homeland Security

Office for Domestic Preparedness



Fiscal Year 2003 Urban Areas Security Initiative Radiological Dispersal Device Protective Measures Program

November, 2003

Foreword

In July 2002 the President approved the National Strategy for Homeland Security, establishing a road map for the national effort to prevent and respond to acts of terrorism in the United States. The National Strategy recognizes the vital role of state and local public safety agencies in providing for the security of our homeland. In February 2003 the President signed into law the Consolidated Appropriations Resolution, 2003, Public Law 108-7, which provides state and local governments with the vital funding they require to participate in the national effort to combat terrorism. In April 2003 the Emergency Wartime Supplemental Appropriations Act, 2003 (Public Law 108-11) provided additional funds to expand and continue these efforts.

The U.S. Department of Homeland Security (DHS), Office for Domestic Preparedness (ODP) FY 2003 Urban Areas Security Initiative (UASI) reflects the intent of Congress and the Administration to enhance and quantify the preparedness of the nation to combat terrorism. Whereas most states and municipalities have strengthened their overall capability to respond to acts of terrorism involving chemical, biological, radiological, nuclear or explosive (CBRNE) weapons, there continues to be room for improvement in meeting our national priorities of preventing and responding to terrorist attacks.

The U.S. Department of Homeland Security (DHS), Office for Domestic Preparedness (ODP) is accepting applications for the Fiscal Year 2003 Urban Areas Security Initiative (UASI) Radiological Dispersal Device (RDD) Protective Measures (PM) Program. The purpose of the UASI RDD PM Program is to develop a layered and linked defensive system for detecting, tracking and supporting the interdiction of illicit radiological devices in two locations: 1) the New York/New Jersey Metropolitan Area; and, 2) Charleston, South Carolina. As part of this program, Cooperative Agreement Grant Awards will be made to eligible applicants for the development of projects that would affect high-density, high-threat areas and for the protection of critical infrastructure.

The Department of Homeland Security looks forward to working with you in this critical national effort to secure our homeland.

Tom Ridge
Secretary
Department of Homeland Security

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I. Background

The U.S. Department of Homeland Security (DHS), Office for Domestic Preparedness (ODP) is accepting applications for the Fiscal Year 2003 Urban Areas Security Initiative (UASI) Radiological Dispersal Device (RDD) Protective Measures (PM) Program. The purpose of the UASI RDD PM Program is to develop and demonstrate the feasibility of a layered and linked defensive system for detecting, tracking and supporting the interdiction of illicit radiological devices. As part of this program, Cooperative Agreement Grant Awards will be made to eligible applicants in the New York/New Jersey and Charleston, South Carolina, metropolitan areas.

This program is a fully integrated component of a larger initiative within DHS to create a national model for RDD detection and interdiction that can be utilized by other metropolitan areas in meeting their homeland security needs. The DHS Radiological Pilot Programs Office (RPPO) is coordinating this larger effort.

The Office for Domestic Preparedness transferred from the U.S. Department of Justice, Office of Justice Programs (OJP), to the U.S. Department of Homeland Security effective March 1, 2003. The OJP Office of the Comptroller (OC) will continue to provide fiscal support and oversight to the UASI RDD PM Program for the effective period of performance for these Cooperative Agreement Grant Awards.

II. The Fiscal Year 2003 Urban Areas Security Initiative Radiological Dispersal Device Protective Measures Program Guidelines

A. Authorized Program Purpose

Funding for the Fiscal Year 2003 UASI RDD PM Program is authorized by: 1) Public Law 108-11, the Wartime Supplemental Appropriations Act of 2003. The Fiscal Year 2003 UASI RDD PM Program seeks to develop a layered and linked defensive system for detecting, tracking and supporting the interdiction of illicit radiological devices in the New York/New Jersey and Charleston, South Carolina, metropolitan areas.

B. Program Requirements

Receipt of funds under the Fiscal Year 2003 UASI RDD PM Program is contingent upon the submission and approval of the on-line grant application described in Section V of this booklet.

III. Eligible Applicants and Funding Availability

The Fiscal Year 2003 UASI RDD PM Program is intended to develop a layered and linked defensive system for detecting, tracking and supporting the interdiction of illicit radiological devices in the New York/New Jersey and Charleston, South Carolina, metropolitan areas. Eligible applicants are the chief executive officers (CEOs) of the following agencies:

A. New York City Metropolitan Area

New York State Division of Criminal Justice Services	\$7,000,000
New Jersey Department of Law and Public Safety	\$7,000,000
New York City Office of Management and Budget	\$10,000,000
Port Authority of New York and New Jersey	\$5,000,000

B. South Carolina Research Authority

National Law Enforcement and Corrections Technology Center - Southeast	\$4,900,000
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IV. Application Guidance

The period of performance for these Cooperative Agreement Grant Awards is twenty-four months. Applications need to be prepared in accordance with the directions contained in Section V of this booklet.

ODP only accepts applications electronically through the Grant Management System (GMS) located on the Office of Justice Programs (OJP) web site. Instructions regarding electronic submissions through GMS are provided on the OJP web site at:

www.ojp.usdoj.gov/fundopps.htm

Questions regarding the application process and programmatic matters involving application submission requirements, application content requirements and other administrative inquiries relating to the FY 2003 UASI RDD PM Program can be directed to the ODP Help Line at 1-800-368-6498.

V. Application Requirements

A. On-Line Application: The on-line application must be completed and submitted by the applicant using the GMS system described above. This on-line application replaces the following previously required paper forms:

- Standard Form 424, Application for Federal Assistance
- Standard Form LLL, Disclosure of Lobbying Activities
- OJP Form 4000/3, Assurances
- OJP form 4061/6, Certifications
- Equipment Coordination Certification
- Non-Supplanting Certification

When completing the on-line application, applicants should identify their submissions as new, non-construction applications. The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is “Office for Domestic Preparedness Fiscal Year 2003 Urban Areas Security Initiative Radiological Dispersal Device Protective Measures Program.” When referring to this title, please use the following CFDA number: 97.008.

B. Additional Application Requirements: Applications must clearly demonstrate the applicant’s ability to provide deliverables consistent with the purpose of the program, and guidance provided by ODP. *As such, the application must also include a program narrative, detailed budget and budget narrative.*

The **program narrative** should include the following elements:

- **Program Plan:** The applicant must provide a complete program plan for the entire project period. This plan should include the goals and objectives of the proposal and describe the activities to be conducted to accomplish these goals and objectives. The applicant must develop a performance based evaluation plan to assess completion of goals and objectives. Additionally, the applicant must develop a quality control plan to be incorporated into the development and delivery of project deliverables.
- **Project Management Structure:** The applicant must describe how the program will be structured, organized, and managed within the recipient’s organization. The applicant must provide an organizational chart of the agency and describe how the organization will support the program.
- **Detailed Budget:** The applicant must also provide a detailed budget for use of the funds provided. A sample template is provided in Appendix A. Applicants may use another format if they choose, however, all required information must be provided. The budget must be complete, reasonable and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs.

The applicant must also provide a **budget narrative** that includes a description of the allocation methodology for the funds awarded under the UASI RDD PM Program. The budget narrative should also describe a clear link between the proposed activities and the proposed budget items.

The program narrative, detailed budget and budget narrative must be completed and attached to the on-line application as file attachments. Applications lacking a complete program narrative, detailed budget and budget narrative will be approved. However, special conditions will be added to the award preventing the obligation, expenditure and draw down of funds until the required information is submitted and a grant adjustment notice (GAN) lifting the special conditions is issued by ODP.

C. Use of a Universal Identifier by Grant Applicants: Beginning October 1, 2003, a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number must be included in every application for a new award or renewal of an award. An application will not be considered complete until the applicant provides a valid DUNS number. Individuals who would personally receive a grant or cooperative agreement from the Federal government are exempt from this requirement.

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 1-800-333-0505.

D. Freedom of Information Act (FOIA): ODP 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. This may include threat, risk, and needs assessment information, and discussions of demographics, transportation, public works, and industrial and public health infrastructures. While this information is subject to requests made pursuant to the Freedom of Information Act, 5. U.S.C. §552 (FOIA), all determinations concerning the release of information of this nature will be made on a case-by-case basis by the DHS Departmental Disclosure Officer, and may well likely fall within one or more of the available exemptions under the Act.

Applicants are also encouraged to consult their 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. At the same time, applicants should be aware that any information created exclusively for the purpose of applying for and monitoring grants hereunder is the property of the U.S. Government, and shall not otherwise be disclosed or released pursuant to state or local law or regulation.

E. Lobbying: The Anti-Lobbying Act, 18 U.S.C. § 1913, was recently amended to significantly expand the restriction on use of appropriated funding for lobbying. This expansion also makes the anti-lobbying restrictions enforceable via large civil penalties, with civil fines between \$10,000 and \$100,000 per each individual occurrence of lobbying activity. These restrictions are in addition to the anti-lobbying and lobbying disclosure restrictions imposed by 31 U.S.C. § 1352.

The Office of Management and Budget (OMB) is currently in the process of amending the OMB cost circulars and the common rule (codified at 28 C.F.R. part 69 for DOJ grantees) to reflect these modifications. However, in the interest of full disclosure, all applicants must understand that no federally appropriated funding made available under this grant program may be used, either directly or indirectly, to support the enactment, repeal, modification or adoption of any law, regulation, or policy, at any level of government, without the express approval by OJP. Any violation of this prohibition is subject to a minimum \$10,000 fine for each occurrence. This prohibition applies to all activity, even if currently allowed within the parameters of the existing OMB circulars.

VI. Administrative Requirements

A. General Requirements

1. Administrative Provisions: For the purposes of the Fiscal Year 2003 UASI RDD PM Program, the limitations cited in this section shall apply.

a. Land Acquisition. No funds shall be used for land acquisition.

b. Civil Justice. No funds or other assistance shall be used with respect to civil justice matters except to the extent that such civil justice matters bear directly and substantially on criminal matters or are inextricably intertwined with criminal justice matters.

c. Federal Law Enforcement Personnel. Nothing in the enabling legislation authorizes the use of federal law enforcement personnel to investigate violations of criminal law other than violations with respect to which investigation is authorized by other provisions of the law.

d. Direction, Supervision, and Control. Nothing in the enabling legislation shall be construed to authorize the Secretary of Homeland Security or the federal law enforcement community to exercise any direction, supervision, or control over any police force or other criminal justice agency of an applicant for federal law enforcement assistance.

B. Financial Requirements

1. Non-Supplanting Certification: This certification, which is a required component of the on-line application, affirms that federal funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Potential supplanting will be addressed in the application review as well as in the pre-award review, post-award monitoring, and the audit. 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.

2. Match Requirement: None.

3. Assurances: The on-line application includes a list of assurances that the applicant must comply with in order to receive Federal funds under this program. It is the responsibility of the recipient of the Federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. You will be agreeing to these assurances when you submit your application on-line through GMS.

4. Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement: This certification, which is a required component of the on-line application, commits the applicant to compliance with the certification requirements under 28 CFR part 69, New Restrictions on Lobbying, and 28 CFR part 67, Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants). The certification will be treated as a material representation of the fact upon which the U.S. Department of Homeland Security will place reliance in awarding grants.

5. Suspension or Termination of Funding: The Office for Domestic Preparedness may suspend or terminate funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to make satisfactory progress toward the goals or objectives set forth in this application;
- Failing to follow grant agreement requirements, standards, or special conditions;
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
- Failing to submit required reports;
- Filing a false certification in this application or other report or document.

Before taking action, ODP will provide the grantee reasonable notice of intent to impose measures and will make efforts to resolve the problem informally.

VII. Reporting Requirements

The following reports are required of all program participants:

- **Financial Status Reports (Standard Form 269A):** Financial Status Reports are due within 45 days of the end of each calendar quarter. A report must be submitted for every quarter the award is active (including partial calendar quarters, as well as for periods where no grant activity occurs). The OJP Office of the Comptroller will provide a copy of this form in the initial award package. Future awards and fund drawdowns will be withheld if these reports are delinquent. The final financial report is due 120 days after the end date of the award period.

- **Categorical Assistance Progress Reports (OJP Form 4587/1):** Categorical Assistance Progress Reports are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. The OJP Office of the Comptroller will provide a copy of this form in the initial award package. Future awards and fund drawdowns will be withheld if these reports are delinquent. The final programmatic progress report is due 120 days after the end date of the award period. Instructions for completing the Categorical Assistance Progress Report are on the reverse side of the form. A copy of these instructions is also included.
- **Financial and Compliance Audit Report:** Recipients that expend \$300,000¹ 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 the U.S. General Accounting Office Government Auditing Standards and OMB Circular A-133. 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 Fiscal Year 2003 UASI RDD PM Program awards for audit and examination purposes, provided that, in the opinion of the Secretary of Homeland Security or the Comptroller General, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.

¹ The audit threshold will change to \$500,000 for all fiscal years ending after December 31, 2003.

Appendix A

Sample Budget Detail Worksheet

**Fiscal Year 2003 Urban Areas Security Initiative
RDD PM Program Sample Budget Detail Worksheet**

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position

Computation

Cost

TOTAL _____

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position

Computation

Cost

TOTAL _____

Total Personnel & Fringe Benefits _____

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

<u>Purpose of Travel</u>	<u>Location</u>	<u>Item</u>	<u>Computation</u>	<u>Cost</u>
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TOTAL _____

D. Equipment - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years. (Note: Organization's own capitalization policy and threshold amount for classification of equipment may be used). Expendable items should be included either in the "Supplies" category or in the "Other" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item

Computation

Cost

TOTAL _____

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. (Note: Organization's own capitalization policy and threshold amount for classification of supplies may be used). Generally, supplies include any materials that are expendable or consumed during the course of the project.

<u>Supply Items</u>	<u>Computation</u>	<u>Cost</u>
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TOTAL _____

F. Consultants/Contracts - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from ODP.

<u>Name of Consultant</u>	<u>Service Provided</u>	<u>Computation Cost</u>
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Subtotal _____

Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

<u>Item</u>	<u>Location</u>	<u>Computation Cost</u>
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Subtotal _____

Contracts: Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

<u>Item</u>	<u>Cost</u>
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Subtotal _____

TOTAL _____

G. Other Costs - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

<u>Description</u>	<u>Computation</u>	<u>Cost</u>
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TOTAL _____

H. Indirect Costs - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

<u>Description</u>	<u>Computation</u>	<u>Cost</u>
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TOTAL _____

Budget Summary - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

<u>Budget Category</u>	<u>Amount</u>
A. Personnel	_____
B. Fringe Benefits	_____
C. Travel	_____
D. Equipment	_____
E. Supplies	_____
F. Consultants/Contracts	_____
G. Other	_____
Total Direct Costs	_____
H. Indirect Costs	_____
TOTAL PROJECT COSTS	_____

Federal Request _____

Non-Federal Amount N/A

Appendix B

Application Checklist

**Fiscal Year 2003 Urban Areas Security Initiative
RDD PM Program Application Check List**

Program Narrative

- Program Plan
- Project Management Structure
- Detailed Budget

Budget Narrative