

**U.S. Department of Homeland Security
Office for Domestic Preparedness**



**Fiscal Year 2004 Terrorism Early Warning (TEW)
Expansion Program**

Los Angeles County TEW Expansion Program

Grant Application Kit and Program Guidelines

March, 2004

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I. Background:

The U.S. Department of Homeland Security (DHS), Office for Domestic Preparedness (ODP) provides funding under a Cooperative Agreement to the Los Angeles County Sheriff's Department (LASD). The funding will provide the LASD with additional financing to continue enhancing the Los Angeles County Terrorism Early Warning (TEW) Local Resource Center (LRC) Project. The TEW was created to form a countywide group capable of highly coordinated and focused response to acts of terrorism based on the careful assessment of information, intelligence sharing, and detailed strategic planning.

Multiple ODP reports and demonstration efforts have shown the critical importance of intelligence gathering and regional information sharing. ODP is now accepting applications to fund a carefully selected pilot project to demonstrate essential elements of TEW operations. This project will serve as an example for potential replication by Urban Area Security Initiative (UASI) sites, illustrating how TEW's enhance and strengthen multi-jurisdictional information sharing to prevent terrorist acts and to facilitate emergency preparedness.

Many state and local agencies are already building TEW capabilities and wish to learn how to establish one in their own jurisdiction. The LASD operates a highly successful TEW and is an excellent example of a multi-jurisdictional information sharing project. The LASD operates a highly successful TEW operation and is an example of a multi-jurisdictional terrorism early warning capability. Neighboring agencies such as the Los Angeles Police Department (LAPD) oversee a similar TEW operation called Operation Archangel which exemplifies how adjoining jurisdictions can successfully coordinate mutually supportive capabilities. Moreover, the State of California has indicated that ODP funds will be used to replicate the TEW throughout California. Other metropolitan areas across the nation have expressed a strong interest in the TEW approach and want to learn how to create a similar capability in their own jurisdiction.

The essential elements of the program include advanced planning, developing and maintaining intelligence reserves, using an integrated team network, and continuing training and exercises. Advanced planning includes developing detailed response scenarios to likely events. The core team includes six public safety agencies with an additional 30 cooperating agencies. DHS funding will allow the development of a TEW LRC to assist other jurisdictions in their effort to replicate this model.

The Office for Domestic Preparedness transferred from the U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), to the DHS effective March 1, 2003. The OJP Office of the Comptroller (OC) will continue to provide fiscal support and oversight to the TEW project for the effective period of performance of the Cooperative Agreement Grant Award.

II. Program Guidelines:

A. Authorized Program Purpose:

Funding for the TEW Resource Center project is provided and authorized by Public Law 108–090 of the Fiscal Year 2004 Homeland Security Appropriations Act. The funding provided through this cooperative agreement will allow the LASD to:

- Support visiting jurisdictions during their participation in activities at the TEW LRC and LAPD Project Archangel.
- Deliver technical assistance to visiting jurisdictions as a part of the training and education they receive at the TEW LRC.
- Provide information, guidance, publication materials, and continuing support to interested, visiting, and adopting jurisdictions.

B. Program Requirements:

Receipt of funds under the Fiscal Year 2004 TEW LRC Project is contingent upon the submission and approval of the online grant application described in Section V “Application Requirements” of this booklet.

C. Program Expenditures:

Allowable costs associated with this project include program management and administrative support. Grant funds awarded under this project may not be used for costs other than those outlined in Section A above. Additionally, grant funds awarded under this project may not be used to pay for expenses incurred prior to the grant award start date or for other items already budgeted with organizational funds.

III. Eligible Applicants and Funding Availability:

Eligible applicants and funding amounts are specified below. Grants must be signed by the chief executive officer (CEO) or the appropriate financial officer of the recipient organization.

<u>Agency</u>	<u>Amount</u>
Los Angeles County Sheriff’s Department	\$400,000

IV. Application Guidance:

The period of performance for these Cooperative Agreement Grant Awards will be for a period not to exceed 24 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 OJP website. Instructions regarding electronic submissions through GMS are provided on the OJP website 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 2004 Terrorism Early Warning and Regional Information Sharing Program can be directed to the ODP Help Line at 1-800-368-6498.

V. Application Requirements:

A. Online Application: The online application must be completed and submitted by the applicant using the OJP GMS system described above. This online 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 online application, applicants should identify their submissions as new, non-construction applications. This grant is offered by the DHS, ODP with fiscal support and oversight for the effective period of performance for the grant provided by the DOJ, OJP. The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is the "Office for Domestic Preparedness Fiscal Year 2004 Homeland Security Grant Program." When referring to this title, please use the following CFDA number: 97.004.

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, program plan, project management structure, replication approach, evaluating measurable program objectives, and a budget detail worksheet and budget narrative.

The program narrative should contain a brief discussion of the information outlined in Section VI of this booklet. The required program narrative format is included in Appendix B "Application Checklist" and should be attached under "Program Narrative." The program narrative should also include the following elements:

- o. 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 of project deliverables.
- o. 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.

- o. Replication Approach: The applicant must provide a brief statement identifying the support provided to the adopting jurisdictions participating in the TEW LRC offerings. This statement should address the process and approach for ensuring a successful implementation of the model. Additional information should be provided on how the TEW LRC will develop an ongoing supportive role with the adopting jurisdiction, which will include opportunities for information exchange.
- o. Evaluating Measurable Program Objectives: The applicant must provide a brief narrative that contains measurable program (outcome) objectives, lists corresponding activities, and describes the specific evaluation methods to be used.
- o. Budget Detail Worksheet and Budget Narrative: The applicant must also provide a budget detail worksheet and budget narrative for the use of the funds provided. A sample budget detail worksheet 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 also provide a basis for computation of all project-related costs.

Also, the budget narrative must specify in detail how the funds will be used. These amounts must be complete, reasonable and cost-effective. The budget should also provide the basis for computation of all program-related costs. The budget narrative includes a description of the allocation methodology for the funds awarded under the TEW LRC Project. The budget narrative should also describe a clear link between the proposed activities and the proposed budget items.

The program narrative, budget detail worksheet, and budget narrative must be completed and attached to the online application as file attachments. Applications lacking a complete program narrative, budget detail worksheet, and budget narrative will be approved. However, special conditions will be added to the award preventing the obligation, expenditure, and drawdown of funds until all of the required information is submitted and a grant adjustment notice (GAN) is issued by ODP removing these special conditions.

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, discussions of demographics, transportation, public works, and

industrial and public health infrastructures. While this information is subject to requests made pursuant to the FOIA, 5. U.S.C. §552 (FOIA), all determinations concerning the release of information will be made on a case-by-case basis by the DHS Departmental Disclosure Officer, and may include 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 this program, the limitations cited in this section shall apply.

- a. Single Point of Contact (SPOC) Review: Executive Order 12372 requires applicants from state and local units of government or other organizations providing state services to submit a copy of their application to the state SPOC, providing one exists and it has been selected for review by the state. Applicants must contact their state SPOC to determine if the program has been selected for state review. Applicant should provide the date that the application was sent to the SPOC, or the reason such a submission was not required.
- b. Land Acquisition. No funds shall be used for land acquisition.
- c. 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.

- d. 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.
- e. 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 online application, affirms that federal funds will be used to supplement existing funds for equipment purchases 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 online 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 grant recipient 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. The applicant will be agreeing to these assurances through submission of the online application via 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 online 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 (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants). The certification will be treated as a material representation of the jurisdiction's full compliance with the above requirements and will be retained and relied upon by DHS for awarding grants.

5. Suspension or Termination of Funding: The ODP 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, objectives, or strategies set forth in this application;
- Failing to follow grant agreement requirements or standard 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 timely;
- 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 to the OJP Office of the Comptroller 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 status 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 to the OJP Office of the Comptroller within 30 days after 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 progress report must include the following information in Block 12 of the required form: 1) a listing of all services provided to each interested, visiting and adopting jurisdiction; and 2) a detailed summary of the overall costs incurred for the reporting period. Any service delivery plans finalized during the reporting period should also be attached to this report. The final programmatic progress report is due 120 days after the end date of the award period.

(Note: If space is not available in Block 12 of this form for your narrative report, an attachment may be provided.)
- Financial and Compliance Audit Report: Recipients that expend \$300,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with 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 DHS and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of Fiscal Year 2003 LA County TEW Resource Center Project awards for audit and examination purposes. This information will need to be provided based on the opinion of the Secretary of the DHS or the Comptroller General, indicating that 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.

APPENDIX A

SAMPLE BUDGET DETAIL WORKSHEET

Fiscal Year 2004 Terrorism Early Warning (TEW)
and Expansion Program

Sample Budget Detail Worksheet, Appendix A

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.

<u>Name/Position</u>	<u>Computation</u>	<u>Cost</u>
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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>
--------------------------	-----------------	-------------	--------------------	-------------

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 (eight 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</u>	<u>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</u>	<u>Cost</u>
-------------	-----------------	--------------------	-------------

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>
-------------	-------------

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>
--------------------	--------------------	-------------

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 2004 Terrorism Early Warning (TEW) and Expansion Program

Application Checklist, Appendix B

o. Online Application: Please see www.ojp.usdoj.gov/fundopps.htm to complete the online application.

o. File Attachments:

I. Program Narrative

The program narrative should be brief and include the following information:

o. 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 of project deliverables.

o. Project Management Structure and Budget: 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.

o. Replication Approach: The applicant must provide a brief statement identifying the support provided to the adopting jurisdictions participating in the TEW LRC offerings. This statement should address the process and approach for ensuring a successful implementation of the model. Additional information should be provided on how the TEW LRC will develop an ongoing supportive role with the adopting jurisdiction, which will include opportunities for information exchange.

o. Evaluating Measurable Program Objectives: The applicant must provide a brief narrative that contains measurable program (outcome) objectives, lists corresponding activities and describes the specific evaluation methods to be used.

o. Budget Detail Worksheet and Budget Narrative: The applicant must also provide a budget detail worksheet and budget narrative for the use of the funds provided. A sample budget detail worksheet 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 also provide a basis for computation of all project-related costs.

Also, the budget narrative must specify in detail how the funds will be used and these amounts must be complete, reasonable and cost-effective. The budget should also provide the basis for computation of all program-related costs. The budget narrative includes a description of the allocation methodology for the funds awarded under the TEW LRC Project. The budget narrative should also describe a clear link between the proposed activities and the proposed budget items.