

REQUEST FOR APPLICATIONS (RFA) #07 UASI –
NONPROFIT SECURITY GRANT PROGRAM

Government of the District of Columbia
Homeland Security and Emergency Management Agency
Homeland Security Grants and Program Management Division

FISCAL YEAR 2007 URBAN AREAS SECURITY INITIATIVE
NONPROFIT SECURITY GRANT PROGRAM

RFA Release Date: May 9, 2007

Application Submission Deadline: May 31, 2007, 5:00 p.m.

LATE APPLICATIONS WILL NOT BE ACCEPTED

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SECTION I: GENERAL INFORMATION

A. INTRODUCTION

The Fiscal Year (FY) 2007 Urban Areas Security Initiative (UASI) Nonprofit Security Grant Program¹ (NSGP) provides funding support for target hardening activities to nonprofit organizations that are at high risk of international terrorist attack. While this funding is provided specifically to high-risk nonprofit organizations, the program seeks to integrate nonprofit preparedness activities with broader state and local preparedness efforts. It is also designed to promote coordination and collaboration in emergency preparedness activities among public and private community representatives, State and local government agencies, and Citizen Corps Councils.

The intent of the UASI NSGP is to create a sustainable national model program to enhance security and overall preparedness to prevent, respond to, and recover from acts of terrorism. States must ensure that the identified urban areas take an inclusive regional approach to the development and implementation of the FY 2007 UASI NSGP and involve core cities, core counties, contiguous jurisdictions, mutual aid partners, port authorities, rail and transit authorities, state agencies, Citizen Corps Council(s), and MMRS steering committees.

The purpose of this Request for Application (RFA) is to solicit applications from 501 (c)(3) nonprofit organizations, located in specific high-threat, high-density urban areas and determined to be at risk of a terrorist attack. Thus, funding can be used for the acquisition and installation of security equipment on real property (including buildings and improvements) owned or leased by the nonprofit organization, specifically in prevention of and/or protection against the risk of a terrorist attack. Grant funding may also be used to attend security-related training courses and programs.

B. GRANTING OFFICE

The FY 2007 UASI NSGP for the National Capital Region (NCR) is distributed, managed and monitored by the State Administrative Agent (SAA) for the District of Columbia, more specifically, the Homeland Security and Emergency Management Agency.

C. ELIGIBILITY

Applications must be provided to the SAA from eligible nonprofit organizations (as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax under section 501(a) of such Code) that are at **high risk of international terrorist attack** and are located within the NCR.

¹ Authorized by the FY 2006 DHS Appropriations Act and updated by the FY 2007 DHS Appropriations Act (P.L. 109-295).

Criteria for determining eligible applicants who are at high risk of terrorist attack include, but are not limited to:

- Identification and substantiation (e.g. police reports or insurance claims) of prior threats or attacks against the nonprofit organization or directly related organizations (within or outside the U.S.) by a terrorist organization, network, or cell
- Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site a possible target of terrorism
- Role of the applicant nonprofit organization in responding to or recovering from terrorist attacks
- Findings from previously conducted risk assessments including threat, vulnerability or consequence.

Note: Not all UASI cities are guaranteed funding. Allocation decisions will be made based on risk and how well the applicant addresses program requirements through their investment justification submissions.

The Homeland Security Act of 2002 references the NCR as defined by Title 10, United States Code, Section 2674 (f)(2) which provides the following definition:

The term "National Capital Region" means the geographic area located within the boundaries of (A) the District of Columbia, (B) Montgomery and Prince Georges Counties in the State of Maryland¹, (C) Counties of Arlington, Fairfax, Loudoun, and Prince William and the City of Alexandria in the Commonwealth of Virginia, and (D) all cities and other units of government within the geographic areas of such District, Counties, and City.

D. INQUIRIES

****There will be RFA information sessions held on Wednesday, May 16, 2007 between 11am and 1pm and Saturday, May 19, 2007 between 10am and 12pm at The New York Avenue Presbyterian Church (1313 New York Avenue, NW).*

To ensure fairness and consistency, all questions not addressed in this RFA, must be submitted in writing. The question and answer will then be distributed to all those parties requesting an application. Questions that can be answered by referring to sections of the application or that are specific to an applicant may be answered directly by grant administration staff. Oral explanations or instructions given prior to the award of grants will not be binding.

¹ Maryland organizations must show proof that their organization has registered with the Office of the Secretary of State or show proof of exempt status.

Applicants may submit written questions regarding application instructions to:

Steve Kral
Director for the Homeland Security Grants and Program Management Division
Homeland Security and Emergency Management Agency
2720 Martin Luther King Avenue, SE, 2nd Floor
Washington, DC 20032
Email: steve.kral@dc.gov

E. REGULATIONS

All applications will be considered under the Federal guidelines that determine allowable expenses.

F. AMOUNT OF FUNDING

The maximum grant award is \$100,000 per nonprofit organization.

G. SOFT MATCH REQUIREMENT

Nonprofit organizations must meet a 75 percent Federal-25 percent grantee soft match. Sub Grantee contributions must be from non-Federal sources. For all costs other than training, the sub grantee's match may be met through cash, training investments related to use of equipment purchased with the grant, or training investments related to general purpose security and emergency preparedness for staff. In the case of training projects, awardees must meet the matching requirement through cash. For example, the costs of training security guards on new screening equipment purchased as part of the grant or providing general preparedness training for nonprofit organization staff can be leveraged to satisfy the match. In no event can regular personnel costs such as salary, overtime, or other operational costs unrelated to training be used to satisfy the matching requirement.

H. RESPONSE DATE

To be considered, applications **must be received no later than 5:00 p.m. Thursday, May 31, 2007.**

Proposals must be mailed or hand-delivered to:

Steve Kral
Director for the Homeland Security Grants and Program Management Division
Homeland Security and Emergency Management Agency
2720 Martin Luther King Avenue, SE, 2nd Floor
Washington, DC 20032
Email: steve.kral@dc.gov

Any application received after the specified time will be considered **INELIGIBLE** and will **NOT** be reviewed for funding. Faxed proposals will not be accepted.

I. PERIOD OF PERFORMANCE

These grant funds will be available for the period beginning with the date of award and the project period will not exceed **24 months**. All grant expenditures must occur within this time frame. Any extensions of this period of funding must be negotiated on an individual basis and should not be assumed. The Homeland Security and Emergency Management Agency reserves the right to negotiate alternative funding dates if needed.

J. APPLICATION REVIEW AND FUNDING ALLOCATIONS

Applications will be reviewed in two phases to leverage local knowledge and understanding of the applicant's risk for terrorist attack while also ensuring coordination and alignment with Federal, State and local preparedness efforts.

During the first phase, applications will be reviewed and prioritized by the respective Urban Area Working Group (UAWG) in coordination with the local Citizen Corps Council and SAA. The UAWG is responsible for coordinating the development and implementation of all preparedness activities for its respective local jurisdictions. Prioritized applications will be reviewed by the respective SAA for concurrence/non-concurrence and submitted with the investment justifications through [Grants.gov](https://www.dhs.gov/grants). During the second phase, applications will be reviewed and award determinations made through a panel of evaluators from across DHS, including components within the Office of Infrastructure Protection (e.g., Risk Management Division, Office of Bombing Prevention), the Domestic Nuclear Detection Office (as applicable), and the Office of Intelligence and Analysis. The Department of Homeland Security will evaluate and act on applications within 60 days of the submission deadline. Each Investment Justification will be reviewed for completeness, adherence to programmatic guidelines, feasibility, and how well the proposed solution addresses the identified risk (see Appendix B). No late or additional submissions of information will be accepted.

Evaluation criteria include such items as:

- Identification and substantiation of prior threats or attacks (within or outside the U.S.) by a terrorist organization, network, or cell against the applicant
- Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site a possible target of terrorism
- Proximity of the nonprofit organization to identified CI/KR
- Role of the applicant nonprofit organization in responding to terrorist attacks
- Findings from previously conducted threat, vulnerability and/or consequence assessments
- Integration of nonprofit preparedness with broader state and local preparedness efforts to include coordination with the Citizen Corps Council

- Complete, feasible investment justifications that address an identified risk, including threat, vulnerability or consequence

From this review and rating process, specific allocations will be determined. All decisions made by the UAWG, Citizen Corp Council and SAA are final and binding. Note: As there are generally far more requests for funds than funds available, applicants may not be chosen for funding or may receive only partial funding for the project.

K. NOTIFICATION OF AWARD

The Homeland Security and Emergency Management Agency will notify all applicants of the final award decisions within 10 working days of the determination. For those applicants receiving funding, this notice will include the amount of funds to be granted, identify any unallowable costs that application contains, note any reduction in funding from the initial request and outline the necessary steps the applicant must complete to establish the actual award. **No grant activities should begin until the actual grant award has been issued.** All applicants will be notified of the status of their application, via email, within this time frame.

SECTION II: APPLICATION REQUIREMENTS

A. INVESTMENT JUSTIFICATION

Applicants will be required to submit Investment Justifications (see Appendix A) for funding requests that address the threat-oriented eligibility criteria as well as specific information on what activities will be implemented, what outcomes will be achieved, how the investment will be managed, and how the investment and related security enhancement activities are being coordinated with relevant state and local authorities.

In five pages or fewer using 12 point Times New Roman font and double-spaced lines, applicants must:

- Describe their nonprofit organization, including:
 - o Membership and community served
 - o Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site a possible target of terrorism
 - o Known critical infrastructure or key resources (CI/KR) located within close proximity to nonprofit organization facilities (see <http://www.dhs.gov/nipp> for additional information and guidance on CI/KR sectors)
 - o Any role in responding to or recovering from terrorist attacks.
- Identify prior threats or attacks (within or outside the U.S.) by a terrorist organization, network, or cell against their nonprofit organization or a closely related organization. Explain how their nonprofit organization gained knowledge of these threats, including the source of the information, and how this understanding influenced development of this application.
- Describe findings from previously conducted risk assessment, including threat, vulnerability or consequence.
- Describe the proposed target hardening activity, including total funds requested, that addresses the identified threat, vulnerability or consequence.
- Describe the project management, including:
 - o Who will manage the project
 - o Milestones, with start and end dates
 - o Description of any challenges to the effective implementation of this project
 - o Coordination of the project with state and local homeland security partners
 - o Anticipated outcomes achieved.
- Describe how the 75-25 soft match will be met (see Part G, Section I).
- Identify whether their nonprofit organization has previously received any homeland security preparedness funding through their State and/or Urban Area, including the DHS Homeland Security Grant Program (including Urban Areas Security Initiative, UASI Nonprofit Security Grant Program, State Homeland Security Program, and/or Citizen Corps Program).

B. APPLICATION IDENTIFICATION

Five (5) copies, including an original and four (4) copies, of the application are to be submitted in a sealed envelope or package clearly marked “**Application in Response to FY 2007 UASI NSPG.**” **Of the five (5) copies, one (1) copy must be an original.** Applications that are not submitted in a sealed envelope or package and so marked **will not be accepted**. Telephonic, telegraphic, electronic and facsimile submissions **will not be accepted as originals**.

Application Submission Date and Time

Applications are due no later than 5:00p.m. EST, on May 31, 2007. All applications will be recorded upon receipt. **Any additions or deletions to an application will not be accepted after the deadline.**

Applications **must be** mailed or delivered to the following location:

Attention: Steve Kral
Director for the Homeland Security Grants and Program Management Division
The Homeland Security and Emergency Management Agency
2720 Martin Luther King Avenue, SE, 2nd Floor
Washington, DC 20032

Mail/Courier/Messenger Delivery

Applications that are mailed or delivered by Messenger/Courier services must be sent in sufficient time to be received by the 5:00p.m., EST, deadline on May 31, 2007 at the above location. The Homeland Security and Emergency Management Agency will not accept applications arriving via messenger/courier services at or after 5:01 p.m., EST on May 31, 2007.

LATE APPLICATIONS WILL NOT BE ACCEPTED

SECTION III: ALLOWABLE COSTS GUIDANCE

A. EQUIPMENT

Allowable costs are focused on target hardening activities. Thus, funding can be used for the acquisition and installation of security equipment on real property (including buildings and improvements) owned or leased by the nonprofit organization, specifically in prevention of and/or protection against the risk of a terrorist attack. This equipment is limited to two categories of items on the Authorized Equipment List (AEL):

- Physical Security Enhancement Equipment
- Inspection and Screening Systems

The equipment categories are listed on the web-based AEL on the Responder Knowledge Base (RKB), which is sponsored by DHS and the National Memorial Institute for the Prevention of Terrorism (MIPT) at <https://www.rkb.mipt.org>.

Equipment Standards

Unless otherwise stated in the Grant Guidance, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. For example, respiratory protection equipment will require NIOSH certification. Compliance must be demonstrated either via third-party certification by an approved certifying organization or, where permitted by the standard, a supplier's declaration of conformity (SDOC) with appropriate supporting data and documentation per ISO/IEC 17050. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

A list of mandatory standards for each equipment item can be found at the following website: <https://www.rkb.mipt.org>.

B. TRAINING

Nonprofit organization security personnel may use NSGP funds to attend security-related training courses and programs. Allowable training-related costs under NSGP are limited to attendance fees for the training, and related expenses, such as materials, supplies, and/or equipment. Overtime, backfill, and/or travel expenses are not allowable costs. Allowable training topics are limited to the protection of CI/KR, including physical and cyber security, target hardening, and terrorism awareness/employee preparedness. Further, matching funds associated with training must be in cash.

Training conducted using NSGP funds must address a specific threat, vulnerability and/or consequence, as identified in the nonprofit's Investment Justification. ***Proposed attendance at training courses and all associated costs leveraging the FY 2007 NSGP must be included in the nonprofit organization's Investment Justification.***

Nonprofit organizations are required, within 30 days after attendance, to submit information to the SAA on all training supported with NSGP funds. This information will consist of course title, course description, mission area, level of training, the training provider, the date of the course, and the number and position titles of the individuals.

Allowable Training Costs

Allowable training-related costs under NSGP are limited to attendance fees for the training, and related expenses, such as materials, supplies, and/or equipment.

Unallowable Training Costs

No personnel costs, such as overtime and backfill costs, associated with attending training courses and programs are allowable.

No travel costs are allowable.

C. MANAGEMENT AND ADMINISTRATIVE (M&A)

No more than 3 percent of the total award amount (including SAA M&A costs) may be used for M&A purposes. M&A activities are those defined as directly relating to the management and administration of the grant funds, such as financial management and monitoring.

M&A costs include the following categories of activities:

- Hiring of full-time or part-time staff or contractors/consultants:
 - To assist with the management of UASI Nonprofit Security Grant Program funds
 - To assist with design, requirements, and implementation of the UASI Nonprofit Security Grant Program
 - Meeting compliance with reporting/data collection requirements, including data calls
- Development of operating plans for information collection and processing necessary to respond to DHS data calls
- Travel expenses directly related to management and administration of UASI Nonprofit Security Grant Program funds
- Meeting-related expenses directly related to management and administration of UASI Nonprofit Security Grant Program funds

SECTION IV: AWARD AND REPORTING REQUIREMENTS

A. GRANT AWARD TO APPLICANT

Upon approval of the application the grant will be awarded to the respective applicant. This date will be known as the “award date.”

B. DRAWDOWN OF FUNDS

Following acceptance of the grant award and release of any special conditions withholding funds, the grantee can request funds up to 120 days prior to expenditure using the “Sub Grantee Request for Funds” form. This form will be attached to the sub grant award documents.

Funds received by sub grantees must be placed in an interest-bearing account and are subject to the rules outlined in the Uniform Rule 28 CFR Part 66, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*, at http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html and the Uniform Rule 28 CFR Part 70, *Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations*, at http://www.access.gpo.gov/nara/cfr/waisidx_03/28cfr70_03.html.

These guidelines state that sub grantees are required to promptly, but at least quarterly, remit interest earned on advances to:

United States Department of Health and Human Services
Division of Payment Management Services
P.O. Box 6021
Rockville, MD 20852

The sub grantee may keep interest amounts up to \$100 per year for administrative expenses. Please consult the *OJP Financial Guide* or the applicable OMB Circular for additional guidance.

C. REPORTING REQUIREMENTS

Financial Status Report (FSR)

Obligations and expenditures must be reported to the SAA on a quarterly basis through the FSR, which are due within 20 days of the end of each calendar quarter (i.e. for the quarter ending March 31, FSR is due on April 20). 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 SAA 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.

Grantees are reminded to review the following documents and ensure that grant activities are conducted in accordance with the applicable guidance:

- [OMB Circular A-102](http://www.whitehouse.gov/omb/circulars/index.html), *Grants and Cooperative Agreements with State and Local Governments*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- [OMB Circular A-87](http://www.whitehouse.gov/omb/circulars/index.html), *Cost Principles for State, Local, and Indian Tribal Governments*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- [OMB Circular A-110](http://www.whitehouse.gov/omb/circulars/index.html), *Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- [OMB Circular A-21](http://www.whitehouse.gov/omb/circulars/index.html), *Cost Principles for Educational Institutions*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- [OMB Circular A-122](http://www.whitehouse.gov/omb/circulars/index.html), *Cost Principles for Non-Profit Organizations*, at <http://www.whitehouse.gov/omb/circulars/index.html>

For FY 2007 awards, grant and sub grant recipients should refer to the OGO Financial Guide. All previous awards are still governed by the OJP Financial Guide, available at <http://www.ojp.usdoj.gov/FinGuide>. OGO can be contacted at 1-866-9ASKOGO or by e-mail at ask-OGO@dhs.gov.

Progress Report

Following award of the sub grant, sub grantees will be responsible for providing updated progress reports relative to stated goals and objectives. The report is due within 20 days of the end of each calendar quarter. The SAA will provide a copy of this form. Future awards and fund drawdowns may be withheld if these reports are delinquent. The final report is due 90 days after the end date of the award period.

D. MONITORING

Grant recipients will be monitored periodically by SAA program managers to ensure that the program goals, objectives, timelines, budgets and other related program criteria are being met. Monitoring will be accomplished through a combination of office-based and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, and administrative issues relative to each program, and will identify areas where technical assistance and other support may be needed. As a part of the monitoring program, SAA will provide assistance in the evaluation of strategy goals and objectives that is needed by state and local jurisdictions.

E. GRANT CLOSE-OUT PROCESS

Within 90 days after the end of the grant period, the grantee will submit a final FSR and a final progress report detailing all accomplishments throughout the project. After both of these reports have been reviewed and approved by the SAA program manager, a Grant Adjustment Notice (GAN) will be completed to close-out the grant. The GAN will indicate the project as being closed, list any remaining funds that will be de-obligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR.

Appendix A

Investment Justification Template

Fiscal Year 2007 Urban Areas Security Initiative Nonprofit Security Grant Program Investment Justification Template

Instructions

To apply for the FY 2007 Urban Areas Security Initiative (UASI) Nonprofit Security Grant Program (NSGP), eligible nonprofit organizations must complete this Investment Justification and provide it to the respective State Administrative Agency (SAA) per the SAA’s guidelines. For more information on NSGP requirements, see the FY 2007 UASI NSGP Guidance and Application Kit. This application must not exceed **five pages**, using 12 point Times New Roman font.

I. Overview

A - Identify the following:	
▪ Name of organization	
▪ 501(c)3 number	
▪ FY 2007 Urban Area	
▪ FY 2007 UASI NSGP Funding Request	
▪ Any previous DHS funding received, including source¹	

II. Background

In the space below, describe the nonprofit organization, including

- Membership and community served**
- Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site a possible target of international terrorism**
- Known critical infrastructure or key resources (CI/KR) located within close proximity to nonprofit organization facilities (see <http://www.dhs.gov/nipp> for additional information and guidance on CI/KR sectors)**
- Any role in responding to or recovering from international terrorist attacks**
- Prior threats or attacks (within or outside the U.S.) by a terrorist organization, network, or cell against their nonprofit organization or a closely related organization. Explain how their nonprofit organization gained knowledge of these threats, including the source of the information, and how this understanding influenced development of this application**

¹ Response should include any funding received through the respective State and/or Urban Area, including the DHS Homeland Security Grant Program (including Urban Areas Security Initiative, UASI Nonprofit Security Grant Program, State Homeland Security Grant Program, and/or the Citizen Corps Program)

Enter response here.

III. Risk

In the space below, describe findings from previously conducted risk assessments, including threats and vulnerabilities, as well as potential consequences of an attack.

Enter response here.

IV. Target Hardening Activity

In the space below, describe the proposed target hardening activity, including total funds requested, that addresses the identified threat and vulnerability.

Enter response here.

V. Project Management

A - In the space below, describe the project management, including:

- Who will manage the project
- Milestones, with start and end dates
- Description of any challenges to the effective implementation of this project
- Coordination of the project with state and local homeland security partners
- Anticipated outcomes achieved

Enter response here.

B - In the space below, describe how the 75-25 soft match will be met.

Enter response here.

Appendix B

Investment Justification Question, Criteria, and Prioritization Methodology for SAAs and UAWGs

Fiscal Year 2007
Urban Area Security Initiative
Nonprofit Security Grant Program

Investment Justification
Questions, Criteria, and Prioritization
Methodology for SAAs and UAWGs

April 2007

Review Methodology for SAAs / UAWGs

- The Nonprofit Security Grant Program (NSGP) Guidance requires a two phase review process:
 1. Applications will be reviewed and prioritized by the respective Urban Area Working Group (UAWG) in coordination with the local Citizen Corps Council and the respective State Administrative Agency (SAA)
 2. Applications will be reviewed and final award determinations made through a panel of evaluators from across DHS, including:
 - Federal Emergency Management Agency, National Preparedness Directorate
 - Office of Infrastructure Protection (e.g., Protective Security Coordination Division, Office of Bombing Prevention)
 - Domestic Nuclear Detection Office (as applicable)
 - Office of Intelligence and Analysis
- This document provides review criteria for the SAA/UAWG phase of the NSGP review.
 - The criteria provide a standard review methodology across States and Urban Areas
 - By focusing the SAA/UAWG review on two Investment Justification focus areas (Background and Risk), the review leverages local knowledge and efficiently applies the SAA/UAWG effort to the questions most needing local input
 - The “Overall Score” provides the SAA/UAWG panel the opportunity to subjectively review the overall application including the focus areas

Questions and Prioritization Criteria

- The Investment Justification (IJ) includes 6 questions in 5 categories:
 1. Overview
 2. Background
 3. Risk
 4. Target Hardening Activity
 5. Project Management
 - Funding Plan
 - Soft Match
- UAWGs and Citizen Corps Councils, in coordination with SAAs, will review the overall application with a specific focus on 2 questions, identified below:
 - Background
 - Risk
- This review will produce a high, medium, or low score on a 5 point scale.
- The aggregate list of scores will provide a prioritized list of eligible nonprofit organizations.

Background

IJ Requirement: Provide a summary description of any of the following:

- Membership and community served
- Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site a possible target of international terrorism
- Known critical infrastructure or key resources (CI/KR) located within close proximity to nonprofit organization facilities
- Any role in responding to or recovering from international terrorist attacks
- Prior threats or attacks (within or outside the U.S.) by a terrorist organization, network, or cell against the nonprofit organization, including how the nonprofit organization gained knowledge of these threats, the source of the information, and how this understanding influenced the development of this application

Criteria

- Does the response clearly address the four identified topics?
- Can the SAA/UAWG review panel verify the response?

Risk

IJ Requirement: Describe the findings from a previously conducted risk assessments, including threats and vulnerabilities, as well as potential consequences of an attack.

Criteria

- Does the response indicate and understanding of the nonprofit organization's risk, including threat and vulnerability, as well as potential consequences of an attack?
- Can the SAA/UAWG review panel verify the response?

Prioritization Methodology

SCORE = 1

- Incomplete or unclear Investment Justification (IJ)
- Review panel cannot verify or substantiate information in Background and Risk section in IJ

SCORE = 2

- Partially complete IJ
- Review panel cannot verify or substantiate information in Background and Risk section in IJ

SCORE = 3

- Complete or clear IJ
- Review panel can verify or substantiate some information in Background and Risk section in IJ

SCORE = 4

- Partially complete or clear IJ
- Review panel can verify or substantiate all information in Background and Risk section in IJ

SCORE = 5

- Complete and clear IJ
- Review panel can verify or substantiate all information in Background and Risk section in IJ

Appendix C

**Certifications Regarding Lobbying; Debarment,
Suspension and Other Responsibility Matters;
Drug-Free Workplace Requirements**

**GOVERNMENT OF THE DISTRICT OF COLUMBIA
OFFICE OF THE DEPUTY MAYOR FOR PUBLIC SAFETY AND JUSTICE**

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with 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 certifications shall be treated as a material representation of fact.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code. and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, The applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - III, "Disclosure of Lobbying Activities," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers including sub grants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

**2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS
(DIRECT RECIPIENT)**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c.) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F. for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in The applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an on-going drug-free awareness program to inform employees about—
 - (1) The dangers of drug abuse in the workplace;
 - (2) The applicant's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs;and

- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title to: Office of Grants Management and Development, 717 14th St., NW, Suite 1200, Washington, DC 20005. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—
 - (1) Taking appropriate personnel action against such an employee, up to and incising termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
 - (3) Making a good faith effort to continue to maintain a drug free workplace through implementation of paragraphs (a), (1), (c), (d), and (e). and (f)

B. The applicant may insert in the space provided below the sites for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

As the duly authorized representative of the applications, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name: _____

3. Grantee IRS/Vendor Number: _____

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

Appendix D

Standard Assurances

GOVERNMENT OF THE DISTRICT OF COLUMBIA
OFFICE OF THE DEPUTY MAYOR FOR PUBLIC SAFETY AND JUSTICE

STANDARD ASSURANCES

The applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project.

Also, the Application assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of The applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of The applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646 which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et. seq.).
4. It will comply with the minimum wage and maximum hour's provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency of the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal-sponsoring agency concerning special requirements of Law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection

Agency's (EPA), list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.

9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234-, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal Financial Assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et. seq.) By (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its sub grantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18. Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Flood Plain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of

the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.

14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L 97-348), dated October 19, 1982, (16 USC 3501 et. seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Print Name

Print Title

Signature

Date