

**The Department of Homeland Security (DHS)  
 Notice of Funding Opportunity (NOFO)  
 Fiscal Year 2023 Targeted Violence and Terrorism Prevention (TVTP) Grant  
 Program**

All entities wishing to do business with the federal government must have a unique entity identifier (UEI). The UEI number is issued by the SAM system. Requesting a UEI using Sam.gov can be found at: <https://sam.gov/content/entity-registration>.

Grants.gov registration information can be found at:  
<https://www.grants.gov/web/grants/register.html>.

**Planned UEI Updates in Grant Application Forms:**

*On April 4, 2022, the Data Universal Numbering System (DUNS) Number was replaced by a new, non-proprietary identifier requested in, and assigned by, the System for Award Management (SAM.gov). This new identifier is the Unique Entity Identifier (UEI).*

*Additional Information can be found on Grants.gov:*

<https://www.grants.gov/web/grants/forms/planned-uei-updates.html>

## Table of Contents

	Planned UEI Updates in Grant Application Forms: .....	1
A.	Program Description.....	5
	1. Issued By .....	5
	2. Assistance Listings Number.....	5
	3. Assistance Listings Title .....	5
	4. Funding Opportunity Title .....	5
	5. Funding Opportunity Number.....	5
	6. Authorizing Authority for Program.....	5
	7. Appropriation Authority for Program .....	5
	8. Announcement Type .....	5
	9. Program Category .....	5
	10. Program Overview, Objectives, and Priorities.....	5
	11. Performance Measures .....	7
B.	Federal Award Information .....	7
	1. Available Funding for the NOFO: \$20,000,000.00 .....	7
	2. Projected Number of Awards: 35 - 38 .....	7
	3. Period of Performance: 24 months.....	7
	4. Projected Period of Performance Start Date(s): 10/01/2023 .....	7
	5. Projected Period of Performance End Date(s): 09/30/2025 .....	8
	6. Funding Instrument Type: Grant.....	8
C.	Eligibility Information.....	8
	1. Eligible Applicants.....	8
	2. Applicant Eligibility Criteria.....	8

3.	Other Eligibility Criteria/Restrictions .....	8
4.	Cost Share or Match.....	8
D.	Application and Submission Information.....	8
1.	Key Dates and Times .....	8
a.	Application Start Date: 03/07/2023.....	8
b.	Application Submission Deadline: 04/25/2023 at 05:00:00 PM ET .....	9
c.	Anticipated Award Date: No later than 09/30/2023.....	9
d.	Other Key Dates.....	9
2.	Agreeing to Terms and Conditions of the Award .....	10
3.	Address to Request Application Package .....	10
4.	Requirements: Obtain a Unique Entity Identifier (UEI) and Register in the System for Award Management (SAM).....	10
5.	Steps Required to Obtain a Unique Entity Identifier, Register in the System for Award Management (SAM), and Submit an Application.....	10
6.	Electronic Delivery .....	11
7.	How to Register to Apply through Grants.gov .....	12
a.	General Instructions: .....	12
b.	Obtain an UEI Number: .....	12
c.	Obtain Employer Identification Number.....	12
d.	Create a login.gov account: .....	12
e.	Register with SAM:.....	13
f.	Create a Grants.gov Account: .....	14
g.	Add a Profile to a Grants.gov Account: .....	14
h.	EBiz POC Authorized Profile Roles: .....	14
i.	Track Role Status: .....	14
j.	Electronic Signature: .....	14
8.	How to Submit an Initial Application to FEMA via Grants.gov .....	14
a.	Create a Workspace:.....	15
b.	Complete a Workspace:.....	15
c.	Adobe Reader: .....	15
d.	Mandatory Fields in Forms: .....	15
e.	Complete SF-424 Fields First: .....	15
f.	Submit a Workspace:.....	15
g.	Track a Workspace:.....	16
h.	Additional Training and Applicant Support:.....	16
9.	Submitting the Final Application in ND Grants .....	16
10.	Timely Receipt Requirements and Proof of Timely Submission.....	17
11.	Content and Form of Application Submission.....	17
a.	Standard Required Application Forms and Information .....	17
b.	Program-Specific Required Forms and Information .....	18
12.	Intergovernmental Review .....	18
13.	Funding Restrictions and Allowable Costs .....	18
a.	Prohibitions on Expending FEMA Award Funds for Covered Telecommunications Equipment or Services .....	19
b.	Pre-Award Costs.....	20
c.	Management and Administration (M&A) Costs .....	20

d. Indirect Facilities & Administrative (F&A) Costs .....	21
e. Equipment Costs.....	21
f. Other Direct Costs .....	21
E. Application Review Information.....	21
1. Application Evaluation Criteria .....	21
a. Programmatic Criteria .....	21
b. Financial Integrity Criteria .....	25
c. Supplemental Financial Integrity Criteria and Review .....	25
2. Review and Selection Process.....	26
F. Federal Award Administration Information.....	26
1. Notice of Award.....	26
2. Administrative and National Policy Requirements.....	27
a. DHS Standard Terms and Conditions .....	27
b. Ensuring the Protection of Civil Rights .....	27
c. Environmental Planning and Historic Preservation (EHP) Compliance.....	28
d. Privacy of Project Participants and Beneficiaries.....	29
e. Protection of Human Subjects in Research .....	29
f. Implementation and Measurement Plan .....	29
g. Detailed Budget Plan .....	29
h. Third Party Evaluation .....	30
3. Reporting.....	30
a. Financial Reporting Requirements.....	30
b. Programmatic Performance Reporting Requirements.....	31
c. Budget vs. Actuals (BVA) Reporting.....	<b>Error! Bookmark not defined.</b>
d. Closeout Reporting Requirements.....	32
e. Additional Reporting Requirements.....	34
4. Monitoring and Oversight.....	35
G. DHS Awarding Agency Contact Information.....	36
1. Contact and Resource Information.....	36
a. Program Office Contact.....	36
b. Centralized Scheduling and Information Desk (CSID).....	36
c. Grant Programs Directorate (GPD) Award Administration Division .....	36
d. CP3 Regional Prevention Coordinators .....	36
e. Equal Rights .....	37
f. Environmental Planning and Historic Preservation .....	37
2. Systems Information .....	37
a. Grants.gov .....	37
b. Non-Disaster (ND) Grants.....	37
c. Payment and Reporting System (PARS).....	37
H. Additional Information.....	37
1. Termination Provisions .....	37
a. Noncompliance.....	37
b. With the Consent of the Recipient .....	38
c. Notification by the Recipient .....	38
2. Program Evaluation .....	38
3. Period of Performance Extensions .....	38

4. Disability Integration .....	40
5. Conflicts of Interest in the Administration of Federal Awards or Subawards .....	41
6. Procurement Integrity .....	41
a. Important Changes to Procurement Standards in 2 C.F.R. Part 200 .....	42
b. Competition and Conflicts of Interest .....	42
c. Supply Schedules and Purchasing Programs .....	44
d. Procurement Documentation .....	45
7. Record Retention .....	46
a. Record Retention Period .....	46
b. Types of Records to Retain .....	46
8. Actions to Address Noncompliance .....	47
9. Audits .....	48
10. Payment Information .....	49
11. Whole Community Preparedness .....	50
12. Disclosure of Application Materials .....	50
13. Appendices: .....	51
Appendix A: Goals, Objectives and Outcomes .....	52
Appendix B: Application Tracks, Project Types, and Minimum Standards .....	54
a. Promising Practices Track .....	55
b. Innovation Track .....	62
Minimum Standards for Recipients of Projects in Threat Assessment and Management Teams; Recidivism Reduction and Reintegration; and Referral Services .....	62
Appendix C: Contents and Format of Project Narrative .....	66
a. Cover Page: .....	66
b. Body .....	67
c. Appendices – IMP, CVs of Key Personnel, Documentation of Commitment/Support and Letters of Recommendation .....	70
Appendix D: Research, Resources and Definitions .....	72
a. Introductory Resources .....	72
b. Research Resources .....	73
c. Risk Assessment Resources .....	74
d. Reentry and Reintegration Resources .....	75
e. Definitions .....	76
Appendix E: Budget Template .....	79

**A. Program Description****1. Issued By**

U.S. Department of Homeland Security (DHS), Office of Strategy, Policy, and Plans (PLCY), Center for Prevention Programs and Partnerships (CP3)/Federal Emergency Management Agency (FEMA)

**2. Assistance Listings Number**

97.132

**3. Assistance Listings Title**

Financial Assistance for Targeted Violence and Terrorism Prevention

**4. Funding Opportunity Title**

Fiscal Year 2023 Targeted Violence and Terrorism Prevention Grant Program

**5. Funding Opportunity Number**

DHS-23-TTP-132-00-01

**6. Authorizing Authority for Program**

Homeland Security Act of 2002, as amended (Pub. L. No 107-296) and Department of Homeland Security Appropriations Act, 2023 (Pub. L. No. 117-328)

**7. Appropriation Authority for Program**

Department of Homeland Security Appropriations Act, 2023 (Pub. L. No. 117-328)

**8. Announcement Type**

Initial

**9. Program Category**

Preparedness: Prevention

**10. Program Overview, Objectives, and Priorities****a. *Overview***

American communities continue to be vulnerable to the threats of targeted violence and terrorism, forms of violence that impact our collective sense of security and freedom. The Center for Prevention Programs and Partnerships (CP3) helps to prevent targeted violence and terrorism through funding, training, increasing public awareness, and developing partnerships across every level of the government, the private sector and in local communities across our country. Leveraging an approach informed by public health research, CP3 brings together mental health providers, educators, faith leaders, public health officials, social services, nonprofits, and others in communities across the country to help people from heading down the pathway to violence and intervening prior to them committing violent attacks. The Targeted Violence and Terrorism Prevention Grant Program provides financial assistance to eligible applicants to develop sustainable, multidisciplinary targeted violence and terrorism prevention capabilities in local communities, to pilot innovative prevention approaches, and to identify prevention best practices that can be replicated in communities across the country.

Lone offenders and small cells of individuals motivated by a range of violent extremist ideologies, of both domestic and foreign origin, represent the most persistent terrorism-related threat facing the United States. Amongst Domestic Violent Extremists (DVEs), racially or ethnically motivated violent extremists, including white supremacists, will likely remain the most lethal DVE threats. Since 2020, however, we have also seen a significant increase in anti-government and anti-authority violent extremism, particularly from militia violent extremists, that typically target law enforcement, elected officials, and government personnel and facilities. Foreign terrorist organizations also continue to motivate supporters, including homegrown violent extremists (HVEs), to carry out attacks in the United States, both within and from beyond our borders. Al-Qa'ida and ISIS have been diminished by longstanding pressure, but their networks and affiliates have diffused and persisted, often in areas of enduring conflict or lacking governance. This program will continue to support projects that prevent all forms of targeted violence and terrorism as well as projects that focus on preventing the most pressing current targeted violence and terrorism threats.

Many violent extremists exploit online platforms to spread hate, sow discord and division, and promote narratives to encourage violence. This program supports online, in-person, and hybrid programs that address the threat of online promotion of violence as well as the threat of violence in physical spaces. Many states have developed state targeted violence and terrorism prevention strategies, and this program supports the development and implementation of state, regional, or community targeted violence and terrorism prevention strategies.

#### b. *Objectives*

Over the past few years, the TVTP Grant Program has sought to support the development of prevention programs and capabilities in accordance with the September 2019 [Strategic Framework for Countering Terrorism and Targeted Violence](#) and in support of the terrorism prevention objectives in the March 2021 [Interim National Security Strategic Guidance](#). The grant program also directly supports Strategic Goal 2.1, *Strengthen Domestic Terrorism Prevention Resources and Services* of the June 2021 [National Strategy for Countering Domestic Terrorism](#) and is part of Goal 1 of the [DHS Strategic Plan, Countering Terrorism and Homeland Security Threats](#).

The TVTP Grant Program has six objectives as described below. Each objective has corresponding outcomes described in Appendix A, “Goals, Objectives, and Outcomes.” The TVTP Grant Program seeks to provide funding to applications that align with these objectives and that protect privacy, civil rights, and civil liberties. Please see Appendix D “Research, Resources, and Definitions” for additional resources that can be referenced to design project proposals:

- The local community has awareness of the signs that someone may be escalating towards violence and of the threats of targeted violence and terrorism.
- The local community has awareness of both risk factors for – and protective factors against – escalation to violence.
- Members of the local community engage the broadest and most diverse set of local stakeholders, sharing resources and best practices and building trusted partnerships to

address targeted violence and terrorism.

- Members of the local community can act on bystander training and help individuals before they escalate to violence by understanding the role of, and the means to contact, threat assessment and management teams.
- Members of the local community have access to multi-disciplinary threat assessment and management teams comprised of individuals such as psychologists, educators, faith leaders, and medical personnel that can provide support to an individual *before* an act of violence takes place.
- The local community has programs that address risk factors for, and strengthen protective factors against, escalation to violence, including recidivism reduction programming.

**c. *Priorities***

- Implementing Prevention Capabilities in Small and Mid-Sized Communities;
- Advancing Equity in Awards and Engaging Underserved Communities in Prevention;
- Addressing Online Aspects of Targeted Violence and Terrorism;
- Preventing Domestic Violent Extremism; and
- Enhancing Local Threat Assessment and Management Capabilities.

**11. Performance Measures**

Percentage of projects sustained after the period of performance.

Performance measures and metrics for recipients are identified in subparagraph (b) for each project type in Appendix B.

**B. Federal Award Information**

1. Available Funding for the NOFO: **\$20,000,000.00**

See Appendix B for target award amounts for each project type. These amounts are not a minimum or maximum award, but if the applicant requests an amount that deviates significantly (defined as deviation of 25% or more) from the target award amount for the applicable track or project type, DHS will require the applicant to include a detailed justification and budget breakdown.

2. Projected Number of Awards: **35 - 38**
3. Period of Performance: **24 months**

Limited extensions to the period of performance are allowed. For additional information on period of performance extensions, please refer to Section H of this NOFO.

FEMA awards under most programs, including this program, only include one budget period, so it will be same as the period of performance. *See* 2 C.F.R. § 200.1 for definitions of “budget period” and “period of performance.”

4. Projected Period of Performance Start Date(s): **10/01/2023**

5. Projected Period of Performance End Date(s): **09/30/2025**
6. Funding Instrument Type: **Grant**

### C. Eligibility Information

#### 1. Eligible Applicants

- Local governments as defined by 2 C.F.R. § 200.1
- Federally recognized Indian tribes as defined by 2 C.F.R. § 200.1
- Nonprofits with 501(c)(3) IRS status
- Institutions of higher education as defined by 2 C.F.R. § 200.1
- State governments as defined by 2 C.F.R. § 200.1.

#### 2. Applicant Eligibility Criteria

Applicants must demonstrate that they have sufficient authority and capacity to implement a project that aligns with the Innovation Project Track or one or more of the Project Types within the Promising Practices Project Track, as outlined in Appendix B, including the capability to engage the participants they propose to include in their projects.

#### 3. Other Eligibility Criteria/Restrictions

**Privacy, Civil Rights, and Civil Liberties:** Proposed projects shall not infringe on individual privacy, civil rights, and civil liberties. Applications shall describe any potential impacts to privacy, civil rights, and civil liberties and ways in which applicants will prevent or mitigate those impacts and administer their projects in a nondiscriminatory manner. Applications that describe programs, projects, or activities that do not appropriately protect privacy, civil rights, or civil liberties will be deemed ineligible for funding.

**Completeness:** All applicants must include the required elements for all applications (See Appendix C, “Contents and Format of Application”), as well as specific requirements of the projects they are proposing, including performance measures, for each project type (See Appendix B). Failure to provide a complete application or significant deviation from the requirements can cause an application to be deemed ineligible and not reviewed or scored.

**Research:** Projects that only consist of research are not eligible under this program. Research is an allowable expense; however, applicants must propose to implement one or more prevention capabilities during the period of performance and must demonstrate how any proposed research will support that implementation.

#### 4. Cost Share or Match

A Cost Share or Cost Match is not required.

### D. Application and Submission Information

#### 1. Key Dates and Times

- a. *Application Start Date:* **03/07/2023**



**b. *Application Submission Deadline:* 04/25/2023 at 05:00:00 PM ET**

All applications **must** be received by the established deadline.

The Non-Disaster (ND) Grants System has a date stamp that indicates when an application is submitted. Applicants will receive an electronic message confirming receipt of their submission. For additional information on how an applicant will be notified of application receipt, see the subsection titled “Timely Receipt Requirements and Proof of Timely Submission” in Section D of this NOFO.

**FEMA will not review applications that are received after the deadline or consider these late applications for funding.** FEMA may, however, extend the application deadline on request for any applicant who can demonstrate that good cause exists to justify extending the deadline. Good cause for an extension may include technical problems outside of the applicant’s control that prevent submission of the application by the deadline, other exigent or emergency circumstances, or statutory requirements for FEMA to make an award.

**Applicants experiencing technical problems outside of their control must notify FEMA as soon as possible and before the application deadline.** Failure to timely notify FEMA of the issue that prevented the timely filing of the application may preclude consideration of the award. “Timely notification” of FEMA means prior to the application deadline and within 48 hours after the applicant became aware of the issue.

A list of FEMA contacts can be found in Section G of this NOFO, “DHS Awarding Agency Contact Information.” For additional assistance using the ND Grants System, please contact the ND Grants Service Desk at (800) 865-4076 or [NDGrants@fema.dhs.gov](mailto:NDGrants@fema.dhs.gov). The ND Grants Service Desk is available Monday through Friday, 9:00 AM – 6:00 PM Eastern Time (ET). For programmatic or grants management questions, please contact your Program Analyst or Grants Specialist. If applicants do not know who to contact or if there are programmatic questions or concerns, please contact the Centralized Scheduling and Information Desk (CSID) by phone at (800) 368-6498 or by e-mail at [askcsid@fema.dhs.gov](mailto:askcsid@fema.dhs.gov), Monday through Friday, 9:00 AM – 5:00 PM ET.

**c. *Anticipated Award Date:* No later than 09/30/2023**

**d. *Other Key Dates***

<b>Event</b>	<b>Suggested Deadline for Completion</b>
Initial registration in SAM.gov includes UEI issuance	Four weeks before actual submission deadline
Obtaining a valid Employer Identification Number (EIN)	Four weeks before actual submission deadline
Creating an account with login.gov	Four weeks before actual submission deadline
Registering in SAM or updating SAM registration	Four weeks before actual submission deadline
Registering in Grants.gov	Four weeks before actual submission deadline

Event	Suggested Deadline for Completion
Creating a profile and organization in ND Grants	Four weeks before actual submission deadline
Starting application in Grants.gov	04/25/2023 5PM EDT
Associating Organization in ND Grants	04/25/2023
Submitting the final application in ND Grants	05/02/2023

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

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

## 3. Address to Request Application Package

Initial applications are processed through the [Grants.gov](http://www.grants.gov) portal. Final applications are completed and submitted through FEMA’s Non-Disaster Grants (ND Grants) System. Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>.

Hard copies of the NOFO can be downloaded at [Grants.gov](http://www.grants.gov) or obtained via email from the Awarding Office points of contact listed in Section G of this NOFO, “DHS Awarding Agency Contact Information” or by TTY (800) 462-7585.

## 4. Requirements: Obtain a Unique Entity Identifier (UEI) and Register in the System for Award Management (SAM)

Each applicant, unless they have a valid exception under 2 CFR 25.110, must:

- 1) Be registered in Sam.Gov before application submission.
- 2) Provide a valid Unique Entity Identifier (UEI) in its application.
- 3) Continue to always maintain an active System for Award Management (SAM) registration with current information during the Federal Award process.

## 5. Steps Required to Obtain a Unique Entity Identifier, Register in the System for Award Management (SAM), and Submit an Application

Applying for an award under this program is a multi-step process and requires time to complete. Applicants are encouraged to register early as the registration process can take four weeks or more to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines.

Please review the table above for estimated deadlines to complete each of the steps listed. Failure of an applicant to comply with any of the required steps before the deadline for submitting an application may disqualify that application from funding.

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

- a. Apply for, update, or verify their Unique Entity Identifier (UEI) number from SAM.gov and Employer Identification Number (EIN) from the Internal Revenue Service;

- b. In the application, provide an UEI number;
- c. Have an account with [login.gov](https://login.gov);
- d. Register for, update, or verify their SAM account and ensure the account is active before submitting the application;
- e. Create a Grants.gov account;
- f. Add a profile to a Grants.gov account;
- g. Establish an Authorized Organizational Representative (AOR) in Grants.gov;
- h. Register in ND Grants
- i. Submit an initial application in Grants.gov;
- j. Submit the final application in ND Grants, including electronically signing applicable forms; and
- k. Continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by a federal awarding agency. As part of this, applicants must also provide information on an applicant's immediate and highest-level owner and subsidiaries, as well as on all predecessors that have been awarded federal contracts or federal financial assistance within the last three years, if applicable.

Specific instructions on how to apply for, update, or verify an UEI number or SAM registration or establish an AOR are included below in the steps for applying through Grants.gov.

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

Per 2 C.F.R. § 25.110(c)(2)(iii), if an applicant is experiencing exigent circumstances that prevents it from obtaining an UEI number and completing SAM registration prior to receiving a federal award, the applicant must notify FEMA as soon as possible by contacting [askcsid@fema.dhs.gov](mailto:askcsid@fema.dhs.gov) and providing the details of the circumstances that prevent completion of these requirements. If FEMA determines that there are exigent circumstances and FEMA has decided to make an award, the applicant will be required to obtain an UEI number, if applicable, and complete SAM registration within 30 days of the federal award date.

## 6. Electronic Delivery

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

For this funding opportunity, FEMA requires applicants to submit initial applications through Grants.gov and a final application through ND Grants.

## 7. How to Register to Apply through Grants.gov

### a. *General Instructions:*

Registering and applying for an award under this program is a multi-step process and requires time to complete. Read the instructions below about registering to apply for FEMA funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

**The registration process can take up to four weeks to complete.** To ensure an application meets the deadline, applicants are advised to start the required steps well in advance of their submission.

Organizations must have an UEI number, an EIN, an active System for Award Management (SAM) registration and Grants.gov account to apply for grants.

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

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

If individual applicants are eligible to apply for this grant funding opportunity, refer to:

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

### b. *Obtain an UEI Number:*

All entities applying for funding, including renewal funding, prior to April 4, 2022, must have a UEI number. Applicants must enter the UEI number in the applicable data entry field on the SF-424 form.

For more detailed instructions for obtaining a UEI number, refer to: [Sam.gov](https://www.sam.gov).

### c. *Obtain Employer Identification Number*

All entities applying for funding must provide an Employer Identification Number (EIN). The EIN can be obtained from the IRS by visiting: <https://www.irs.gov/businesses/small-businesses-self-employed/apply-for-an-employer-identification-number-ein-online>.

### d. *Create a login.gov account:*

Applicants must have a login.gov account in order to register with SAM or update their SAM registration. Applicants can create a login.gov account here:

[https://secure.login.gov/sign\\_up/enter\\_email?request\\_id=34f19fa8-14a2-438c-8323-a62b99571fd3](https://secure.login.gov/sign_up/enter_email?request_id=34f19fa8-14a2-438c-8323-a62b99571fd3).

Applicants only have to create a login.gov account once. For applicants that are existing SAM users, use the same email address for the login.gov account as with SAM.gov so that the two accounts can be linked.

For more information on the login.gov requirements for SAM registration, refer to: <https://www.sam.gov/SAM/pages/public/loginFAQ.jsf>.

**e. Register with SAM:**

All organizations applying online through Grants.gov must register with SAM. Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually. Organizations will be issued a UEI number with the completed SAM registration.

For more detailed instructions for registering with SAM, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>.

Note: As a new requirement per 2 C.F.R. § 25.200, applicants must also provide the applicant's immediate and highest-level owner, subsidiaries, and predecessors that have been awarded federal contracts or federal financial assistance within the last three years, if applicable.

**I. ADDITIONAL SAM REMINDERS**

Existing SAM.gov account holders should check their account to make sure it is "ACTIVE." SAM registration should be completed at the very beginning of the application period and should be renewed annually to avoid being "INACTIVE." **Please allow plenty of time before the grant application submission deadline to obtain an UEI number and then to register in SAM. It may be four weeks or more after an applicant submits the SAM registration before the registration is active in SAM, and then it may be an additional 24 hours before FEMA's system recognizes the information.**

It is imperative that the information applicants provide is correct and current. Please ensure that your organization's name, address, and EIN are up to date in SAM and that the UEI number used in SAM is the same one used to apply for all other FEMA awards. Payment under any FEMA award is contingent on the recipient's having a current SAM registration.

**II. HELP WITH SAM**

The SAM quick start guide for new recipient registration and SAM video tutorial for new applicants are tools created by the General Services Administration (GSA) to assist those registering with SAM. If applicants have questions or concerns about a SAM registration, please contact the Federal Support Desk at <https://www.fsd.gov/fsd-gov/home.do> or call toll free (866) 606-8220.

**f. *Create a Grants.gov Account:***

The next step in the registration process is to create an account with Grants.gov. If applicable, applicants must know their organization's UEI number to complete this process.

For more information, follow the on-screen instructions or refer to:

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

See also Section D.8 in this NOFO, "Submitting the Final Application in ND Grants," for instructions on how to register early in ND Grants.

**g. *Add a Profile to a Grants.gov Account:***

A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, if applicable, enter the UEI number for the organization in the UEI field while adding a profile.

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

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

**h. *EBiz POC Authorized Profile Roles:***

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

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

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

**i. *Track Role Status:***

To track your role request, refer to:

<https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>.

**j. *Electronic Signature:***

When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize individuals who are able to make legally binding commitments on behalf of the organization as an AOR; **this step is often missed, and it is crucial for valid and timely submissions.**

**8. How to Submit an Initial Application to FEMA via Grants.gov**

Standard Form 424 (SF-424) is the initial application for this NOFO.

Grants.gov applicants can apply online using a workspace. A workspace is a shared, online environment where members of a grant team may simultaneously access and edit different web forms within an application. For each Notice of Funding Opportunity, you can create individual instances of a workspace. Applicants are encouraged to submit their initial applications in Grants.gov at least seven days before the application deadline.

In Grants.gov, applicants need to submit the following forms:

- SF-424, Application for Federal Assistance
- Grants.gov Lobbying Form, Certification Regarding Lobbying

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities using Workspace, refer to:

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>

**a. *Create a Workspace:***

Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

**b. *Complete a Workspace:***

Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission.

**c. *Adobe Reader:***

If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace so that they will appear similar to other Standard or DHS forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

**d. *Mandatory Fields in Forms:***

In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

**e. *Complete SF-424 Fields First:***

The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and UEI number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.

**f. *Submit a Workspace:***

An application may be submitted through workspace by clicking the “Sign and Submit” button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

**g. *Track a Workspace:***

After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

**h. *Additional Training and Applicant Support:***

For additional training resources, including video tutorials, refer to:

<https://www.grants.gov/web/grants/applicants/applicant-training.html>

Grants.gov provides applicants 24/7 (except federal holidays) support via the toll-free number (800) 518-4726, email at [support@grants.gov](mailto:support@grants.gov) and the website at <https://www.grants.gov/support.html>. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist FEMA with tracking your issue and understanding background information on the issue.

**9. Submitting the Final Application in ND Grants**

After submitting the initial application in Grants.gov, eligible applicants will be notified by FEMA and asked to proceed with submitting their complete application package in ND Grants. Applicants can register early with ND Grants and are encouraged to begin their ND Grants registration at the time of this announcement or, at the latest, seven days before the application deadline. Early registration will allow applicants to have adequate time to start and complete their applications.

Applicants needing assistance registering for the ND Grants system should contact [ndgrants@fema.dhs.gov](mailto:ndgrants@fema.dhs.gov) or (800) 865-4076. For step-by-step directions on using the ND Grants system and other guides, please see <https://www.fema.gov/grants/guidance-tools/non-disaster-grants-management-system>.

In ND Grants, applicants will be prompted to submit the standard application information and any program-specific information required as described in Section D.10 of this NOFO, “Content and Form of Application Submission.” The Standard Forms (SF) are auto generated in ND Grants, but applicants may access these forms in advance through the Forms tab under the [SF-424 family on Grants.gov](#). Applicants should review these forms before applying to ensure they have all the information required.



For additional application submission requirements, including program-specific requirements, please refer to the subsection titled “Content and Form of Application Submission” under Section D of this NOFO.

## 10. Timely Receipt Requirements and Proof of Timely Submission

As application submission is a two-step process, the applicant with the AOR role who submitted the application in Grants.gov will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of its initial application. **This notification does not serve as proof of timely submission, as the application is not complete until it is submitted in ND Grants.** Applicants can also view the ND Grants Agency Tracking Number by accessing the Details tab in the submitted workspace section in Grants.gov, under the Agency Tracking Number column. Should the Agency Tracking Number not appear, the application has not yet migrated from Grants.gov into the ND Grants System. Please allow 24 hours for your ND Grants application tracking number to migrate.

All applications must be received in ND Grants by **5:00 PM ET** on the application deadline. Proof of timely submission is automatically recorded by ND Grants. An electronic date/time stamp is generated within the system when the application is successfully received by ND Grants. Additionally, the applicant(s) listed as contacts on the application will receive a system-generated email to confirm receipt.

**Applicants who experience system-related issues will be addressed until 3:00 PM ET on the date applications are due.** No new system-related issues will be addressed after this deadline. Applications not received by the application submission deadline will not be accepted.

## 11. Content and Form of Application Submission

### a. *Standard Required Application Forms and Information*

The following forms or information are required to be submitted in either Grants.gov or ND Grants. The Standard Forms (SF) are submitted either through Grants.gov, through forms generated in ND Grants, or as an attachment in ND Grants. Applicants may also access the SFs at <https://www.grants.gov/web/grants/forms/sf-424-family.html>.

#### I. GRANTS.GOV

- **SF-424, Application for Federal Assistance**, initial application submitted through Grants.gov
- **Grants.gov Lobbying Form, Certification Regarding Lobbying**, submitted through Grants.gov

#### II. ND GRANTS

- **SF-424A, Budget Information (Non-Construction)**, submitted via the forms generated by ND Grants
  - **For construction under an award, submit SF-424C, Budget Information (Construction)**, submitted via the forms generated by ND Grants, in addition to or instead of SF-424A

- **SF-424B, Standard Assurances (Non-Construction)**, submitted via the forms generated by ND Grants
  - **For construction under an award, submit SF-424D, Standard Assurances (Construction)**, submitted via the forms generated by ND Grants, in addition to or instead of SF-424B
- **SF-LLL, Disclosure of Lobbying Activities**, submitted via the forms generated by ND Grants
- **Indirect Cost Agreement or Proposal**, submitted as an attachment in ND Grants if the budget includes indirect costs and the applicant is required to have an indirect cost rate agreement or proposal. If the applicant does not have or is not required to have an indirect cost rate agreement or proposal, please see Section D.13 of this NOFO, “Funding Restrictions and Allowable Costs,” for further information regarding allowability of indirect costs and whether alternatives to an indirect cost rate agreement or proposal might be available or contact the relevant FEMA staff identified in Section G of this NOFO, “DHS Awarding Agency Contact Information” for further instructions.

**b. *Program-Specific Required Forms and Information***

The following program-specific forms or information are required to be submitted in NDGrants:

- Project Narrative, submitted as a *single* PDF attachment. The Project Narrative has the following components:
  - Cover Page
  - Body
  - Appendices
    - Implementation and Measurement Plan
    - Resumes/CVs of Key Personnel
    - Documentation of Support
    - Letters of Recommendation (Optional)

See Appendix C for detailed instructions on completing the Project Narrative. See also Appendix E for a budget worksheet example.

**12. Intergovernmental Review**

An intergovernmental review may be required. Applicants must contact their state’s Single Point of Contact (SPOC) to comply with the state’s process under Executive Order 12372 (See <https://www.archives.gov/federal-register/codification/executive-order/12372.html>; [www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf](http://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf)).

**13. Funding Restrictions and Allowable Costs**

All costs charged to awards covered by this NOFO must comply with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements at 2 C.F.R. Part 200, unless otherwise indicated in the NOFO, or the terms and conditions of the award. This includes, among other requirements, that costs must be incurred, and products and services must be delivered, within the period of performance of the award. *See* 2 C.F.R. § 200.403(h) (referring to budget periods, which for FEMA awards is the same as the period of performance).

In general, the Cost Principles establish standards for the allowability of costs, provide detailed guidance on the cost accounting treatment of costs as direct or administrative costs, and set forth allowability principles for selected items of cost. More specifically, except as otherwise stated in this NOFO, the terms and condition of an award, or other program materials, costs charged to awards covered by this NOFO must be consistent with the Cost Principles for Federal Awards located at 2 C.F.R. Part 200, Subpart E. In order to be allowable, all costs charged to a FEMA award or applied to the cost share must be reasonable in nature and amount and allocable to the particular FEMA award.

Additionally, all costs charged to awards must comply with the grant program's applicable statutes, policies, requirements in this NOFO as well as with the terms and conditions of the award. If FEMA staff identify costs that are inconsistent with any of these requirements, these costs may be disallowed, and FEMA may recover funds as appropriate, consistent with applicable laws, regulations, and policies.

As part of those requirements, grant recipients and subrecipients may only use federal funds or funds applied to a cost share for the purposes set forth in this NOFO and the terms and conditions of the award, and those costs must be consistent with the statutory authority for the award.

Grant funds may not be used for matching funds for other federal grants/cooperative agreements, lobbying, or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity.

**a. *Prohibitions on Expending FEMA Award Funds for Covered Telecommunications Equipment or Services***

Recipients and subrecipients of FEMA federal financial assistance are subject to the prohibitions described in section 889 of the [John S. McCain National Defense Authorization Act for Fiscal Year 2019 \(FY 2019 NDAA\)](#), Pub. L. No. 115-232 (2018) and 2 C.F.R. §§ 200.216, 200.327, 200.471, and Appendix II to 2 C.F.R. Part 200. Beginning August 13, 2020, the statute – as it applies to FEMA recipients, subrecipients, and their contractors and subcontractors – prohibits obligating or expending federal award funds on certain telecommunications and video surveillance products and contracting with certain entities for national security reasons.

Guidance is available at FEMA Policy #405-143-1, [Prohibitions on Expending FEMA Award Funds for Covered Telecommunications Equipment or Services](#), or [superseding document](#).

Additional guidance is available at [Contract Provisions Guide: Navigating Appendix II to Part 200 - Contract Provisions for Non-Federal Entity Contracts Under Federal Awards \(fema.gov\)](#).

**Effective August 13, 2020**, FEMA recipients and subrecipients **may not** use any FEMA funds under open or new awards to:

- Procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology of any system;
- Enter into, extend, or renew a contract to procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology of any system; or
- Enter into, extend, or renew contracts with entities that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system.

#### I. DEFINITIONS

Per section 889(f)(2)-(3) of the FY 2019 NDAA and 2 C.F.R. § 200.216, covered telecommunications equipment or services means:

- Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation, (or any subsidiary or affiliate of such entities);
- For the purpose of public safety, security of Government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities);
- Telecommunications or video surveillance services provided by such entities or using such equipment; or
- Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the People’s Republic of China.

Examples of the types of products covered by this prohibition include phones, internet, video surveillance, and cloud servers when produced, provided, or used by the entities listed in the definition of “covered telecommunications equipment or services.” See 2 C.F.R. § 200.471.

#### b. *Pre-Award Costs*

Pre-award costs are NOT Allowed.

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

M&A costs are allowable by the recipient up to 5% of the award. M&A activities are those defined as directly relating to the management and administration of TVTP funds.

M&A costs are not operational costs. They are the necessary costs incurred in direct support of the grant or as a result of the grant and should be allocated across the entire lifecycle of the grant. Examples include preparing and submitting required programmatic and financial

reports, establishing and/or maintaining equipment inventory, documenting operational and equipment expenditures for financial accounting purposes; and responding to official informational requests from state and federal oversight authorities.

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

Indirect costs are allowable under this program as described in 2 C.F.R. Part 200, including 2 C.F.R. § 200.414. Applicants with a current negotiated indirect cost rate agreement that desire to charge indirect costs to an award must provide a copy of their negotiated indirect cost rate agreement at the time of application. Not all applicants are required to have a current negotiated indirect cost rate agreement. Applicants that are not required by 2 C.F.R. Part 200 to have a negotiated indirect cost rate agreement but are required by 2 C.F.R. Part 200 to develop an indirect cost rate proposal must provide a copy of their proposal at the time of application. Applicants who do not have a current negotiated indirect cost rate agreement (including a provisional rate) and wish to charge the de minimis rate must reach out to the FEMA Grants Management Specialist and the CP3 Grants Team for further instructions. Applicants who wish to use a cost allocation plan in lieu of an indirect cost rate must also reach out to the FEMA Grants Management Specialist and CP3 Grants Team for further instructions. The CP3 Grants Team can be reached at [terrorism prevention@hq.dhs.gov](mailto:terrorism prevention@hq.dhs.gov).

**e. *Equipment Costs***

Equipment costs are not allowed under this program. Equipment is defined as any tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level for financial statement purposes, or \$5,000 (2 C.F.R. § 200.1). Additionally, the TVTP grant program does not allow costs for supplies or equipment related to emergency planning, response and communications, first aid, tactical response, or related costs.

**f. *Other Direct Costs***

Planning, training, organization, exercises, and domestic travel are allowed under this program. Please refer to Appendix E for additional budgetary guidance on Direct Costs and other cost categories.

**E. Application Review Information**

**1. Application Evaluation Criteria**

**a. *Programmatic Criteria***

DHS will review applications submitted in two application tracks, “Promising Practices” and “Innovation,” based on project type. Applications will be scored on the following merit criteria and will be assigned points up to the maximum number of points listed for the below criteria for a total maximum score of 100 points.

Note: Applicants that plan on applying to both the Promising Practices and Innovation tracks must submit **two separate applications** and may **only submit one application per track**. Please refer to Appendix B for information on the application tracks, and Appendix C for a detailed description of the required elements associated with the below scoring criteria.

**Needs Assessment: 15 Points**

Applicants will conduct a needs assessment as described in Appendix C, “Contents and Format of Project Narrative.” Applicants must describe the current local prevention initiatives, organizations, services, or activities in the relevant localities that may become part of a local prevention network as a result of the applicants’ proposed project.

Applicants should also demonstrate how the proposed project(s) move their locality/target population from the current state to their goal state. To receive the maximum number of points, applicants will outline activities from a broad range of stakeholders in their planned area of performance in determining their needs and currently available resources.

Applicants should also assess the needs of their entire community to access their services, including individuals with limited English proficiency, disabilities, or those with unique barriers to accessing grant- funded services.

Applicants must outline:

- The target population for services (the group of individuals that are expected to use the proposed program) and the estimated number of people in that target population. The target population is not a simple demographic breakdown of your target location. The target population are the groups who will be directly impacted by project activities. The communities, age groups, and organizations/ institutions of these groups should be specified. Please also identify if you will be working with any historically marginalized populations (i.e., racial, ethnic, or religious minorities, LGBTQ+, or persons with disabilities). Points in this category are assigned based on how well the target population is described. – 10 points
- An inventory of other programs that currently serve the target population and identification of gaps in these services that the proposed program will fill. – 5 points

**Program Design and Implementation and Measurement Plan: 45 points**

The program design is a critical part of the application that demonstrates the degree to which applicants understand how their proposed work will have an impact in preventing targeted violence and terrorism. The Implementation and Measurement Plan (IMP) is the applicant’s opportunity to demonstrate the details of their program design as well as capacity of program design, program management, and understanding of performance measurement and reporting. Each application’s program design will be scored on the quality of their project narrative and IMP in accordance with the DHS Template. The IMP should follow the SMART model (Specific, Measurable, Achievable Relevant, Time-bound).

- **Specific:** Well-defined, clear, and unambiguous
- **Measurable:** Includes specific criteria that measure progress toward the accomplishment of goals and objectives.
- **Achievable:** Attainable and not impossible to achieve.
- **Relevant:**
  - The program design and overarching goals and objectives of the project must be relevant to the Objectives of this Grant Program outlined in Section A (10) “Program Overview, Objectives, and Priorities” and elaborated upon in Appendix A “Goals, Objectives, and Outcomes.”

- The proposed activities must be relevant to achieving the project’s objectives.
- The proposed performance measures must be relevant to measuring the impact of the project’s activities.
- **Time-bound:** With a clearly defined timeline, including a starting date and a target date for each activity.

***Applicants must use CP3’s official Implementation and Measurement Plan (IMP)***

***Template:***

- [CP3 Implementation and Measurement Plan Template](#)
- [CP3 Implementation and Measurement Plan Fact Sheet](#)
- [CP3 Implementation and Measurement Plan Guidance](#)

To receive the maximum number of points, applicants should complete the IMP Template to ensure that the most meaningful aspects of their programs are captured. Applicants should utilize the above “CP3 IMP Fact Sheet” and “CP3 IMP Guidance” resources for further reference on how to build a strong and comprehensive Implementation and Measurement Plan. Additionally, to receive the maximum number of points, applicants must adhere to the following requirements with respect to both their Project Narrative and IMP:

- **Project Narrative:** All elements of the Program Design will demonstrate a clear connection between the problem statement, program goals and objectives, and logic model/theory of change. Additionally, program design will be in line with the SMART model described above. See Appendix C, “Project Narrative Components Overview” for further details – 15 Points
- **Within IMP:** Demonstrate clear understanding of performance measurement. This includes quantifiable, time-bound outputs, data collection methods, and adequate methods for assessing the impact of activities. Performance measurements outlined in the IMP must follow requirements identified for each project type in Appendix B “Application Tracks” – 15 points.
- Project narrative clearly identifies which grant program objectives the proposed project intends to address and clearly outlines how applicant will achieve the associated outcomes. – 10 Points  
See Appendix A for details on objectives and outcomes.
- Project narrative and IMP clearly identify the project track and project types that the proposed project intends to address. Applicants also clearly justify why the selected project track and types are appropriate for the intended outcomes. – 5 Points  
See Appendix B for details on project types and tracks.

As outlined in Section F, Federal Award Administration, Part 2, Administrative and National Policy Requirements, Protection of Human Subjects in Research and Appendix B, certain project types and required performance measurements will constitute human subject research covered by the [Common Rule](#) and DHS policy and, therefore, will require review by

an Institutional Review Board (IRB) and the DHS Compliance and Assurance Program Office (CAPO) prior to initiation of research activities. Such applicants must incorporate the IRB and DHS CAPO review processes into their IMP, project timeline, and budget (if the applicant does not have an internal IRB and funds are required to contract with a commercial IRB).

Applicants proposing projects in the innovation track will clearly identify how their proposed project implements a new theory of change or serves a unique target population.

### **Organization(s) and Key Personnel: 15 Points**

Applicants are required to describe their organization(s) and all key personnel (including contractors) that will work on the funded project(s). To receive the maximum number of points, applicants will provide:

- Details that indicate how the organization is poised to deliver the intended outcomes of their projects through past successes in prevention or related work, existing community partnerships, and how the key personnel have sufficient subject matter expertise to accomplish the project. In addition, the role of each key personnel as it pertains to the project should be provided. Resumes for each key personnel must be submitted. Applicants should remove Personally Identifiable Information that is not necessary to demonstrate the individuals' experience, including phone numbers, email addresses, physical addresses, names of supervisors and references, etc.
- Letters of Support: Projects utilizing partners to carry out significant portions of the project should include a detailed description of the partner's experience, responsibilities under the grant, and capability as well as a letter of support or similar documentation to be scored highly in this category. Letters of support should clearly state how project activities will be supported.

### **Sustainability: 15 Points**

Applicants are required to describe how the activities and capabilities in their proposed project will be sustained following the end of the period of performance. To receive the maximum number of points applicants will outline:

- A feasible plan to sustain all the capabilities developed by their project permanently without Federal funding. In addition, simply seeking another source of federal funding does not demonstrate sustainability. – 10 Points
- How the proposed project fits into the larger mission of the organization and therefore the likelihood it will be maintained beyond the period of performance. For example, will the project be expanded into other locations and with other audiences following the end of the grant program? – 5 Points

Applicants who have previously received a TVTP award from DHS (Assistance Listing 97.132) will be required to describe how their proposed project complements, rather than just sustains, their past award. Applicants that propose sustainment and continuation of an existing or previous award without alteration will not be considered for funding.



### **Budget Detail and Narrative: 10 Points**

Applicants are required to describe their budget in narrative form and provide a detailed budget breakdown with the associated cost categories. To receive the maximum number of points, applicants will outline:

- A narrative describing how the proposed budget is specific, reasonable, efficient, and in line with the target award amounts associated with each project type (see Appendix B, “Application Tracks” for details).
- A clear description and detail of costs associated and justification for contractors and key personnel.
- If applicable, a justification for budgets that deviate significantly from the target award funds associated with each project type.

#### **b. *Financial Integrity Criteria***

Prior to making a federal award, FEMA is required by 31 U.S.C. § 3354, as enacted by the Payment Integrity Information Act of 2019, Pub. L. No. 116-117 (2020); 41 U.S.C. § 2313; and 2 C.F.R. § 200.206 to review information available through any Office of Management and Budget (OMB)-designated repositories of governmentwide eligibility qualification or financial integrity information, including whether the applicant is suspended or debarred. FEMA may also pose additional questions to the applicant to aid in conducting the pre-award risk review. Therefore, application evaluation criteria may include the following risk-based considerations of the applicant:

- i. Financial stability.
- ii. Quality of management systems and ability to meet management standards.
- iii. History of performance in managing federal award.
- iv. Reports and findings from audits.
- v. Ability to effectively implement statutory, regulatory, or other requirements.

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

Prior to making a federal award where the anticipated total federal share will be greater than the simplified acquisition threshold, currently \$250,000:

- i. FEMA is required to review and consider any information about the applicant, including information on the applicant’s immediate and highest-level owner, subsidiaries, and predecessors, if applicable, that is in the designated integrity and performance system accessible through the System for Award Management (SAM), which is currently the [Federal Recipient Performance and Integrity Information System](#) (FAPIIS).
- ii. An applicant, at its option, may review information in FAPIIS and comment on any information about itself that a federal awarding agency previously entered.

- iii. FEMA will consider any comments by the applicant, in addition to the other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 C.F.R. § 200.206.

## 2. Review and Selection Process

CP3 will review applications submitted by the deadline against the eligibility criteria in Section C. Each application deemed eligible will be reviewed and scored by two subject matter experts (SMEs) with expertise in terrorism, targeted violence, prevention, or related subjects based on the scoring criteria outlined in Section E (1), "Application Evaluation Criteria." The SMEs scoring each application will then confer to arrive at a consensus score.

CP3 will convene a panel of SMEs drawn from CP3 and/or other parts of DHS and/or interagency federal partners to review the top scoring applications. The panel will review applications by application track as identified in Appendix B. The panel will develop a recommendation on which projects, or portion of projects, to award based on the quality of the application (i.e., its scores) and some or all of the following additional factors:

- Meeting the priorities and objectives identified in Section A and Appendix A
- Achieving diversity in project type while avoiding duplications of effort;
- Achieving geographic diversity (to include regions as well as type (e.g., urban, suburban, rural);
- Achieving diversity in eligible applicant type; and
- Maximizing the use of funds.

The panel's recommendations shall provide a listing of projects for award that will account for the entire amount of funds available under this opportunity and a reserve list of awards totaling approximately 20% of the total available funding. The reserve list will be used to replace applications removed from consideration due to negative findings in the financial integrity reviews described in paragraphs 1.b. and c. of this section or if a selected application fails to accept an award within the time period indicated in Section F.

The Director of CP3 in coordination with the FEMA Assistant Administrator, Grant Programs Directorate will provide the recommendations of the panel to the DHS Under Secretary for Strategy, Policy, and Plans for final award determination. The Under Secretary may review additional information and consider other factors in making the final award determination.

## F. Federal Award Administration Information

### 1. Notice of Award

Before accepting the award, the AOR and recipient should carefully read the award package. The award package includes instructions on administering the grant award and the terms and conditions associated with responsibilities under federal awards. **Recipients must accept all conditions in this NOFO as well as any specific terms and conditions in the Notice of Award to receive an award under this program.**

Notification of award approval is made through the ND Grants system through an automatic electronic mail to the recipient's authorized official listed in the initial application. The recipient should follow the directions in the notification to confirm acceptance of the award.

Recipients must accept their awards no later than 60 days from the award date. The recipient shall notify FEMA of its intent to accept and proceed with work under the award or provide a notice of intent to decline through the ND Grants system. For instructions on how to accept or decline an award in the ND Grants system, please see the ND Grants Grant Recipient User Guide, which is available at <https://www.fema.gov/grants/guidance-tools/non-disaster-grants-management-system> along with other ND Grants materials.

Funds will remain on hold until the recipient accepts the award through the ND Grants system and all other conditions of the award have been satisfied or until the award is otherwise rescinded. Failure to accept a grant award within the 60-day timeframe may result in a loss of funds.

## 2. Administrative and National Policy Requirements

In addition to the requirements of in this section and in this NOFO, FEMA may place specific terms and conditions on individual awards in accordance with 2 C.F.R. Part 200.

### a. *DHS Standard Terms and Conditions*

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

The applicable DHS Standard Terms and Conditions will be those in effect at the time the award was made. What terms and conditions will apply for the award will be clearly stated in the award package at the time of award.

### b. *Ensuring the Protection of Civil Rights*

As the Nation works towards achieving the [National Preparedness Goal](#), it is important to continue to protect the civil rights of individuals. Recipients and subrecipients must carry out their programs and activities, including those related to the building, sustainment, and delivery of core capabilities, in a manner that respects and ensures the protection of civil rights for protected populations.

Federal civil rights statutes, such as Section 504 of the Rehabilitation Act of 1973 and Title VI of the Civil Rights Act of 1964, along with DHS and FEMA regulations, prohibit discrimination on the basis of race, color, national origin, sex, religion, age, disability, limited English proficiency, or economic status in connection with programs and activities receiving [federal financial assistance](#) from FEMA.

The DHS Standard Terms and Conditions include a fuller list of the civil rights provisions that apply to recipients. These terms and conditions can be found in the [DHS Standard Terms and Conditions](#). Additional information on civil rights provisions is available at <https://www.fema.gov/about/offices/equal-rights/civil-rights>.

Monitoring and oversight requirements in connection with recipient compliance with federal civil rights laws are also authorized pursuant to 44 C.F.R. Part 7.

In accordance with civil rights laws and regulations, recipients and subrecipients must ensure the consistent and systematic fair, just, and impartial treatment of all individuals, including individuals who belong to underserved communities that have been denied such treatment.

**c. *Environmental Planning and Historic Preservation (EHP) Compliance***

As a federal agency, FEMA is required to consider the effects of its actions on the environment and historic properties to ensure that all activities and programs funded by FEMA, including grant-funded projects, comply with federal EHP laws, Executive Orders, regulations, and policies, as applicable.

All non-critical new construction or substantial improvement of structures in a Special Flood Hazard Area must, at a minimum, apply the flood elevations of the Federal Flood Risk Management Standard's Freeboard Value Approach unless doing so would cause the project to be unable to meet applicable program cost-effectiveness requirements. All other types of projects may choose to apply the flood elevations of the Federal Flood Risk Management Standard's Freeboard Value Approach. See [Executive Order \(EO\) 14030, Climate-Related Financial Risk](#) and [FEMA Policy #-206-21-0003, Partial Implementation of the Federal Flood Risk Management Standard for Hazard Mitigation Assistance Programs \(Interim\) \(fema.gov\)](#).

**Recipients and subrecipients proposing projects that have the potential to impact the environment, including, but not limited to, the construction of communication towers, modification or renovation of existing buildings, structures, and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review process.** The EHP review process involves the submission of a detailed project description along with any supporting documentation requested by FEMA in order to determine whether the proposed project has the potential to impact environmental resources or historic properties.

In some cases, FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. Federal law requires EHP review to be completed before federal funds are released to carry out proposed projects. FEMA may not be able to fund projects that are not in compliance with applicable EHP laws, Executive Orders, regulations, and policies.

DHS and FEMA EHP policy is found in directives and instructions available on the [FEMA.gov EHP page](#), the FEMA website page that includes documents regarding EHP responsibilities and program requirements, including implementation of the National Environmental Policy Act and other EHP regulations and Executive Orders. Individual FEMA programs have separate procedures to conduct and document EHP review. Guidance for individual grant programs is available from applicable program offices.

**d. *Privacy of Project Participants and Beneficiaries***

DHS takes seriously its responsibility to protect the privacy of individuals in all activities. In addition to abiding by the “Best Practices for Use and Collection of Personally Identifiable Information (PII)” included in the DHS Standard Terms and Conditions, recipients of a grant under this program shall limit the collection of PII to only the information necessary to implement their project. Recipients shall not transmit PII of program participants to DHS. In the collection of information for the purposes of measuring performance, program evaluation, and meeting DHS reporting requirements, data should be aggregated or anonymized prior to transmittal to ensure that individuals are not identified or be able to be re-identified.

**e. *Protection of Human Subjects in Research***

Successful applicants must meet all DHS and U.S. Department of Health and Human Services (HHS) requirements for research involving human subjects and their data. These requirements can be found in The [Common Rule \(6 C.F.R. Part 46, 45 C.F.R Part 46, Subparts B-D](#), and in DHS Policy). Applicants proposing to conduct human subject research as a component of their project must have an Institutional Review Board (IRB) review and approve the research prior to collection of information or initiation of research. Additionally, any project proposing to conduct research involving vulnerable populations covered by 45 C.F.R. 46, Subparts B-D, which include minors and prisoners (of particular significance for the TVTP Grant Program), should plan to undergo a full [IRB review](#) and approval process. The [DHS Compliance Assurance Program Office \(CAPO\)](#) also must review and approve all research involving human subjects prior to initiation of research activities. Applicants should factor these reviews into their project timeline.

Applicants without their own IRB must budget grant funds to cover the cost of IRB review (see Appendix E for further budget guidance on this point). During the application review process, CP3 will determine whether a project includes research involving human subjects requiring IRB review. After award, CP3 may inform some applicants who did not initially plan for IRB review that their program or a component of their program constitutes human subjects research covered by DHS regulations and policy and, therefore, will require IRB review.

**f. *Implementation and Measurement Plan***

Applicants should expect to submit an IMP as part of their application narrative. Recipients under this program will be required to have their IMP approved by CP3 prior to beginning performance. Receiving an award under this program does not constitute final approval of an IMP.

**g. *Detailed Budget Plan***

Prospective applicants should also be aware that, if selected as a recipient, they will be required to submit a Detailed Budget Plan to CP3 at the end of the first quarter of performance, due with their Quarter 1 Report one month following the end of the quarter on January 30, 2024, per the reporting timeline outlined below in Section F(3) “Reporting.”

The Detailed Budget Plan will provide additional details to supplement the original budget provided in the applicant’s Project Narrative and will complement the recipient’s approved Implementation and Measurement Plan which will be approved in the first quarter of performance.

#### **h. *Third Party Evaluation***

For each fiscal year cycle of the TVTP Grant Program, DHS selects a minimum of 7 awards to undergo an independent evaluation overseen by DHS Science & Technology Directorate (S&T) in partnership with CP3. Each recipient has the potential to be selected by DHS for evaluation. If a project is selected, the independent evaluator will then partner with that recipient to evaluate their project throughout the period of performance, including attending regular meetings with the recipient, reviewing their reports and project materials, and assisting as necessary in the design of data collection tools for performance measurement such as pre- and post- surveys. Evaluation reports are published on DHS’ website within one year of the conclusion of the project’s period of performance. Recipients selected for evaluation have specific closeout reporting requirements as outlined below in Section F(3)(d) “Closeout Reporting Requirements.”

By accepting this award, all recipients agree to participate in an evaluation of this grant if selected for evaluation, and to follow all related protocols established by DHS, which may include analysis of the effects on individuals and providing access to program operating personnel, participants, and documents, as specified by the evaluator(s). DHS encourages participation in evaluation after the period of performance ends.

### **3. Reporting**

Recipients are required to submit various financial and programmatic reports as a condition of award acceptance. Future awards and funds drawdown may be withheld if these reports are delinquent.

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

##### **I. FEDERAL FINANCIAL REPORT (FFR)**

Recipients must report obligations and expenditures through the FFR form (SF-425) to FEMA.

Recipients may review the Federal Financial Reporting Form (FFR) (SF-425) at <https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortBy=1>

Recipients must file the FFR electronically using the Payment and Reporting Systems ([PARS](#)).

##### **II. FFR REPORTING PERIODS AND DUE DATES**

An FFR must be submitted quarterly throughout the POP, including partial calendar quarters, as well as in periods where no grant award activity occurs. The final FFR is due within 120 calendar days after the end of the POP. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

Except for the final FFR due at 120 days after the end of the POP for purposes of closeout, the following reporting periods and due dates apply for the FFR:

Reporting Period	Report Due Date
October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30

Please Note: In the event that the 30<sup>th</sup> of the month falls on a Saturday or Sunday, recipients are **strongly encouraged** to submit their reports by **Friday**. Recipients may submit their reports up until the official deadline of the 30<sup>th</sup>, however reports received after the deadline will be marked late.

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

### **I. REPORT PROCEDURE AND CONTENTS**

Programmatic quarterly performance reports are submitted through ND Grants and emailed to the assigned CP3 Grants Manager. The reports shall include:

- Narrative description of activities during the reporting period.
- Issues or challenges identified.
- An assessment of whether the project is on track to meet its timeline and outcome goals.
- Information collected in accordance with their approved Implementation and Measurement Plan (IMP) with the progress reporting for the covered reporting period. Each approved IMP will include the required performance measures identified in paragraph b. for each project type in Appendix B.
- Detailed data on project outputs in a format to be prescribed by CP3.

### **II. PROGRAMMATIC REPORTING FREQUENCY**

Programmatic reports are due on a quarterly basis (please see above chart for the FFR; the same reporting periods and due dates apply to the programmatic quarterly report). For the programmatic report due for the last quarter before the end of the period of performance (POP), the recipient must include a qualitative narrative summary detailing all accomplishments of the grant to date; the impact of those accomplishments; and underlying data to support the narrative. This final quarterly report will form the foundation for the recipient's closeout report (see below). CP3 will review the programmatic report for sufficiency and provide any necessary feedback, which the recipient should address in the closeout report, which shall be submitted within 120 days after the end of the period of performance as described below and per 2 C.F.R. § 200.344(a).

### **III. BUDGET VS. ACTUALS (BVA) REPORTING**

The recipient must submit a Budget vs. Actuals (BVA) report 15 months into the period of performance, due with their fifth quarterly performance report January 30, 2024, and submitted through ND Grants and emailed to the assigned CP3 Grants Manager. The BVA Report shall provide a detailed breakdown of actual expenditures for Quarter 1 through Quarter 5 (October 1, 2023 – December 31, 2024) compared against the expenditures the recipient had originally projected to spend for Quarter 1 through Quarter 5 as outlined in their Detailed Budget Plan (see Section F(2)(g) “Detailed Budget Plan”) submitted with their first quarterly performance report. The recipient shall provide an explanation for any discrepancies in their original projected expenditures vs. actual expenditures, i.e., if they have spent less than or more than they had projected to spend by this point in time. The BVA Report shall also provide an updated timeline of projected expenditures for the remaining quarters.

**c. Closeout Reporting Requirements**

**I. CLOSEOUT REPORTING**

Within 120 calendar days after the end of the period of performance for the prime award or after an amendment has been issued to close out an award before the original POP ends, recipients must liquidate all financial obligations and must submit the following:

- i. The final request for payment, if applicable.
- ii. The final FFR (SF-425).
- iii. The final quarterly performance report detailing all accomplishments, including a narrative summary of the impact of those accomplishments throughout the period of performance.
- iv. The closeout report, detailing all accomplishments throughout the period of performance compared against the goals, objectives, outputs, and performance measures within the recipient’s CP3-approved Implementation and Measurement Plan, and including both quantitative and qualitative data drawn from prior quarterly performance reports up through the final quarterly performance report as well as a section on sustainment describing the recipient’s plan to sustain project capabilities post-closeout.
- v. Other documents required by this NOFO, terms and conditions of the award, or other FEMA guidance.
- vi. As described in Section F(2)(h) “Third Party Evaluation,” a minimum of 7 projects from each cycle of the TVTP Grant Program will be selected for external evaluation. **For projects selected for independent evaluation**, the following closeout timeline requirements apply:
  - Final Quarterly Performance Report: A final draft of the final quarterly performance report must be submitted to CP3 via email within **30 days** of the end of the Period of Performance, following the standard quarterly reporting timeline outlined in Section F(3)(b)(II) “Programmatic Reporting Frequency.” Recipients may subsequently edit the report up to and before officially submitting it in ND Grants within 120 calendar days after the end of the period of performance, per the standard closeout reporting timeline outlined above
  - Closeout Report: A final draft of the Closeout Report must be submitted to CP3 within **60 days** of the end of the Period of Performance. Recipients may



subsequently edit the report up to and before officially submitting it in ND Grants with their final Quarterly Performance Report within 120 calendar days after the end of the period of performance, per the standard closeout reporting timeline outlined above

In addition, pass-through entities are responsible for closing out their subawards as described in 2 C.F.R. § 200.344; subrecipients are still required to submit closeout materials within 90 calendar days of the period of performance end date. When a subrecipient completes all closeout requirements, pass-through entities must promptly complete all closeout actions for subawards in time for the recipient to submit all necessary documentation and information to FEMA during the closeout of the prime award.

After the prime award closeout reports have been reviewed and approved by FEMA, a closeout notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for at least three years from the date of the final FFR. The record retention period may be longer, such as due to an audit or litigation, for equipment or real property used beyond the period of performance, or due to other circumstances outlined in 2 C.F.R. § 200.334.

The recipient is responsible for refunding to FEMA any balances of unobligated cash that FEMA paid that are not authorized to be retained per 2 C.F.R. § 200.344(d).

## **II. ADMINISTRATIVE CLOSEOUT**

Administrative closeout is a mechanism for FEMA to unilaterally move forward with closeout of an award using available award information in lieu of final reports from the recipient per 2 C.F.R. § 200.344(h)-(i). It is a last resort available to FEMA, and if FEMA needs to administratively close an award, this may negatively impact a recipient's ability to obtain future funding. This mechanism can also require FEMA to make cash or cost adjustments and ineligible cost determinations based on the information it has, which may result in identifying a debt owed to FEMA by the recipient.

When a recipient is not responsive to FEMA's reasonable efforts to collect required reports needed to complete the standard closeout process, FEMA is required under 2 C.F.R. § 200.344(h) to start the administrative closeout process within the regulatory timeframe. FEMA will make at least three written attempts to collect required reports before initiating administrative closeout. If the recipient does not submit all required reports in accordance with 2 C.F.R. § 200.344, this NOFO, and the terms and conditions of the award, FEMA must proceed to administratively close the award with the information available within one year of the period of performance end date. Additionally, if the recipient does not submit all required reports within one year of the period of performance end date, per 2 C.F.R. § 200.344(i), FEMA must report in FAPIIS the recipient's material failure to comply with the terms and conditions of the award.

If FEMA administratively closes an award where no final FFR has been submitted, FEMA uses that administrative closeout date in lieu of the final FFR submission date as the start of the record retention period under 2 C.F.R. § 200.334.

In addition, if an award is administratively closed, FEMA may decide to impose remedies for noncompliance per 2 C.F.R. § 200.339, consider this information in reviewing future award applications, or apply special conditions to existing or future awards.

**d. *Additional Reporting Requirements***

**I. DISCLOSING INFORMATION PER 2 C.F.R. § 180.335**

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

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

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

**II. REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY AND PERFORMANCE**

Per 2 C.F.R. Part 200, Appendix I § F.3, the additional post-award reporting requirements in 2 C.F.R. Part 200, Appendix XII may apply to applicants who, if upon becoming recipients, have a total value of currently active grants, cooperative agreements, and procurement contracts from all federal awarding agencies that exceeds \$10,000,000 for any period of time during the period of performance of an award under this funding opportunity.

Recipients that meet these criteria must maintain current information reported in FAPIIS about civil, criminal, or administrative proceedings described in paragraph 2 of Appendix XII at the reporting frequency described in paragraph 4 of Appendix XII.

**III. SINGLE AUDIT REPORT**

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report, also known as the single audit report.

The audit must be performed in accordance with the requirements of U.S. Government Accountability Office's (GAO) Government Auditing Standards, located at <https://www.gao.gov/yellowbook/overview>, and the requirements of Subpart F of 2 C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?node=sp2.1.200.f>.

#### **4. Monitoring and Oversight**

Per 2 C.F.R. § 200.337, CP3 and FEMA, through their authorized representatives, have the right, at all reasonable times, to make site visits or conduct desk reviews to review project accomplishments and management control systems to review award progress and to provide any required technical assistance. During site visits or desk reviews, CP3 and FEMA will review recipients' files related to the award. As part of any monitoring and program evaluation activities, recipients must permit CP3 and FEMA, upon reasonable notice, to review grant-related records and to interview the organization's staff and contractors regarding the program. Recipients must respond in a timely and accurate manner to CP3 and FEMA requests for information relating to the award.

Effective monitoring and oversight helps CP3 and FEMA ensure that recipients use grant funds for their intended purpose(s); verify that projects undertaken are consistent with approved plans; and ensure that recipients make adequate progress toward stated goals and objectives. Additionally, monitoring serves as the primary mechanism to ensure that recipients comply with applicable laws, rules, regulations, program guidance, and requirements. CP3 and FEMA regularly monitor all grant programs both financially and programmatically in accordance with federal laws, regulations (including 2 C.F.R. Part 200), program guidance, and the terms and conditions of the award. All monitoring efforts ultimately serve to evaluate progress towards grant goals and proactively target and address issues that may threaten grant success during the period of performance.

CP3 and FEMA staff will periodically monitor recipients to ensure that administrative processes, policies and procedures, budgets, and other related award criteria are meeting Federal Government-wide and FEMA regulations. Aside from reviewing quarterly financial and programmatic reports, CP3 and FEMA may also conduct enhanced monitoring through either desk-based reviews, onsite monitoring visits, or both. Enhanced monitoring will involve the review and analysis of the financial compliance and administrative processes, policies, activities, and other attributes of each federal assistance award, and it will identify areas where the recipient may need technical assistance, corrective actions, or other support.

Financial and programmatic monitoring are complementary processes within CP3 and FEMA's overarching monitoring strategy that function together to ensure effective grants management, accountability, and transparency; validate progress against grant and program goals; and safeguard federal funds against fraud, waste, and abuse. Financial monitoring primarily focuses on statutory and regulatory compliance with administrative grant requirements, while programmatic monitoring seeks to validate and assist in grant progress, targeting issues that may be hindering achievement of project goals and ensuring compliance with the purpose of the grant and grant program. Both monitoring processes are similar in that they feature initial reviews of all open awards, and additional, in-depth monitoring of grants requiring additional attention.

Recipients and subrecipients who are pass-through entities are responsible for monitoring their subrecipients in a manner consistent with the terms of the federal award at 2 C.F.R. Part 200, including 2 C.F.R. § 200.332. This includes the pass-through entity's responsibility to monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved.

In terms of overall award management, recipient and subrecipient responsibilities include, but are not limited to: accounting of receipts and expenditures, cash management, maintaining adequate financial records, reporting and refunding expenditures disallowed by audits, monitoring if acting as a pass-through entity, or other assessments and reviews, and ensuring overall compliance with the terms and conditions of the award or subaward, as applicable, including the terms of 2 C.F.R. Part 200.

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

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

#### **a. *Program Office Contact***

The DHS Center for Prevention Programs and Partnerships (CP3) is the overall programmatic lead for the TVTP Grant Program; for questions related to project design, and other programmatic required elements of the program please contact the office via email at [TerrorismPrevention@hq.dhs.gov](mailto:TerrorismPrevention@hq.dhs.gov).

Prospective applicants may also access additional resources and information regarding the TVTP Grant Program at: [Targeted Violence and Terrorism Prevention Grant Program | Homeland Security \(dhs.gov\)](#)

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

CSID is a non-emergency comprehensive management and information resource developed by FEMA for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the federal, state, and local levels. When necessary, recipients will be directed to a federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800) 368-6498 or by e-mail at [askcsid@fema.dhs.gov](mailto:askcsid@fema.dhs.gov), Monday through Friday, 9:00 AM – 5:00 PM ET.

#### **c. *Grant Programs Directorate (GPD) Award Administration Division***

GPD's Award Administration Division (AAD) provides support regarding financial matters and budgetary technical assistance. Additional guidance and information can be obtained by contacting the AAD's Help Desk via e-mail at [ASK-GMD@fema.dhs.gov](mailto:ASK-GMD@fema.dhs.gov).

#### **d. *CP3 Regional Prevention Coordinators***

The Center for Prevention Programs and Partnerships has Regional Prevention Coordinators (RPCs) stationed across the United States to help support prevention efforts at the local level. RPCs help to deliver CP3's training products, connect prevention practitioners, and

build networks that can support local prevention efforts. RPCs also help to keep CP3 informed of local efforts, innovative approaches, and techniques used to engage the whole-of-society in prevention activities and share promising practices within their networks. Once the period of performance has begun, CP3 will connect recipients with the relevant RPC who can offer technical assistance to the recipient specific to their region throughout the period of performance.

**e. *Equal Rights***

The FEMA Office of Equal Rights (OER) is responsible for compliance with and enforcement of federal civil rights obligations in connection with programs and services conducted by FEMA and recipients of FEMA financial assistance. All inquiries and communications about federal civil rights compliance for FEMA grants under this NOFO should be sent to [FEMA-CivilRightsOffice@fema.dhs.gov](mailto:FEMA-CivilRightsOffice@fema.dhs.gov).

**f. *Environmental Planning and Historic Preservation***

GPD's EHP Team provides guidance and information about the EHP review process to recipients and subrecipients. All inquiries and communications about GPD projects under this NOFO or the EHP review process, including the submittal of EHP review materials, should be sent to [gpdehpinfo@fema.dhs.gov](mailto:gpdehpinfo@fema.dhs.gov).

**2. Systems Information**

**a. *Grants.gov***

For technical assistance with [Grants.gov](https://www.grants.gov), call the customer support hotline 24 hours per day, 7 days per week (except federal holidays) at (800) 518-4726 or e-mail at [support@grants.gov](mailto:support@grants.gov).

**b. *Non-Disaster (ND) Grants***

For technical assistance with the ND Grants system, please contact the ND Grants Helpdesk at [ndgrants@fema.dhs.gov](mailto:ndgrants@fema.dhs.gov) or (800) 865-4076, Monday through Friday, 9:00 AM – 6:00 PM ET. User resources are available at <https://www.fema.gov/grants/guidance-tools/non-disaster-grants-management-system>

**c. *Payment and Reporting System (PARS)***

FEMA uses the [Payment and Reporting System \(PARS\)](#) for financial reporting, invoicing, and tracking payments. FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to recipients. If you have questions about the online system, please call the Customer Service Center at (866) 927-5646 or email [ask-GMD@fema.dhs.gov](mailto:ask-GMD@fema.dhs.gov).

**H. Additional Information**

**1. Termination Provisions**

FEMA may terminate a federal award in whole or in part for one of the following reasons. FEMA and the recipient must still comply with closeout requirements at 2 C.F.R. §§ 200.344-200.345 even if an award is terminated in whole or in part. To the extent that subawards are permitted under this NOFO, pass-through entities should refer to 2 C.F.R. § 200.340 for additional information on termination regarding subawards.

**a. *Noncompliance***

If a recipient fails to comply with the terms and conditions of a federal award, FEMA may terminate the award in whole or in part. If the noncompliance can be corrected, FEMA may first attempt to direct the recipient to correct the noncompliance. This may take the form of a Compliance Notification. If the noncompliance cannot be corrected or the recipient is non-responsive, FEMA may proceed with a Remedy Notification, which could impose a remedy for noncompliance per 2 C.F.R. § 200.339, including termination. Any action to terminate based on noncompliance will follow the requirements of 2 C.F.R. §§ 200.341-200.342 as well as the requirement of 2 C.F.R. § 200.340(c) to report in FAPIIS the recipient's material failure to comply with the award terms and conditions. See also the section on Actions to Address Noncompliance in this NOFO.

**b. *With the Consent of the Recipient***

FEMA may also terminate an award in whole or in part with the consent of the recipient, in which case the parties must agree upon the termination conditions, including the effective date, and in the case of partial termination, the portion to be terminated.

**c. *Notification by the Recipient***

The recipient may terminate the award, in whole or in part, by sending written notification to FEMA setting forth the reasons for such termination, the effective date, and in the case of partial termination, the portion to be terminated. In the case of partial termination, FEMA may determine that a partially terminated award will not accomplish the purpose of the federal award, so FEMA may terminate the award in its entirety. If that occurs, FEMA will follow the requirements of 2 C.F.R. §§ 200.341-200.342 in deciding to fully terminate the award.

**2. Program Evaluation**

Recipients and subrecipients are encouraged to incorporate program evaluation activities from the outset of their program design and implementation to meaningfully document and measure their progress towards meeting an agency priority goal(s). Title I of the Foundations for Evidence-Based Policymaking Act of 2018 ([Evidence Act](#)), [Pub. L. No. 115-435 \(2019\)](#) urges federal awarding agencies and federal assistance recipients and subrecipients to use program evaluation as a critical tool to learn, to improve equitable delivery, and to elevate program service and delivery across the program lifecycle.

Evaluation means “an assessment using systematic data collection and analysis of one or more programs, policies, and organizations intended to assess their effectiveness and efficiency.” Evidence Act § 101 (codified at 5 U.S.C. § 311). Evaluation costs are allowable costs (either as direct or indirect), unless prohibited by statute or regulation.

In addition, and as described further in Section F(2)(h) “Third Party Evaluation,” recipients are required to participate in a DHS-led evaluation if selected, which may be carried out by a third-party on behalf of the Program Office or DHS. By accepting grant funds, recipients agree to participate in the evaluation, which may include analysis of individuals who benefit from the grant, and provide access to program operating personnel and participants, as specified by the evaluator(s) during the award.

**3. Period of Performance Extensions**

Extensions to the period of performance (POP) for this program are allowed. Extensions to the POP identified in the award will only be considered through formal, written requests to the recipient's CP3 Grant Manager and must contain specific and compelling justifications as to why an extension is required. Recipients are advised to coordinate with their CP3 Grant Manager as needed when preparing an extension request.

All extension requests must address the following:

- a. The grant program, fiscal year, and award number;
- b. Reason for the delay –including details of the legal, policy, or operational challenges that prevent the final outlay of awarded funds by the deadline;
- c. Current status of the activity(ies);
- d. Approved POP termination date and new project completion date;
- e. Amount of funds drawn down to date;
- f. Remaining available funds, both federal and, if applicable, non-federal;
- g. Budget outlining how remaining federal and, if applicable, non-federal funds will be expended;
- h. Plan for completion, including milestones and timeframes for achieving each milestone and the position or person responsible for implementing the plan for completion; and
- i. Certification that the activity(ies) will be completed within the extended POP without any modification to the original statement of work, as described in the application and CP3-approved IMP (See Section F(2)(f) “Implementation and Measurement Plan”)

Extension requests will be granted only due to compelling legal, policy, or operational challenges. Extension requests will only be considered for the following reasons:

- Contractual commitments by the recipient or subrecipient with vendors prevent completion of the project, including delivery of equipment or services, within the existing POP;
- The project must undergo a complex environmental review that cannot be completed within the existing POP;
- Projects are long-term by design, and therefore acceleration would compromise core programmatic goals; or
- Where other special or extenuating circumstances exist.

Recipients should submit all proposed extension requests to CP3 and FEMA for review and approval at least 60 prior to the end of the POP to allow sufficient processing time.

Extensions are typically only considered for of one or two quarters (3 months or 6 months).

Recipients are encouraged to begin considering the applicability of an extension during Year 2 of their award and to discuss with their CP3 Grant Manager prior to submitting their formal request. If a recipient does believe an extension is necessary, they are **strongly encouraged to submit their formal request well in advance of the 60-day deadline** and may submit their request at any time during Year 2 of the award *before* the 60-day deadline prior to the end of the POP.

During any extended period of performance, all requirements outlined in this NOFO and the award terms and conditions are applicable, including but not limited to the quarterly reporting timeline and requirements described in Section F(3)(a) “Financial Reporting Requirements and F(3)(b) “Programmatic Performance Reporting Requirements”

#### 4. Disability Integration

Pursuant to Section 504 of the Rehabilitation Act of 1973, recipients of FEMA financial assistance must ensure that their programs and activities do not discriminate against other qualified individuals with disabilities.

Grant recipients should engage with the whole community to advance individual and community preparedness and to work as a nation to build and sustain resilience. In doing so, recipients are encouraged to consider the needs of individuals with disabilities into the activities and projects funded by the grant.

FEMA expects that the integration of the needs of people with disabilities will occur at all levels, including planning; alerting, notification, and public outreach; training; purchasing of equipment and supplies; protective action implementation; and exercises/drills.

The following are examples that demonstrate the integration of the needs of people with disabilities in carrying out FEMA awards:

- Include representatives of organizations that work with/for people with disabilities on planning committees, work groups and other bodies engaged in development and implementation of the grant programs and activities.
- Hold all activities related to the grant in locations that are accessible to persons with physical disabilities to the extent practicable.
- Acquire language translation services, including American Sign Language, that provide public information across the community and in shelters.
- Ensure shelter-specific grant funds are in alignment with FEMA’s [Guidance on Planning for Integration of Functional Needs Support Services in General Population Shelters](#).
- If making alterations to an existing building to a primary function area utilizing federal funds, complying with the most recent codes and standards and making path of travel to the primary function area accessible to the greatest extent possible.
- Implement specific procedures used by public transportation agencies that include evacuation and passenger communication plans and measures for individuals with disabilities.
- Identify, create, and deliver training to address any training gaps specifically aimed toward whole-community preparedness. Include and interact with individuals with disabilities, aligning with the designated program capability.
- Establish best practices in inclusive planning and preparedness that consider physical access, language access, and information access. Examples of effective communication access include providing auxiliary aids and services such as sign language interpreters, Computer Aided Real-time Translation (CART), and materials in Braille or alternate formats.



FEMA grant recipients can fund projects towards the resiliency of the whole community, including people with disabilities, such as training, outreach and safety campaigns, provided that the project aligns with this NOFO and the terms and conditions of the award.

## 5. Conflicts of Interest in the Administration of Federal Awards or Subawards

For conflicts of interest under grant-funded procurements and contracts, refer to the section on Procurement Integrity in this NOFO and 2 C.F.R. §§ 200.317 – 200.327.

To eliminate and reduce the impact of conflicts of interest in the subaward process, recipients and pass-through entities must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making subawards. Recipients and pass-through entities are also required to follow any applicable federal and state, local, tribal, or territorial (SLTT) statutes or regulations governing conflicts of interest in the making of subawards.

The recipient or pass-through entity must disclose to the respective Program Analyst or Program Manager, in writing, any real or potential conflict of interest that may arise during the administration of the federal award, as defined by the federal or SLTT statutes or regulations or their own existing policies, within five days of learning of the conflict of interest. Similarly, subrecipients, whether acting as subrecipients or as pass-through entities, must disclose any real or potential conflict of interest to the recipient or next-level pass-through entity as required by the recipient or pass-through entity's conflict of interest policies, or any applicable federal or SLTT statutes or regulations.

Conflicts of interest may arise during the process of FEMA making a federal award in situations where an employee, officer, or agent, any members of his or her immediate family, his or her partner has a close personal relationship, a business relationship, or a professional relationship, with an applicant, sub applicant, recipient, subrecipient, or FEMA employees.

## 6. Procurement Integrity

Through audits conducted by the DHS Office of Inspector General (OIG) and FEMA grant monitoring, findings have shown that some FEMA recipients have not fully adhered to the proper procurement requirements at 2 C.F.R. §§ 200.317 – 200.327 when spending grant funds. Anything less than full compliance with federal procurement requirements jeopardizes the integrity of the grant as well as the grant program. To assist with determining whether an action is a procurement or instead a subaward, please consult 2 C.F.R. § 200.331. For detailed guidance on the federal procurement standards, recipients and subrecipients should refer to various materials issued by FEMA's Procurement Disaster Assistance Team (PDAT), such as the [PDAT Field Manual](#) and [Contract Provisions Guide](#). Additional resources, including an upcoming trainings schedule can be found on the PDAT Website: <https://www.fema.gov/grants/procurement>.

The below highlights the federal procurement requirements for FEMA recipients when procuring goods and services with federal grant funds. FEMA will include a review of recipients' procurement practices as part of the normal monitoring activities. **All**

**procurement activity must be conducted in accordance with federal procurement standards at 2 C.F.R. §§ 200.317 – 200.327.** Select requirements under these standards are listed below. The recipient and any of its subrecipients must comply with all requirements, even if they are not listed below.

Under 2 C.F.R. § 200.317, when procuring property and services under a federal award, states (including territories) must follow the same policies and procedures they use for procurements from their non-federal funds; additionally, states must now follow 2 C.F.R. § 200.321 regarding socioeconomic steps, 200.322 regarding domestic preferences for procurements, 200.323 regarding procurement of recovered materials, and 2 C.F.R. § 200.327 regarding required contract provisions.

**All other non-federal entities, such as tribes (collectively, non-state entities),** must have and use their own documented procurement procedures that reflect applicable SLTT laws and regulations, provided that the procurements conform to applicable federal law and the standards identified in 2 C.F.R. Part 200. These standards include, but are not limited to, providing for full and open competition consistent with the standards of 2 C.F.R. § 200.319 and the required procurement methods at § 200.320.

**a. *Important Changes to Procurement Standards in 2 C.F.R. Part 200***

OMB recently updated various parts of Title 2 of the Code of Federal Regulations, among them, the procurement standards. States are now required to follow the socioeconomic steps in soliciting small and minority businesses, women’s business enterprises, and labor surplus area firms per 2 C.F.R. § 200.321. All non-federal entities should also, to the greatest extent practicable under a federal award, provide a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States per 2 C.F.R. § 200.322. More information on OMB’s revisions to the federal procurement standards can be found in [Purchasing Under a FEMA Award: OMB Revisions Fact Sheet](#).

The recognized procurement methods in 2 C.F.R. § 200.320 have been reorganized into informal procurement methods, which include micro-purchases and small purchases; formal procurement methods, which include sealed bidding and competitive proposals; and noncompetitive procurements. The federal micro-purchase threshold is currently \$10,000, and non-state entities may use a lower threshold when using micro-purchase procedures under a FEMA award. If a non-state entity wants to use a micro-purchase threshold higher than the federal threshold, it must follow the requirements of 2 C.F.R. § 200.320(a)(1)(iii)-(v). The federal simplified acquisition threshold is currently \$250,000, and a non-state entity may use a lower threshold but may not exceed the federal threshold when using small purchase procedures under a FEMA award. *See* 2 C.F.R. § 200.1 (citing the definition of simplified acquisition threshold from [48 C.F.R. Part 2, Subpart 2.1](#)).

See 2 C.F.R. §§ 200.216, 200.471, and Appendix II as well as section D.13.a of the NOFO regarding prohibitions on covered telecommunications equipment or services.

**b. *Competition and Conflicts of Interest***

Among the requirements of 2 C.F.R. § 200.319(b) applicable to all non-federal entities other than states, in order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, or invitations for bids or requests for proposals must be excluded from competing for such procurements. FEMA considers these actions to be an organizational conflict of interest and interprets this restriction as applying to contractors that help a non-federal entity develop its grant application, project plans, or project budget. This prohibition also applies to the use of former employees to manage the grant or carry out a contract when those former employees worked on such activities while they were employees of the non-federal entity.

Under this prohibition, unless the non-federal entity solicits for and awards a contract covering both development and execution of specifications (or similar elements as described above), and this contract was procured in compliance with 2 C.F.R. §§ 200.317 – 200.327, federal funds cannot be used to pay a contractor to carry out the work if that contractor also worked on the development of those specifications. This rule applies to all contracts funded with federal grant funds, including pre-award costs, such as grant writer fees, as well as post-award costs, such as grant management fees.

Additionally, some of the situations considered to be restrictive of competition include, but are not limited to:

- Placing unreasonable requirements on firms for them to qualify to do business;
- Requiring unnecessary experience and excessive bonding;
- Noncompetitive pricing practices between firms or between affiliated companies;
- Noncompetitive contracts to consultants that are on retainer contracts;
- Organizational conflicts of interest;
- Specifying only a “brand name” product instead of allowing “an equal” product to be offered and describing the performance or other relevant requirements of the procurement; and
- Any arbitrary action in the procurement process.

Per 2 C.F.R. § 200.319(c), non-federal entities other than states must conduct procurements in a manner that prohibits the use of statutorily or administratively imposed SLTT geographical preferences in the evaluation of bids or proposals, except in those cases where applicable federal statutes expressly mandate or encourage geographic preference. Nothing in this section preempts state licensing laws. When contracting for architectural and engineering services, geographic location may be a selection criterion provided its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.

Under 2 C.F.R. § 200.318(c)(1), non-federal entities other than states are required to maintain written standards of conduct covering conflicts of interest and governing the actions of their employees engaged in the selection, award, and administration of contracts. **No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a federal award if he or she has a real or apparent conflict of interest.** Such conflicts of interest would arise when the employee,

officer or agent, any member of his or her immediate family, his or her partner, or an organization that employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract. The officers, employees, and agents of the non-federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. However, non-federal entities may set standards for situations in which the financial interest is not substantial, or the gift is an unsolicited item of nominal value. The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the non-federal entity.

Under 2 C.F.R. 200.318(c)(2), if the recipient or subrecipient (other than states) has a parent, affiliate, or subsidiary organization that is not a state, local, tribal, or territorial government, the non-federal entity must also maintain written standards of conduct covering organizational conflicts of interest. In this context, organizational conflict of interest means that because of a relationship with a parent company, affiliate, or subsidiary organization, the non-federal entity is unable or appears to be unable to be impartial in conducting a procurement action involving a related organization. The non-federal entity must disclose in writing any potential conflicts of interest to FEMA or the pass-through entity in accordance with applicable FEMA policy.

**c. *Supply Schedules and Purchasing Programs***

Generally, a non-federal entity may seek to procure goods or services from a federal supply schedule, state supply schedule, or group purchasing agreement.

**I. GENERAL SERVICES ADMINISTRATION SCHEDULES**

States, tribes, and local governments, and any instrumentality thereof (such as local education agencies or institutions of higher education) may procure goods and services from a General Services Administration (GSA) schedule. GSA offers multiple efficient and effective procurement programs for state, tribal, and local governments, and instrumentalities thereof, to purchase products and services directly from pre-vetted contractors. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply Schedules) are long-term government-wide contracts with commercial firms that provide access to millions of commercial products and services at volume discount pricing.

Information about GSA programs for states, tribes, and local governments, and instrumentalities thereof, can be found at <https://www.gsa.gov/resources-for/programs-for-State-and-local-governments> and <https://www.gsa.gov/buying-selling/purchasing-programs/gsa-schedules/schedule-buyers/state-and-local-governments>.

For tribes, local governments, and their instrumentalities that purchase off of a GSA schedule, this will satisfy the federal requirements for full and open competition provided that the recipient follows the GSA ordering procedures; however, tribes, local governments, and their instrumentalities will still need to follow the other rules under 2 C.F.R. §§ 200.317 – 200.327, such as solicitation of minority businesses, women’s business enterprises, small businesses, or labor surplus area firms (§ 200.321), domestic preferences (§ 200.322),

contract cost and price (§ 200.324), and required contract provisions (§ 200.327 and Appendix II).

## II. OTHER SUPPLY SCHEDULES AND PROGRAMS

For non-federal entities other than states, such as tribes, local governments, and nonprofits, that want to procure goods or services from a state supply schedule, cooperative purchasing program, or other similar program, in order for such procurements to be permissible under federal requirements, the following must be true:

- The procurement of the original contract or purchasing schedule and its use by the non-federal entity complies with state and local law, regulations, and written procurement procedures;
- The state or other entity that originally procured the original contract or purchasing schedule entered into the contract or schedule with the express purpose of making it available to the non-federal entity and other similar types of entities;
- The contract or purchasing schedule specifically allows for such use, and the work to be performed for the non-federal entity falls within the scope of work under the contract as to type, amount, and geography;
- The procurement of the original contract or purchasing schedule complied with all the procurement standards applicable to a non-federal entity other than states under at 2 C.F.R. §§ 200.317 – 200.327; and
- With respect to the use of a purchasing schedule, the non-federal entity must follow ordering procedures that adhere to applicable state, tribal, and local laws and regulations and the minimum requirements of full and open competition under 2 C.F.R. Part 200.

If a non-federal entity other than a state seeks to use a state supply schedule, cooperative purchasing program, or other similar type of arrangement, FEMA recommends the recipient discuss the procurement plans with its CP3 Grant Manager.

### d. *Procurement Documentation*

Per 2 C.F.R. § 200.318(i), non-federal entities other than states and territories are required to maintain and retain records sufficient to detail the history of procurement covering at least the rationale for the procurement method, selection of contract type, contractor selection or rejection, and the basis for the contract price. States and territories are encouraged to maintain and retain this information as well and are reminded that in order for any cost to be allowable, it must be adequately documented per 2 C.F.R. § 200.403(g).

Examples of the types of documents that would cover this information include but are not limited to:

- Solicitation documentation, such as requests for quotes, invitations for bids, or requests for proposals;
- Responses to solicitations, such as quotes, bids, or proposals;
- Pre-solicitation independent cost estimates and post-solicitation cost/price analyses on file for review by federal personnel, if applicable;
- Contract documents and amendments, including required contract provisions; and

- Other documents required by federal regulations applicable at the time a grant is awarded to a recipient.
- Additional information on required procurement records can be found on pages 24-26 of the [PDAT Field Manual](#).

## 7. Record Retention

### a. *Record Retention Period*

Financial records, supporting documents, statistical records, and all other non-Federal entity records pertinent to a Federal award generally must be maintained for at least three years from the date the final FFR is submitted. *See* 2 C.F.R. § 200.334. Further, if the recipient does not submit a final FFR and the award is administratively closed, FEMA uses the date of administrative closeout as the start of the general record retention period.

The record retention period **may be longer than three years or have a different start date** in certain cases. These include:

- Records for real property and equipment acquired with Federal funds must be retained for **three years after final disposition of the property**. *See* 2 C.F.R. § 200.334(c).
- If any litigation, claim, or audit is started before the expiration of the three-year period, the records **must be retained until** all litigation, claims, or audit findings involving the records **have been resolved and final action taken**. *See* 2 C.F.R. § 200.334(a).
- The **record retention period will be extended if the non-federal entity is notified in writing** of the extension by FEMA, the cognizant or oversight agency for audit, or the cognizant agency for indirect costs, or pass-through entity. *See* 2 C.F.R. § 200.334(b).
- Where FEMA requires recipients to report program income after the period of performance ends, the **program income record retention period begins at the end of the recipient's fiscal year in which program income is earned**. *See* 2 C.F.R. § 200.334(e).
- For indirect cost rate computations and proposals, cost allocation plans, or any similar accounting computations of the rate at which a particular group of costs is chargeable (such as computer usage chargeback rates or composite fringe benefit rates), the start of the record retention period depends on whether the indirect cost rate documents were submitted for negotiation. If the **indirect cost rate documents were submitted for negotiation, the record retention period begins from the date those documents were submitted** for negotiation. If indirect cost rate documents were **not submitted for negotiation, the record retention period begins at the end of the recipient's fiscal year or other accounting period covered by that indirect cost rate**. *See* 2 C.F.R. § 200.334(f).

### b. *Types of Records to Retain*

FEMA requires that non-federal entities maintain the following documentation for federally funded purchases:

- Specifications
- Solicitations

- Competitive quotes or proposals
- Basis for selection decisions
- Purchase orders
- Contracts
- Invoices
- Cancelled checks

Non-federal entities should keep detailed records of all transactions involving the grant. FEMA may at any time request copies of any relevant documentation and records, including purchasing documentation along with copies of cancelled checks for verification. *See, e.g.*, 2 C.F.R. §§ 200.318(i), 200.334, 200.337.

In order for any cost to be allowable, it must be adequately documented per 2 C.F.R. § 200.403(g). Non-federal entities who fail to fully document all purchases may find their expenditures questioned and subsequently disallowed.

## **8. Actions to Address Noncompliance**

Non-federal entities receiving financial assistance funding from FEMA are required to comply with requirements in the terms and conditions of their awards or subawards, including the terms set forth in applicable federal statutes, regulations, NOFOs, and policies. Throughout the award lifecycle or even after an award has been closed, FEMA or the pass-through entity may discover potential or actual noncompliance on the part of a recipient or subrecipient. This potential or actual noncompliance may be discovered through routine monitoring, audits, closeout, or reporting from various sources.

In the case of any potential or actual noncompliance, FEMA may place special conditions on an award per 2 C.F.R. §§ 200.208 and 200.339, FEMA may place a hold on funds until the matter is corrected, or additional information is provided per 2 C.F.R. § 200.339, or it may do both. Similar remedies for noncompliance with certain federal civil rights laws are authorized pursuant to 44 C.F.R. Parts 7 and 19.

In the event the noncompliance is not able to be corrected by imposing additional conditions or the recipient or subrecipient refuses to correct the matter, FEMA might take other remedies allowed under 2 C.F.R. § 200.339. These remedies include actions to disallow costs, recover funds, wholly or partly suspend or terminate the award, initiate suspension and debarment proceedings, withhold further federal awards, or take other remedies that may be legally available. For further information on termination due to noncompliance, see the section on Termination Provisions in the NOFO.

FEMA may discover and take action on noncompliance even after an award has been closed. The closeout of an award does not affect FEMA's right to disallow costs and recover funds as long the action to disallow costs takes place during the record retention period. *See* 2 C.F.R. §§ 200.334, 200.345(a). Closeout also does not affect the obligation of the non-federal entity to return any funds due as a result of later refunds, corrections, or other transactions. 2 C.F.R. § 200.345(a)(2).

The types of funds FEMA might attempt to recover include, but are not limited to, improper payments, cost share reimbursements, program income, interest earned on advance payments, or equipment disposition amounts.

FEMA may seek to recover disallowed costs through a Notice of Potential Debt Letter, a Remedy Notification, or other letter. The document will describe the potential amount owed, the reason why FEMA is recovering the funds, the recipient's appeal rights, how the amount can be paid, and the consequences for not appealing or paying the amount by the deadline.

If the recipient neither appeals nor pays the amount by the deadline, the amount owed will become final. Potential consequences if the debt is not paid in full or otherwise resolved by the deadline include the assessment of interest, administrative fees, and penalty charges; administratively offsetting the debt against other payable federal funds; and transferring the debt to the U.S. Department of the Treasury for collection.

FEMA notes the following common areas of noncompliance for FEMA's grant programs:

- Insufficient documentation and lack of record retention.
- Failure to follow the procurement under grants requirements.
- Failure to submit closeout documents in a timely manner.
- Failure to follow EHP requirements.
- Failure to comply with the POP deadline.

## 9. Audits

FEMA grant recipients are subject to audit oversight from multiple entities including the DHS OIG, the GAO, the pass-through entity, or independent auditing firms for single audits, and may cover activities and costs incurred under the award. Auditing agencies such as the DHS OIG, the GAO, and the pass-through entity (if applicable), and FEMA in its oversight capacity, must have access to records pertaining to the FEMA award. Recipients and subrecipients must retain award documents for at least three years from the date the final FFR is submitted, and even longer in many cases subject to the requirements of 2 C.F.R. § 200.334. In the case of administrative closeout, documents must be retained for at least three years from the date of closeout, or longer subject to the requirements of 2 C.F.R. § 200.334. If documents are retained longer than the required retention period, the DHS OIG, the GAO, and the pass-through entity, as well as FEMA in its oversight capacity, have the right to access these records as well. *See* 2 C.F.R. §§ 200.334, 200.337.

Additionally, non-federal entities must comply with the single audit requirements at 2 C.F.R. Part 200, Subpart F. Specifically, non-federal entities, other than for-profit subrecipients, that expend \$750,000 or more in federal awards during their fiscal year must have a single or program-specific audit conducted for that year in accordance with Subpart F. 2 C.F.R. § 200.501. A single audit covers all federal funds expended during a fiscal year, not just FEMA funds. The cost of audit services may be allowable per 2 C.F.R. § 200.425, but non-federal entities must select auditors in accordance with 2 C.F.R. § 200.509, including following the proper procurement procedures. For additional information on single audit reporting requirements, see section F of this NOFO under the header "Single Audit Report" within the subsection "Additional Reporting Requirements."



The objectives of single audits are to:

- Determine if financial statements conform to generally accepted accounting principles (GAAP);
- Determine whether the schedule of expenditures of federal awards is presented fairly;
- Understand, assess, and test the adequacy of internal controls for compliance with major programs; and
- Determine if the entity complied with applicable laws, regulations, and contracts or grants.

For single audits, the auditee is required to prepare financial statements reflecting its financial position, a schedule of federal award expenditures, and a summary of the status of prior audit findings and questioned costs. The auditee also is required to follow up and take appropriate corrective actions on new and previously issued but not yet addressed audit findings. The auditee must prepare a corrective action plan to address the new audit findings. 2 C.F.R. §§ 200.508, 200.510, 200.511.

Non-federal entities must have an audit conducted, either single or program-specific, of their financial statements and federal expenditures annually or biennially pursuant to 2 C.F.R. § 200.504. Non-federal entities must also follow the information submission requirements of 2 C.F.R. § 200.512, including submitting the audit information to the [Federal Audit Clearinghouse](#) within the earlier of 30 calendar days after receipt of the auditor's report(s) or nine months after the end of the audit period. The audit information to be submitted include the data collection form described at 2 C.F.R. § 200.512(c) and Appendix X to 2 C.F.R. Part 200 as well as the reporting package described at 2 C.F.R. § 200.512(b).

The non-federal entity must retain one copy of the data collection form and one copy of the reporting package for three years from the date of submission to the Federal Audit Clearinghouse. 2 C.F.R. § 200.512; *see also* 2 C.F.R. § 200.517 (setting requirements for retention of documents by the auditor and access to audit records in the auditor's possession).

FEMA, the DHS OIG, the GAO, and the pass-through entity (if applicable), as part of monitoring or as part of an audit, may review a non-federal entity's compliance with the single audit requirements. In cases of continued inability or unwillingness to have an audit conducted in compliance with 2 C.F.R. Part 200, Subpart F, FEMA and the pass-through entity, if applicable, are required to take appropriate remedial action under 2 C.F.R. § 200.339 for noncompliance, pursuant to 2 C.F.R. § 200.505.

## 10. Payment Information

FEMA utilizes the Payment and Reporting System (PARS) for financial reporting, invoicing and tracking payments. For additional information, refer to <https://isource.fema.gov/sf269/execute/LogIn?sawContentMessage=true>.

## 11. Whole Community Preparedness

Preparedness is a shared responsibility that calls for the involvement of everyone—not just the government—in preparedness efforts. By working together, everyone can help keep the nation safe from harm and help keep it resilient when struck by hazards, such as natural disasters, acts of terrorism, and pandemics.

[Whole Community](#) includes:

- Individuals and families, including those with access and functional needs
- Businesses
- Faith-based and community organizations
- Nonprofit groups
- Schools and academia
- Media outlets
- All levels of government, including state, local, tribal, territorial, and federal partners

The phrase “Whole Community” often appears in preparedness materials, as it is one of the guiding principles. It means two things:

1. Involving people in the development of national preparedness documents.
2. Ensuring their roles and responsibilities are reflected in the content of the materials..

## 12. Disclosure of Application Materials

When submitting your application, the applicant should identify any copyrighted materials, trade secrets, commercial or financial information, with a suitable notice or legend in the submissions set forth herein. Provided you, the applicant, provides an adequate notice or legend detailing its confidential nature, DHS will maintain the data in confidence, to the extent permitted by applicable law, and disclose and use only for carrying out DHS’ responsibilities under, or otherwise consistent with the terms of, this NOFO, or in compliance with an order by a court, or in defense of DHS (as it sees necessary) during litigation. Further, to ensure adequate protection by DHS, in any communications with DHS, including e-mail correspondence, the applicant agrees to identify any information in such application or communication it considers to be commercial or financial information that the applicant customarily keeps private or closely held.

After final awards are made under this opportunity and recipients have been identified, notified, and publicly released, DHS will release the applications of all awarded grant projects with the exception of Personally Identifiable Information, and information determined to be law enforcement sensitive or proprietary in nature, including financial and commercial information noted above, following consultation with each recipient. DHS plans to withhold unsuccessful applications in full.

If DHS receives a request for any applicant data provided to DHS as a result of this NOFO (e.g., Freedom of Information Act), DHS will provide the applicant with prompt written notice, unless it is readily determined by DHS that the information should not be disclosed or, on the other hand, that the information lawfully has been published or otherwise made available to the public. DHS will afford the applicant a period of at least ten (10) business days in which to object to the disclosure of any specified portion of the

information and to state fully all grounds upon disclosure is opposed. DHS will consider all such specified grounds for nondisclosure prior to making an administrative determination of the issue and, in all instances

in which the determination is to disclose, provide the submitter with a detailed statement of the reasons for which its disclosure objections are not sustained. DHS will provide the applicant with written notice of any final administrative disclosure determination not less than 10 (ten) business days prior to a specified disclosure date, in order that the matter may be considered for possible judicial intervention. DHS will notify the applicant promptly of all instances in which requesters have brought suit seeking to compel disclosure of applicant data.

**13. Appendices:**

- A. Goals, Objectives, and Outcomes
- B. Application Tracks, Project Types, and Minimum Standards
- C. Contents and Format of Project Narrative
- D. Research, Resources, and Definitions
- E. Budget Template

### Appendix A: Goals, Objectives and Outcomes

Over the past few years, the TVTP Grant Program has had the overarching goal of supporting the establishment, expansion and/or enhancement of prevention programs and capabilities in accordance with the September 2019 [Strategic Framework for Countering Terrorism and Targeted Violence](#) and in support of the terrorism prevention objectives in the March 2021 [Interim National Security Strategic Guidance](#). The grant program also directly supports Strategic Goal 2.1, *Strengthen Domestic Terrorism Prevention Resources and Services* of the June 2021 [National Strategy for Countering Domestic Terrorism](#) and is part of Goal 1 of the [DHS Strategic Plan, Countering Terrorism and Homeland Security Threats](#).

To achieve these goals, the TVTP Grant Program has six objectives. Each of these objectives has corresponding outcomes as described below. The TVTP Grant Program seeks to provide funding to applications that align with these objectives and that protect privacy, civil rights, and civil liberties. Please see Appendix E “Research, Resources, and Definitions” for additional resources that can be referenced to design project proposals:

- The local community has awareness of the signs that someone may be escalating towards violence and what the threat of targeted violence and terrorism looks like.
  - Outcome: Developed and delivered awareness programs on the process of escalating to violence and/or the local threat of targeted violence and terrorism.
- The local community has awareness of both risk factors for – and protective factors against – escalation to violence. As noted above, Risk factors are defined as negative characteristics that may increase the likelihood that an individual is moving toward violence. Protective factors are defined as positive characteristics that may decrease the likelihood that an individual may move toward of violence.
  - Outcome: Developed and implemented programs that decrease risk factors for individuals escalating to violence.
  - Outcome: Developed and implemented programs that increase protective factors against individuals escalating to violence.
  - NOTE: The TVTP Grant Program supports the development of evidence-based programs that address the threat of targeted violence and terrorism in the online/digital space. Specific sub-outcomes include:
    - Outcome: Increased digital media literacy initiatives.
    - Outcome: Increased skills in identifying narratives used to recruit or mobilize others to commit acts of violence.
- Members of the local community engage the broadest and most diverse set of local stakeholders, sharing resources and best practices and building trusted partnerships to address targeted violence and terrorism
  - Outcome: Community adopts a local prevention network that contains all necessary elements of that network (as described in the other Objectives in this section).
- Members of the local community can act on bystander training and help individuals before they escalate to violence by understanding the role of, and the means to contact, threat assessment and management teams.
  - Outcome: Developed and implemented bystander training.
  - Outcome: Developed and implemented referral mechanisms such as websites

- or hotlines.
- Outcomes: Developed and implemented media campaign to raise the community's awareness of local threat assessment and management teams.
  - Increased engagement with individuals exhibiting behaviors associated with escalation to targeted violence and terrorism.
  - Outcome: Enhanced capability to engage online with individuals who may be escalating to violence online.
  - Members of the local community have access to multi-disciplinary threat assessment and management teams comprised of individuals such as psychologists, educators, faith leaders, medical personnel that can provide support to an individual *before* an act of violence takes place.
    - Outcome: Local community has established threat assessment and management teams as needed (e.g., in schools, government branches, or a community-based team).
    - Outcome: Increased access to threat assessment and management teams.
    - Outcome: More effective mechanisms for local citizens to refer and connect individuals with concerning behaviors to online or offline intervention capability.
  - The local community has programs that address risk factors for, and strengthen protective factors against, escalation to violence, including recidivism reduction programming.
    - Outcome: Communities develop resiliency-building programs to address risk factors/strengthen protective factors in their local communities.
    - Outcome: Increase programs available to corrections, probation, and parole services.
      - Note: Corrections, probation, and parole services are just *one subset* of the numerous types of programs and sectors applicable to this objective. This Outcome is included here as an example of one of the sectors with which to engage to call attention to these services specifically as they are frequently identified as gaps within local prevention networks.
    - Sub-objective: Correctional facilities and state and local probation and parole authorities develop and implement recidivism reduction programming to address individuals convicted of crimes related to targeted violence and terrorism or who become at-risk for engaging in targeted violence and terrorism while in correctional facilities.
      - Sub-Outcome: State and local correctional facilities establish programs to provide services and resources to inmates and returning citizens – including both those still incarcerated and those on parole – with a conviction for a targeted violence or terrorism related offense.
      - Sub-Outcome: State and local correctional facilities develop mechanisms to assess risk of targeted violence or terrorism in their populations.
      - Sub-Outcome: State and local correctional facilities provide services addressing risk factors of and protective factors against escalation to violence in their facilities.
      - Sub-Outcome: State and local probation and parole authorities establish programs to provide resources to individuals with a conviction for a targeted violence or terrorism related offense.

## Appendix B: Application Tracks, Project Types, and Minimum Standards

DHS intends to fund proposals that follow two application tracks:

1. **Promising Practices:** This track will fund prevention projects that reach all segments of their community or as part of in-person or online-focused prevention initiatives at the national or local level. There are eight promising practices project types. Applicants may propose one or more project types to include in their project. The project type(s) submitted must align with one or more of the eight general project types, including the required elements outlined under the “Promising Practices” track below. Applicants in this track by definition have already met one or more of the Objectives outlined in Section A(10) “Program Overview, Objectives, and Priorities.” DHS anticipates funding approximately \$13,500,000 in awards in the Promising Practices track.
2. **Innovation:** This track will fund prevention projects that approach the broader goal of targeted violence and terrorism prevention in new or untested ways. This can include a project that does not generally fall within the eight specified project types under “Promising Practices,” or a new theory of change that has not been previously implemented. Given the competitive nature of this track we recommend applying in the promising practices track if your project proposal can be aligned to one or more of the promising practices. DHS anticipates funding approximately \$6,500,000 in awards in the Innovation Track.

All applicants should clearly indicate whether they are applying for the Promising Practices or Innovation track, identify the project types included in the application, and adhere to the requirements and other guidance provided in each track/project description.

As stated in Section E(1)(a) “Application Evaluation Criteria - Programmatic Criteria,” applicants may only submit **one application per funding track**. Therefore, the maximum number of applications an applicant can submit is two, one each for the “Promising Practices” and “Innovation” tracks.

Each project type contains a target funding level; this is neither a maximum nor a minimum. Applicants are encouraged to build a budget that best reflects the lowest cost to accomplish their project, considering among other things the size of their proposed audience, local cost of living, prevailing wages, or costs of procuring necessary services. The needs assessment described in Appendix C should identify if there are resources in other programs that can be leveraged to lower the cost to the federal award. While all projects should contain a clear estimation of the size of their audience and other factors impacting their budgets, proposed projects that request an award amount that **deviates more than 25% from the target award amount** listed in this Section must **include a clear justification** for the deviation in the budget narrative submitted with their application.

All projects require the recipient to gather and report to DHS on specific program monitoring measures, or in some cases, identify performance measures that align with the goals and objectives discussed in Section A(10) “Program Overview, Objectives, and

Priorities” and described further along with corresponding outcomes in Appendix A. Upon award, DHS will provide additional guidance to recipients clarifying expectations around program monitoring measures, and recipients, by virtue of applying, agree to meet DHS’ expectations for data collection.

Applicants should refer to Section F(2)(e) “Protection of Human Subjects in Research” when designing their data collection methods; adherence to these provisions helps ensure that project participants are properly protected in accordance with federal laws, regulations, and DHS policy, as well as any applicable state, tribal, or local laws.

#### a. Promising Practices Track

Successful applicants will describe how the various activities included in their funding request will support the objectives outlined in Section A(10) and elaborated upon in Appendix A. Applicants that require participation of other organizations will include sufficient evidence that there is support for such work through letters of support, letters of intent, or memoranda of understanding.

##### 1. Required Program Monitoring Measures:

- All required performance measures for each proposed project are identified below. These measures should be factored into the appropriate section of each applicant’s “Implementation and Measurement Plan” (IMP).
- Other measures sufficient to ensure the project is being implemented as designed and as determined by DHS following award.

2. Anticipated Award Range: \$100,000 to \$800,000. The requested amount should be broken down by each project type included in the application. The budget narratives should consider the guidance on the target award amounts of the included projects and include well supported costs associated with operating other activities proposed.

**Target Award Amounts Stack.** For example, an applicant proposing a program with two project types “Raising Societal Awareness” (Target Award Amount: \$175,000) and “Civic Engagement” (Target Award Amount: \$60,000) would have a total target award amount of \$235,000.

Applicants will also be required to provide an assessment of the severability of the proposed projects in this track and rank the projects by priority in the event there is not sufficient funding to fund the entire proposal.

Project Type	Target Award Amount
1. Raising Societal Awareness	\$175,000
2. Understanding Violent Content	\$115,000

<b>Project Type</b>	<b>Target Award Amount</b>
3. Civic Engagement	\$60,000
4. Youth Resilience Programs	\$90,000
5. Threat Assessment and Management Teams	\$350,000
6. Bystander Training	\$115,000
7. Referral Services	\$175,000
8. Recidivism Reduction and Reintegration	\$230,000

### **Promising Practices Project Types:**

#### 1. Raising Societal Awareness

- a. Eligible entities may apply for funding to raise awareness of targeted violence and terrorism prevention for community members (law enforcement, service providers, faith leaders, and other audiences). Awareness raising activities shall focus on risk factors and protective factors (as defined in Appendix A) for individuals escalating to violence. DHS Community Awareness Briefings can be requested by applicants and customized for local needs. Applicants may propose specific awareness raising activities for specific audiences such as faith groups, schools, workplaces, etc.
- b. Required Program Monitoring Measures:
  - Number of awareness raising sessions or initiatives conducted.
  - Number of participants at each awareness raising session or number of participants reached via each awareness raising initiative.
  - Average aggregate change in knowledge of those reached via awareness raising activities.
    - Where possible, this performance measure can be measured by designing and administering pre- and post- tests to those who take the participate in awareness raising activities to better understand their change in knowledge as result of the activity. This will enable the program to better demonstrate the impact of their activity their project.
  - Aggregated level demographic information of participants.
  - Other measures sufficient to ensure that, following award, the project is being implemented as designed and as determined by DHS.
- c. Target Award Amount: \$175,000

#### 2. Understanding Violent Content

- a. Eligible entities may apply to develop and deliver training to students or adults, either



as part of standalone classes or integrated into a larger curriculum, dedicated to building skillsets to recognize and develop resilience to content that has a significant likelihood of moving individuals toward violence. Topics covered in proposed curricula shall include identifying, avoiding, or rejecting communications that are likely to be used to manipulate audiences by fomenting or encouraging targeted violence or terrorism. Applicants should describe the main themes of lesson plans that will be included in the proposed curricula. Successful applicants will demonstrate ready access to the target population for the curricula such as school, school district, college/university, community learning center, or other entity with access to an appropriate target population with a letter of support/intent from a school.

**b. Required Program Monitoring Measures:**

- Number of participants enrolled in course.
- Number of participants who complete course.
- Average aggregate change in knowledge of those who complete the classes or curriculum.
  - This performance measure can be measured by designing and administering pre- and post- tests to those who take the curriculum to better understand their change in knowledge as result of the activity. This will enable the program to better demonstrate the impact of their activity their project.
- Aggregate level demographic information on participants.
- Aggregated data on results of skills-based tests.
- Other measures sufficient to ensure the project is being implemented as designed and as determined by DHS following award.

**c. Target Award Amount: \$115,000**

**3. Civic Engagement**

- a.** Civic engagement means building and sustaining partnerships for the purpose of increasing understanding between groups, to lesson fear or hatred in communities. Eligible entities may apply for funding to build or expand programs that encourage community engagement, education, and resilience against individuals escalating to violence. Applicants for this project must describe how they will build partnerships with a diverse array of local or national stakeholders to further the mission of targeted violence and terrorism prevention. In doing so, applicants are encouraged to seek partnerships with organizations that represent underserved communities (see Appendix D for definition of “underserved community”). Intended activities will address early-stage escalation to violence through coordination and engagement activities that reduce community vulnerability to associated risk factors or enhance protective factors (as defined above). Applicants must describe how intended outcomes seek to increase community resilience to escalation to violence through the understanding of threat prevention, improved social cohesion, reduced inter-group tensions, or reduced youth vulnerability.

- b. Required Performance Measures
  - Number of community engagement events.
  - Number of participants at community engagement events.
  - Aggregate level demographic information on participants.
  - Other measures sufficient to ensure the project is being implemented as designed and as determined by DHS following award.
- c. Target Award Amount: \$60,000

#### 4. Youth Resilience Programs

Eligible entities may apply for funding to establish or expand programming to develop protective factors in youth. Applicants must propose programs that reduce the risk factors associated with young people escalating to violence, as well as increase protective factors including leadership, mentorship, employment skill building, or civic engagement. Applicants should refer to the “Definitions” section of Appendix D for a definitions of risk and protective factors.

[NOTE: Minors are a vulnerable population and therefore have additional protections under The [Common Rule](#) for human subject research ([6 C.F.R. Part 46, 45 C.F.R Part 46, Subparts B-D](#)). Applicants proposing research involving this target audience must submit evidence that their project will go through an Institutional Review Board (IRB) review (**IRB** means an institutional review board established in accord with and for the purposes expressed in this policy). All such projects also must be approved by the [DHS Compliance Assurance Program Office \(CAPO\)](#) prior to initiation of research activities as described in Section F(2)(e) “Protection of Human Subjects in Research”..”]

- a. Required Program Monitoring Measures:
  - Number and type of engagements/services provided.
  - Other measures sufficient to ensure the project is being implemented as designed and as determined by DHS following award.
- b. Target Award Amount: \$90,000

#### 5. Threat Assessment and Management Teams

- a. Eligible entities may apply for funding to develop a threat assessment and management capability. This capability must include training for practitioners, development of protocols for handling referrals, and work with individuals with risk factors for targeted violence and terrorism.
- b. Required Program Monitoring Measures:
  - Number of members of threat assessment and management team including professional background or other organizational affiliation (e.g., school counselor, faith leader, etc.).
  - Information regarding how often team meets and for what purpose
  - Number of cases opened including:
    - Identified risk factor(s) (as defined above)
    - Identified behavioral changes

- Identified extremist ideology (if any)
  - Specific grievance (if identified)
  - Number of referrals for outside services including service type (e.g., mental health, substance abuse, job skills, housing assistance).
  - Case status (active, in progress, closed):
    - If “closed,” outcome of case (e.g., resolved, referred to law enforcement).
    - “Closed Cases” only includes applicable cases where an intervention or threat assessment was completed. It does not include cases that were referred to a Threat Assessment and Management Team and were never “opened” because the case was outside the scope of the threat assessment and management team’s mandate.
  - Anonymized case studies illustrating the threat management process.
  - Other measures sufficient to ensure the project is being implemented as designed and as determined by DHS following award.
- c. Target Award Amount: \$350,000
- d. Projects implementing threat assessment and management teams are inherently working with vulnerable individuals. It is important that certain standards be met to ensure that funded projects do not harm program participants. **Applicants in this project type must review the Minimum Standards outlined in the subsequent portion of this appendix** to ensure that they would be prepared to meet these standards if selected.

## 6. Bystander Training

- a. Eligible entities may apply for funding to deliver Bystander Training in their local community. A bystander is defined as someone who is positioned to observe behaviors related to a person who may be considering acting violently. If applicants propose developing training, topics covered in the curricula shall include risk factors (as defined above), behavioral changes, and provide a locally relevant list of services or contact information for providers to make referrals. Applicants should describe the main themes of the training that will be included in the proposed curricula. Successful applicants will demonstrate ready access to their target population. Applicants may also apply to implement programs that use a “train-the-trainer” model to train members of the community to provide bystander training themselves.

DHS also has funded existing bystander training curriculum that aims to enhance the ability of individuals to recognize behaviors that an individual is escalating to violence and, when safe to do so, take appropriate steps to engage with individuals in their social, family, or professional circles to provide them with assistance, refer them to other resources or services, or refer them to law enforcement if there is a risk of imminent harm. The training curriculum can be provided during the application period upon request. The training has a section that is customizable and minor modifications can be made with prior approval. Successful applicants will propose their intended target audience(s) and how they will engage individuals to participate. The training is appropriate for a general adult audience, and DHS intends to seek applications that will provide it to a general audience, as

well as applications that propose audiences that may have a force-multiplying factor, such as professionals who engage with populations with risk factors for violence.

b. Required Program Monitoring Measures

- Number of trainings administered.
- Number of participants who received training.
- Average aggregate change in knowledge of those who complete the classes or curriculum.
  - This performance measure can be measured by designing and administering pre- and post- tests to those who take the curriculum to better understand their change in knowledge as result of the activity. This will enable the program to better demonstrate the impact of their activity their project.
- Aggregate level demographic information of participants.
- Other measures sufficient to ensure the project is being implemented as designed and as determined by DHS following award.
- Recommended Performance Measure: Average aggregate change of those who complete the training in their indicated “willingness to act.”
  - This performance measure is optional but recommended for applicants proposing to conduct bystander training. This can be measured by designing and implementing pre- and post- tests to those who take the training and is intended to gauge the change in their willingness to now engage as an informed bystander. Before and after the training, the trainer could ask one or a series of questions on a sliding scale (i.e., a Likert Scale) and then aggregate the responses to each of those questions to function as a proxy for this performance measure. For example, a question that could be asked is “How likely are you to help connect someone to services that you may be concerned about?” Attendees would then select their response to this question on a 1 – 5 scale (for example), and their responses before and after the training could be compared to indicate a change in their willingness to act.

c. Target Award Amount: \$115,000

7. Referral Services

- a. Eligible entities may apply for funding to establish or expand a referral service (telephone, text, app, online, etc.) to address crises with callers, assess whether they have risk factors (as defined above) for targeted violence or terrorism, and provide resources and referrals to individuals seeking help.

Successful applicants will have an implementation plan that describes the methods for training hotline counselors, establishes protocols for referring callers for additional assessment and management resources, mental health resources, or to law enforcement if there is an imminent threat of harm; and describes where individuals will be referred to.

- b. Required Program Monitoring Measures:
  - Number of calls, by type of call.
  - Number of individuals referred to additional services.
  - Number of callers referred for threat assessment and management.
  - Number of calls referred to law enforcement.
  - Other measures sufficient to ensure the project is being implemented as designed and as determined by DHS following award.
- c. Target Award Amount: \$175,000
- d. Projects implementing referral services are inherently working with vulnerable individuals. It is important that certain standards be met to ensure that funded projects do not harm program participants. **Applicants in this project type must review the Minimum Standards outlined in the subsequent portion of this appendix** to ensure that they would be prepared to meet these standards if selected.

#### 8. Recidivism Reduction and Reintegration

- a. Eligible entities may apply for funding to develop institutional or community-based recidivism reduction and reintegration programs, to reduce risk factors and promote protective factors (as defined above) in individuals re-entering society following release from correctional facilities, and in probation or deferral programs. Applications should describe the risk factors they will examine and how they will select individuals for participation in the programming and the services to be provided (for example, individuals who have previously committed hate crimes). The application should also describe the assessment tools and other methods they will use to measure progress of individuals through the program.

[NOTE: Gaining access to correctional facilities can be challenging. Applicants proposing to work in correctional facilities or with state and local probation and parole authorities must demonstrate that they have the support of those facilities in their application, ideally with a clear letter of support from the respective correctional facility or authorities.]

[NOTE: Prisoners are a vulnerable population and therefore have additional protections under [Subsection C](#) of the [Common Rule](#) for human subject research. Applicants proposing research involving this target audience must submit evidence that their project will go through an Institutional Review Board (IRB) review. All such projects also must be approved by the [DHS Compliance Assurance Program Office \(CAPO\)](#) prior to initiation of research activities as described in Section F(2)(e) “Protection of Human Subjects in Research.”]

- b. Required Program Monitoring Measures:
  - Number of individuals recommended for violence rehabilitation program(s).
  - Number of individuals enrolled in violence rehabilitation program.
  - Number of individuals that completed violence rehabilitation programming.
  - Status of cases (active, in progress, closed). If “closed,” outcome of case (e.g., resolved, referred to law enforcement, USAO).

- Other measures sufficient to ensure the project is being implemented as designed and as determined by DHS following award.
- c. Target Award Amount: \$230,000
- d. Projects implementing referral services are inherently working with vulnerable individuals. It is important that certain standards be met to ensure that funded projects do not harm program participants. **Applicants in this project type must review the Minimum Standards outlined in the subsequent portion of this appendix** to ensure that they would be prepared to meet these standards if selected

## **b. Innovation Track**

DHS seeks to continue to spur innovation in prevention by soliciting applications for new project ideas that can enhance prevention capabilities in local communities. Any projects that meet at least one of the six objectives in Section A(10) and described further in Appendix A are eligible, especially projects that implement one or more of the five priorities described in Section A(10). All applicants must specify which objective their proposed project will meet. Projects in this category should still have a well-developed theory of change but one that has not yet been implemented. DHS anticipates making approximately \$6,500,000 in awards in the Innovation Track and anticipates making awards in the range of \$300,000.00 to \$815,000.

Required Performance Measures: Measures sufficient to ensure the project is being implemented as designed and as determined by DHS following award. Please review the performance measures for the Promising Practices track for example of measures that may apply to Innovation Track projects.

## **Minimum Standards for Recipients of Projects in Threat Assessment and Management Teams; Recidivism Reduction and Reintegration; and Referral Services**

Projects within the Threat Assessment and Management Teams; Recidivism Reduction and Reintegration; and Referral Services project types as well as related innovation track projects are, by their nature, working with vulnerable individuals. It is important that certain standards be met to ensure that funded projects do not harm program participants. The below minimum standards are necessary to protect program participants as well as family members, peers, and others involved in their lives. Recipients will work with their CP3 grants manager to ensure these standards are met prior to beginning services under their grant award.

### **a. Threat Assessment and Management Teams (TAMT):**

Threat assessment and management teams are effective proactive measures designed to prevent – not predict – potential acts of targeted violence and terrorism. By identifying, assessing, and managing individuals who display threatening and other concerning behavior, these teams provide avenues for pursuing redirection, de-escalation, and early intervention

with individuals exhibiting signs of escalating to violence.<sup>1</sup>

## **1. Minimum Standards for Policies & Procedures:**

Recipients are required to:

- Demonstrate that they have a comprehensive targeted violence and terrorism prevention plan in place prior to implementing a threat assessment and management team. For further guidance, please refer to [US Secret Service, National Threat Assessment Center's threat assessment model for enhancing school safety](#).
- Demonstrate that policies and procedures define targeted violence and terrorism and that said definitions do not conflict with those of DHS (see Appendix D, sub-section "Definitions").
- Demonstrate their policies and procedures are proactive in avoiding and mitigating discrimination on the basis of a protected class (e.g., race, ethnicity, national origin) or belief (e.g., ideology, religion), including unconscious bias, and include statements of non-discrimination.
- Detail their procedures for the categorization, response, and escalation of cases. This includes policies and procedures for identifying individuals and triaging cases to ensure they are appropriate for the expertise and services of the team.
- Demonstrate the Duty to Warn, Duty to Protect, and Mandated Reporting policies that they have in place.
- Demonstrate their procedures for referral to appropriate resources where escalation is not warranted.
- Demonstrate robust privacy, confidentiality, records management, data protection, and nondiscrimination policies, which include audit/accountability mechanisms.
- Implement procedures for information sharing with outside agencies, transferring active cases to outside agencies, and making cases dormant.

## **2. Minimum standards for training and subject-matter expertise among key personnel:**

Recipients are required to:

- Demonstrate that their threat assessment and management team is multidisciplinary, including at a minimum a relationship with a local law enforcement partner and a mental/behavioral health professional.
  - Note: Effective threat assessment and management teams will want additional members and should consider representatives amongst education administrators, mental health and social service providers, faith leaders, medical personnel, law enforcement, technology experts, persons with disabilities, and others. Teams will also want to build the capacity to include other members with additional areas of expertise (for example, expertise working with children with behavioral

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<sup>1</sup> Source: [https://www.dhs.gov/sites/default/files/2021-12/Threat%20Assessment%20and%20Management%20Teams\\_0.pdf](https://www.dhs.gov/sites/default/files/2021-12/Threat%20Assessment%20and%20Management%20Teams_0.pdf)

disabilities) that can be drawn on as necessary on a case-by-case basis. While it is important for law enforcement to be involved to ensure a comprehensive and inclusive approach – and to intervene if the threat escalates – the primary goal of this approach is to provide individuals with support services before the threat rises to a level requiring law enforcement. As such, partnerships across a variety of sectors and disciplines are crucial.

- Demonstrate equal access to qualified team members from individuals from diverse backgrounds including people of color and others from marginalized communities.
- Demonstrate that a member or members of the threat assessment team has received trainings and certifications from an accredited and professional threat assessment training program.<sup>2</sup> These certifications will demonstrate the individual’s advanced understanding of core threat assessment and management competencies and their application.
- Demonstrate that members of the threat assessment team and management team are aware of the nondiscrimination obligations in connection with carrying out their responsibilities as part of a DHS-funded program.
- Demonstrate that members of the threat assessment and management team possess a relevant educational background in diverse disciplines such as behavioral health, behavioral sciences, sociology, social work, disability, and/or psychology, education, or law enforcement; or at least two years of professional experience in the field of threat assessment and management.
- Demonstrate that members of the threat assessment and management team are familiar with best practices to protect privacy and understand applicable federal, State, local, tribal, territorial privacy requirements.

## **b. Recidivism Reduction and Reintegration Programs and Referral Services**

### **1. Minimum Standards for Policies and Procedures:**

Recipients are required to:

- Demonstrate that programs intending to provide services to prisoners, individuals who are or have been involved in targeted violence or terrorism, or individuals who are at risk of involvement in targeted violence or terrorism have procedures in place to identify and address multiple forms of threats.
- Demonstrate that programs intending to provide services to the family members of prisoners, individuals who are or have been involved in targeted violence or terrorism, or individuals who are at risk for involvement in targeted violence or

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<sup>2</sup> Examples of organizations offering threat assessment training and certification programs include: Association of Threat Assessment Professionals (ATAP), National Association for Behavioral Intervention and Threat Assessment (NABITA), Third Degree communications, Crisis Intervention Team (CIT) International, SIGMA Threat Assessment and Management Services, Federal Law Enforcement Training Centers (FLETC), and DHS National Threat Evaluation and Reporting Master Trainer Program (NTER MTP), among others. Please note: The preceding list is for informational purposes only and does not constitute an endorsement by DHS.



- terrorism have procedures in place to identify and address multiple forms of risks and threats to members of the household and community.
- Demonstrate that policies and procedures define targeted violence and terrorism and that said definitions do not conflict with those of DHS (see Appendix D)
  - Demonstrate their policies and procedures are proactive in avoiding and mitigating discrimination on the basis of a protected class (e.g., race, ethnicity, national origin) or belief (e.g., ideology, religion), including unconscious bias, and include statements of non-discrimination.
  - Detail their procedures for the categorization, response, and escalation of cases. This includes policies and procedures for screening potential clients to ensure they are appropriate for the expertise and services of the organization.
  - Demonstrate the Duty to Warn, Duty to Protect, and Mandated Reporting policies that they have in place.
  - Demonstrate their procedures for referral to appropriate resources where escalation is not warranted.
  - Demonstrate robust privacy, confidentiality, records management, data protection, and nondiscrimination policies, which include audit/accountability mechanisms.
  - Implement procedures for information sharing with outside agencies, transferring active cases to outside agencies, and making cases dormant.

## **2. Minimum standards for training and subject-matter expertise among key personnel:**

Recipients are required to:

- Demonstrate that personnel providing services to the identified target population possess a relevant educational background in disciplines such as behavioral health, behavioral sciences, sociology, social work, or psychology.
- Demonstrate that personnel providing services to the identified target population possess the relevant certifications and licensure when necessary. For example, programs intending to provide direct mental/behavioral health services to their target population must demonstrate that personnel possess professional licensures within the field of behavioral health.
  - Note: Programs may choose to involve community members or peer mentors as a holistic component of the services provided to their intended target population. However, the applicant must identify and communicate a clear distinction between the role of peer mentors and the primary service providers who possess professional licenses and academic backgrounds relevant to managing each case and its associated level of risk and threat.
- Demonstrate equal access to qualified team members from individuals from diverse backgrounds including people of color and others from marginalized communities.
- Demonstrate that members of the threat assessment team and management team are aware of the nondiscrimination obligations in connection with carrying out their responsibilities as part of a DHS-funded program.
- Demonstrate that personnel providing services to the identified target population are familiar with best practices to protect privacy and understand applicable federal, State, local, tribal, territorial privacy requirements.

## Appendix C: Contents and Format of Project Narrative

Applications are required to include a detailed narrative about the project being proposed. The Project Narrative and associated appendices detailed below must be submitted as a single pdf attachment and serves as the primary document that DHS reviews and scores. There is no government form for this document.

### A. Project Narrative Formatting Requirements:

The Project Narrative consists of (a) cover page, (b) body, and (c) appendices and has the following formatting requirements:

**Page Limits:** The page limit for the “**Body**” (see below) of the **Project Narrative** is **15 pages for both the Innovation and Promising Practices tracks**. Applications that do not follow the page limits and formatting requirements will be subject to a **5-point deduction** in their final application score. Additional formatting requirements for the Project Narrative include:

- Spacing: 1.0
- Typeface: Times New Roman 12 pt. font (exceptions for citations and tables)
- Margins: 1 inch
- Indentation/Tabs: Applicant’s discretion
- Page Orientation: portrait; exception: landscape may be used for tables and Implementation and Measurement Plan (IMP)
- Citations (in-text, endnote/footnote): Allowed. Typeface allowed for citations: Times New Roman, 10, 11, or 12 pt. font sizes.
- Graphics such as pictures, models, charts, and graphs will be accepted (within the page limits) but are not required.
- Primary font color will be black; however, other colors may be used for emphasis as appropriate.
- Bold or italicized font may be used.
- Table format is acceptable where appropriate (e.g., logic model, timelines) but not mandatory (exception: the budget section must follow the table template provided in Appendix E).

### B. Project Narrative Content Requirements:

The (a) cover page, (b) body, and (c) appendices of the Project Narrative have the following content requirements:

#### a. Cover Page:

The cover page must clearly show:

- The name of the entity applying and sub-recipients if applicable
- The primary location (city/county and state/D.C./territory) of the applicant and the location(s) of activities (if different)
- The name of the application track
- The name of the project type(s) if applying in Promising Practices Track

- The amount of funds requested
- Project abstract, approximately 200 words, suitable for public release, describing the core elements of the proposed project
- ND Grants EMW#

## b. Body

The **body** of the Project Narrative must not exceed the **15-page limit** referenced above for both the Promising Practices and Innovation tracks. Each section of the body will be scored according to the criteria in Section E(1)(a) “Application Evaluation Criteria: Programmatic Criteria” and must include the following numbered sections (please use the same numbers in the submitted narrative):

The Body of the Project Narrative contains the **5 following sections** described in further detail below: (i) Needs Assessment; (ii) Program Design; (iii) Organization and Key Personnel; (iv) Sustainability, and; (v) Budget Detail and Narrative

### i. Needs Assessment

A needs assessment is a systematic approach used to identify capacity and gaps between current conditions and desired outcomes. A needs assessment helps to clarify and improve program design and implementation by helping applicants focus on how their proposal will help their community. While there are multiple ways to undertake a needs assessment, specific information that must be included in a proposal for funding are:

- The target population for services and the number of people in that population. This is the **people directly receiving services** not the population of the jurisdiction. For example, if you will train 50 service providers who provide service to a total of 10,000 people per year, your target population is 50, not 10,000.
- An inventory of other programs that currently serve the target population.
- Please also identify if you will be working with any historically marginalized populations (i.e., racial, ethnic, or religious minorities, LGBTQ+, rural communities, or persons with disabilities).

A needs assessment should be able to identify other services that are available to the target population, including how they are similar/different to the proposed project. If this proposal aims to expand capacity of an already existing program, please note that here. Applicants should also assess the needs of their entire community to access their services, including individuals with limited English proficiency, disabilities, or those with unique barriers to accessing grant funded services.

### ii. Program Design

Please describe how the proposed program is designed. This design should include the following specific information:

- Problem Statement:* This is a clear description of the issue, challenge, or need the program seeks to address and serves as the program focus based on the objectives

of the TVTP Grant Program outlined in Section (A)(10) and Appendix A

b. *Program Goals and Objectives*

- *Goals*: Visionary long-term statements that are not resource dependent, but rather should explain how this program supports the Department of Homeland Security’s Strategic Framework for Countering Terrorism and Targeted Violence.
- *Objectives*: Specific, measurable, achievable, relevant, and time-bound (SMART). Objectives are statements of the conditions the program is expected to achieve within the timeframe of the grant and using the resources provided. For further information on the SMART framework and how it will be used to score your application, please refer to Section E(1)(a): Application Evaluation Criteria - Programmatic Criteria

c. *Logic Model*: A logic model is a tool to systematically document – and visually represent – program investments, activities, desired results, and the relationship between them. The creation of the logic model is a critical step for both program design and performance management. This is the model that states how – and why – the program will work to achieve its objectives and goals. A logic model will visually demonstrate how inputs lead to activities, which lead to outputs, which lead to short-term outcomes, and finally result in long-term outcomes. Logic models must include the following:

- *Theory of Change*: a brief statement that ties the logic model together by summarizing why, based on evidence and consideration of other possible programs, the changes described in the logic model are expected to occur. These are often written as “if/then” statements that link existing conditions to desired changes. If there is previous research/evidence to support the theory of change, it should be included here.
- *Short- and Long-term Outcomes*:
  - *Short-term Outcomes*: Short-term outcomes describe the immediate effects of the program (such as raising awareness, increased knowledge, changed attitude, changed behavior, etc.). Short-term outcomes are typically linked to program objectives. Applicants that include the optional performance measures will receive additional points.
  - *Long-term Outcomes*: Long-term outcomes refer to the desired end-state (ultimate results) of the program – the program goals.
- *Outputs*: The direct, tangible results of program activities. They are (often) easy to count (e.g., the number of people trained, the number of briefings held, etc.).
- *Activities*: The actions/events undertaken by the program to produce a desired outcome. Activities often have a clear link to the problem statement.
- *Inputs*: The resources invested to start and maintain program implementation. These include financial resources, time, personnel, materials, supplies, etc. Inputs affect the scope of the program, the number of activities, and what outputs and outcomes are achievable.
- *Contextual Factors and Underlying Assumptions*: What conditions, stakeholders, funding, or other factors are inherent to the program design

and execution and may or may not influence program success. How are these factors being accounted for in the design and how the program may be evaluated?

- *Likelihood of Success*: Describe the evidence that demonstrates that the proposed strategy and approach are likely to lead to the anticipated outcomes.

### iii. Organization and Key Personnel

Applicants should plan to describe their organization and the key personnel who will be working on the project, including contractors if applicable. Applicants should also be prepared to include details on how the expertise of the key personnel will be used to carry out the project and how many hours they will commit to the grant project. If necessary, applicants should also expect to include position descriptions and projected hiring timeline when the personnel/contractors have not yet been hired or identified (please make this clear). Changes in key personnel are permissible but need to be communicated to CP3. If it is anticipated that key personnel will depart prior to the period of performance commencing, only include information about the position and qualifications for the position. Resumes/CVs for key personnel should be included as appendices. Applicants should exclude Personally Identifiable Information that is not necessary to assess the experience of key personnel, such as phone numbers, email addresses, physical addresses, names of supervisors/references etc.

### iv. Sustainability

Applicants should expect to include a discussion of how the capabilities of the proposed project will be sustained following the period of performance.

Additional details on what to include in the Sustainability section of the application and how this information will be scored during the application review process can be found in Section E(1)(a): Application Evaluation Criteria - Programmatic Criteria. Additional questions that an applicant could consider addressing in this section are the following:

- Does your application propose to use grant funds to fund primary project personnel? If so, how might those positions to continue to be funded after the period of performance concludes?
  - Note - If the organization believes that key capabilities of its proposed project can be sustained following the period of performance *without* sustaining the positions of any key personnel funded under the award, that should be explained.
- Does your application propose to create an educational curriculum, training curriculum, or other prevention resource? If so, how might that education curriculum, training curriculum, or other resource continue to be maintained and updated following the period of performance? Will the resource continue to be available to the public, such as by being accessible online on the organization's website?
- If a Threat Assessment Team is being formed, what policies and agreements will

be created to ensure that it continues to function following the end of the period of performance?

- If a referrals pipeline or hotline is being established, what policies and agreements will be created to ensure that this referrals pipeline or hotline continues to operate following the end of the period of performance?

#### v. Budget Detail and Narrative

The applicant should be prepared to present a budget that identifies and explains all direct and indirect costs. These costs and all other expenses must be presented in a table format per the below example and instructions. The budget portion of the application narrative should be a combination of descriptive narrative and the completed table.

<b>Budget Category</b>	<b>Federal Request</b>
Personnel	\$0
Fringe Benefits	\$0
Travel	\$0
Supplies	\$0
Contractual	\$0
Other	\$0
<i>Total Direct Costs</i>	\$0
Indirect Costs	\$0
<b>TOTAL PROJECT COSTS</b>	<b>\$0</b>

As described further in Appendix E, Applicants should also provide a detailed breakdown of each budget category under the Budget Worksheet.

#### c. Appendices – IMP, CVs of Key Personnel, Documentation of Commitment/Support and Letters of Recommendation

##### i. Implementation and Measurement Plan (IMP) Template

DHS CP3 requires applicants to complete an IMP using CP3's official [IMP Template](#). The IMP must include the required performance measures indicated for each project type in Appendix B. The IMP will allow recipients to:

- Plan your project by outlining the activities to be accomplished, timeframes, and resources needed (personnel, equipment, meeting space, et.al.), and how project results will be sustained.
- Manage implementation of your project by enabling you to track implementation against expectations.
- Report quarterly on your progress in implementing the project.
- Assess outcomes by identifying the indicators and data you will use to assess the level and type of outcomes achieved, the data collection methods to be used, and time frames for collecting data, noting that some indicators may require collection of baseline data at the start of the project for comparison.

For further support in building strong and comprehensive Implementation and Measurement Plans, applicants should refer to CP3's "IMP Guidance" and "IMP Fact Sheet" resources, links for which can be found in Section E(1)(a): Application Evaluation Criteria - Programmatic Criteria

**ii. Resumes/CVs of Key Personnel**

Applicants should plan to include resumes/CVs of key personnel, including but not limited to anyone engaged in training, engaging with project audiences and participants, conducting threat assessments, or managing the project. Applicants should exclude Personally Identifiable Information (PII) that is not necessary to assess individuals' experience, such as phone numbers, email addresses, physical addresses, or names of supervisors or other references.

**iii. Documentation of Commitment/Support**

Applicants should also prepare to include letters of commitment or support (or other documentation such as Memorandum of Understanding/Agreement) of any outside entities or senior officials of agencies or jurisdictions described in your application that are critical to the success of the project.

**iv. Letters of Recommendation (Optional)**

Applicants will have the option to attach **up to three letters** of recommendation from subject matter experts in the field of targeted violence or terrorism prevention, or key stakeholders in the planned area of performance, who recommend their application to DHS.

## Appendix D: Research, Resources and Definitions

### a. Introductory Resources

CP3 has developed program objectives for the FY2023 Targeted Violence and Terrorism Prevention Grant Program that are based on DHS's *Strategic Framework for Countering Terrorism and Targeted Violence*. Prospective applicants are strongly encouraged to plan their applications in line with the goals and objectives of this document as well as other evidence.

See: [DHS Strategic Framework for Countering Terrorism and Targeted Violence | Homeland Security](#)

CP3 maintains a webpage with information and resources for applicants as well as a page on the last cycle of terrorism prevention grants. On these pages, prospective applicants can find information helpful to prepare their application including:

- [Summary of Awards for each cycle of the TVTP Grant Program](#)
- Webinars for Applicants, including
  - [Performance Metrics and Measurements Workshop](#)
  - [Recipient Panel on the Application Process](#)
- Grant System instructional videos and How-to Guides for [obtaining an EIN](#), [registering in ND Grants](#) and [registering with SAM](#)
- Implementation and Measurement Plan (IMP) [Template](#), [Guidance](#) and [Fact Sheet](#)
- Project Narratives from successful TVTP applicants in previous award cycles, including the [FY20 TVTP Grant Program](#), [FY21 TVTP Grant Program](#), and [FY22 TVTP Grant Program](#)

See the TVTP Grant Program webpage at: <https://www.dhs.gov/tvtpgrants>

See the TVTP Grant Program Applicant Resources webpage at:

<https://www.dhs.gov/targeted-violence-and-terrorism-prevention-grant-program-resources>

Additional resources that may be useful for prospective applicants are provided below to assist them in developing and constructing their grant applications. This is a non-exhaustive list of resources, and prospective applicants may consider using additional resources as well. The provided list is for informational purposes only and does not constitute or imply the endorsement or recommendation of the content therein, or of any non-federal organizations or entities DHS or the United States Government.

- Grants.Gov Applicant Training Resources:  
See: <https://www.grants.gov/web/grants/applicants/applicant-training.html>
- The Rand Corporation developed the *Evaluation Toolkit for Countering Violent Extremism* that helps program managers focus on core program components, the logic model that visually displays the program and the theory of change and identify



ways to assess progress. This toolkit was sponsored by the Department of Homeland Security's Office of Community Partnerships, now known as the Center for Prevention Programs and Partnerships (CP3) While focused on violent extremism, it is also useful for programs focused on preventing targeted violence.

See:

[https://www.rand.org/content/dam/rand/pubs/tools/TL200/TL243/RAND\\_TL243.pdf](https://www.rand.org/content/dam/rand/pubs/tools/TL200/TL243/RAND_TL243.pdf)

- The U.S. Institute for Peace (USIP) works internationally on preventing/countering violent extremism (P/CVE). While international programs pose their own, unique challenges, USIP has produced several products on the difficulty in assessing terrorism prevention programs.

See: Measuring Up: Monitoring and Evaluating P/CVE

Programs <https://www.usip.org/publications/2018/09/measuring-monitoring-and-evaluating-pcve-programs>.

See: Taking Stock: Analytic Tools for Understanding and Designing P/CVE

Programs [Taking Stock: Analytic Tools for Understanding and Designing P/CVE Programs | United States Institute of Peace \(usip.org\)](#)

## b. Research Resources

The Campbell Collaboration Crime and Justice Coordinating Group, an international network of researchers that prepares and disseminates systematic reviews of high-quality research on methods to reduce crime and delinquency and improve the quality of justice, receives some funding from the Department of Homeland Security Science and Technology Directorate, to run an international program on Countering Violent Extremism (CVE). In particular, their July 2021, report *Cognitive and Behavioral Radicalization: A Systematic Review of the Putative Risk and Protective Factors* provides evidence-supported information on risk factors and protective factors.

See [About the CVE Program - The Campbell Collaboration](#)

See <https://www.campbellcollaboration.org/better-evidence/radicalization-putative-risk-and-protective-factors.html>

The Rand Corporation produced a study of terrorism prevention in the United States that validated the Department's approach to terrorism prevention. This report conducts an analysis of prior and ongoing terrorism prevention activities and makes recommendations for future efforts and approaches.

See: [Practical Terrorism Prevention: Reexamining U.S. National Approaches to Addressing the Threat of Ideologically Motivated Violence | RAND](#)

Under the National Governors Association (NGA) Policy Academy within DHS' FY20 TVTP Grant Program, the RAND Corporation has also produced a resource to assist state

governments interested in creating targeted violence and terrorism prevention strategies by providing them with relevant logic models and performance indicators to measure the outputs and outcomes of their programs.

See: [State Targeted Violence Prevention: Programming & Key Performance Indicators](#)

The Department of Justice’s National Institutes of Justice has funded k multiple research efforts related to terrorism. Of particular note is *Risk Factors and Indicators Associated with Radicalization to Terrorism in the United States: What Research Sponsored by the National Institute of Justice Tells Us* - a meta-analysis of previous research on terrorism. In addition, the National Institute of Justice has run a Domestic Radicalization to Terrorism program that has funded multiple projects since its inception in 2012. Project descriptions as well as links to articles produced from that research are available on their website.

See [Library & Multimedia | National Institute of Justice \(ojp.gov\)](#) (General webpage with links to articles)

See [Risk Factors and Indicators Associated With Radicalization to Terrorism in the United States | National Institute of Justice \(ojp.gov\)](#) (“Risk Factors and Indicators Associated with Radicalization to Terrorism in the United States”)

See [Domestic Radicalization and Terrorism | National Institute of Justice\(ojp.gov\)](#) (NIJ project descriptions and links to articles)

The National Consortium for the Study of Terrorism and Responses to Terrorism (START) the University of Maryland maintains catalogs of their ongoing and completed research with access to published research which includes many CVE and related research projects.

See <https://www.start.umd.edu/about/about-start>

The U.S. Secret Service’s National Threat Assessment Center (NTAC) provides a number of resources including: 1) guidance and training on threat assessment and 2) reports and data on mass attacks and school shootings.

See <https://www.secretservice.gov/protection/ntac>

The Department of Homeland Security’s Science and Technology Directorate (S&T) maintains a webpage on public safety and violence prevention that includes knowledge products, fact sheets, and evaluations of previous TVTP efforts. S&T works collaboratively with the Center for Prevention Programs and Partnerships.

See [Public Safety and Violence Prevention | Homeland Security \(dhs.gov\)](#)

### c. Risk Assessment Resources

Assessment tools are critical for providing an objective assessment of someone’s risk or threat. DHS does not endorse any specific assessment tool; however, DHS’ Science and Technology Directorate reviewed several risk assessment tools for effectiveness. Those tools are:

Specific to Violent Extremism:

1. VERA-2R - Violent Extremism Risk Assessment 2 (Revised)
2. ERG 22+ - Extremism Risk Guidelines
3. TRAP-18 - Terrorist Radicalization Assessment Protocol

General Violence Risk Assessment Tools

1. HCR-20 - Historical Clinical Risk Management
2. SAPROF - Structural Assessment of Protective Factors for Violence Risk
3. SAVRY - Structural Assessment of Violence Risk in Youth
4. PLC-R - Psychopathy Checklist - Revised

In addition, several SMEs on threat assessment and management recommended:

1. WAVR – Workplace Assessment of Violence Risk
2. SIVRA – Structured Interview for Violence Risk Assessment

*No community should undertake the use of an assessment tool without receiving training on that tool*

#### **d. Reentry and Reintegration Resources**

Prospective applicants considering programs offering reentry and reintegration services may find the below resources helpful:

- DHS Science and Technology Directorate (S&T) knowledge products that have been published:

See <https://crestresearch.ac.uk/comment/trauma-informed-care-and-violent-extremism-prevention/>

See <https://crestresearch.ac.uk/comment/moving-away-from-trauma-towards-trauma-and/>

- National Institute of Corrections “Offender Reentry/Transitions” webpage, including their Offender Reintegration Handbook, Re-Entry Roadmap for Veterans, and Community Services Division webpage:

See <https://nicic.gov/projects/offender-reentry-transition>

See Reintegration Handbook: <https://nicic.gov/tags/offender-reintegration>

See Community Services Division webpage: <https://nicic.gov/community-services-division>

- The U.S. Department of Veterans Affairs, the Virginia Department of Veterans Services, and the Virginia Department of Corrections “Re-Entry Roadmap for Veterans Incarcerated in Virginia” guidebook

See Re-Entry Roadmap for Veterans: [Guidebook For Veterans Incarcerated In Virginia 12 6 11 Reentry manual a roadmap 2012 vadow \(usermanual.wiki\)](#)

- U.S. Department of Education’s “Reentry Education Model”

See [A Reentry Education Model: Supporting Education and Career Advancement For Low-Skill Individuals in Corrections -- November 2012 \(PDF\)](#)

While the Virginia Department of Veterans Services “Re-Entry Roadmap” is specifically designed for veterans returning to the community after incarceration, this report from the U.S. Department of Education provides a broader example for states developing or revising their own veteran re-entry manuals, and describes the “development of a correctional education reentry model illustrating an education continuum to bridge the gap between prison and community-based education and training program.”

- U.S. Department of Justice’s Roadmap to Reentry:  
The roadmap to Reentry identifies 5 evidence-based principles guiding federal efforts to improve the correctional practices and programs that govern the lives of those who will reenter society after incarceration

See <https://www.justice.gov/archives/reentry/roadmap-reentry>

- Federal Bureau of Prisons Reentry Programs webpage:

See [https://www.bop.gov/inmates/custody\\_and\\_care/reentry.jsp](https://www.bop.gov/inmates/custody_and_care/reentry.jsp)

#### e. Definitions

Bystander:

- Definition: Someone who is positioned to observe behaviors related to a person who may be considering acting violently.
- Source: DHS Center for Prevention Programs and Partnerships

Domestic Terrorism

- Activities that
  1. Involve acts dangerous to human life that are a violation of the criminal laws of the United States or of any State;
  2. Appear to be intended
    - I. To intimidate or coerce a civilian population;
    - II. To influence the policy of a government by intimidation or coercion; or
    - III. To affect the conduct of a government by mass destruction, assassination, or kidnapping; and
  3. Occur primarily within the territorial jurisdiction of the United States
- Source: 18 U.S.C. § 2331(5)

#### Domestic Violent Extremist:

- The FBI and DHS define a Domestic Violent Extremist (DVE) as an individual based and operating primarily within the United States or its territories without direction or inspiration from a foreign terrorist group or other foreign power whose seeks to further political or social goals wholly or in part through unlawful acts of force or violence. The mere advocacy of political or social positions, political activism, use of strong rhetoric, or generalized philosophic embrace of violent tactics may not constitute extremism and may be constitutionally protected.
- Source:
  - NDAA Domestic Terrorism Strategic Report, 2021
  - <https://www.fbi.gov/file-repository/fbi-dhs-domestic-terrorism-strategic-report.pdf>

#### International Terrorism

- Activities that
  1. Involve acts or acts dangerous to human life that are a violation of the criminal laws of the United States or of any State, or that would be a criminal violation if committed within the jurisdiction of the United States or of any State;
  2. Appear to be intended
    - I. To intimidate or coerce a civilian population
    - II. To influence the policy of a government by intimidation or coercion; or
    - III. To affect the conduct of a government by mass destruction, assassination, or kidnapping; and
  3. Occur primarily outside the territorial jurisdiction of the United States or transcend national boundaries in terms of the means by which they are accomplished, the persons they appear intended to intimidate or coerce, or the locale in which their perpetrators operate or seek asylum.
- Source: 18 U.S.C. § 2331(1)

#### Risk and Protective Factors:

- Risk Factor Definition: Negative characteristics that may increase the likelihood that an individual is moving toward violence<sup>3</sup>
- Protective Factor Definition: Positive characteristics that may decrease the likelihood that an individual may move toward violence
- Source: DHS Center for Prevention Programs and Partnerships

#### Targeted Violence:

- Definition:

<sup>3</sup>Unless otherwise stated, the term “violence” here and elsewhere within this document refers specifically to targeted violence and terrorism.

1. Involves acts dangerous to human life that are in violation of the criminal laws of the United States or of any State and that: a) involve a degree of planning and b) involve a pre-identified target including: i) individual(s) based on actual or perceived identity traits or group affiliation or ii) property based on actual or perceived identity traits or group affiliation; and
  2. Appears intended to: a) intimidate, coerce, or otherwise impact a broader population beyond the target(s) of the immediate act; or b) generate publicity for the perpetrator or his or her grievances; and
  3. Occurs within the territorial jurisdiction of the United States; and excludes acts of interpersonal violence,[1] street or gang-related crimes, violent crimes perpetrated by organized crime syndicates or similar organizations, or financially motivated crimes.
- Source: DHS Center for Prevention Programs and Partnerships

#### Underserved Community

- Definition of Underserved Community: Per Executive Order 13985 (Advancing Racial Equity and Support for Underserved Communities Through the Federal Government), “underserved community” refers to populations sharing a particular characteristic, as well as geographic communities, that have been systematically denied a full opportunity to participate in aspects of economic, social, and civic life, as exemplified by the list in the following definition of “equity.”
- Definition of Equity: The consistent and systematic fair, just, and impartial treatment of all individuals, including individuals who belong to underserved communities that have been denied such treatment, such as Black, Latino, and Indigenous and Native American persons, Asian Americans and Pacific Islanders and other persons of color; members of religious minorities; lesbian, gay, bisexual, transgender, and queer (LGBTQ+) persons; persons with disabilities; persons who live in rural areas; and persons otherwise adversely affected by persistent poverty or inequality.
- Source: <https://www.federalregister.gov/documents/2021/01/25/2021-01753/advancing-racial-equity-and-support-for-underserved-communities-through-the-federal-government>

## Appendix E: Budget Template

The applicant should be prepared to present a budget that identifies and explains all direct and indirect costs. These costs and all other expenses must be presented in a table format per the below example and instructions. The budget portion of the application narrative should be a combination of descriptive narrative and the completed table.

Budget Category	Federal Request
Personnel	\$0
Fringe Benefits	\$0
Travel	\$0
Supplies	\$0
Contractual	\$0
Other	\$0
<i>Total Direct Costs</i>	\$0
Indirect Costs	\$0
<b>TOTAL PROJECT COSTS</b>	<b>\$0</b>

Applicants should also anticipate being asked to provide a detailed breakdown of each budget category under the Budget Worksheet. This would entail the following:

- a. **Personnel:** For each key personnel under the proposed project, explain their role under the grant and their level of effort (i.e., hours) and costs. Also, explain and justify how much they will be paid. Please see [2 C.F.R. § 200.430](#), Compensation - personal services, for federal regulations. Note: An individual listed under the “Personnel” budget category is not a contractor; they are someone directly hired by the organization who is applying for the grant. If there is an individual who will serve as key personnel but is a [contractor](#), include those costs under the “Contractual” budget category.
- b. **Fringe Benefits:** Explain the fringe benefits for every individual paid under the proposed project. Fringe benefits are allowances and services provided by employers to their employees as compensation in addition to regular salaries and wages. Please also provide the justification of the fringe benefits, ensuring that they follow your organizational policies and [2 C.F.R. § 200.431](#) Compensation - fringe benefits, for federal guidance on fringe benefits.
- c. **Travel:** Please describe and provide justification of travel expenses under the proposal. Please include adequate funds to send up to two representatives from your project team to two national level convenings of TVTP grant recipients over the course of the grant (one per year). These may be located in Washington D.C. but may rotate to other locations in the U.S. See [2 C.F.R. § 200.475](#), Travel costs, for more guidance.
- d. **Supplies:** Please explain and justify supply expenses. See [2 C.F.R. § 200.314](#) Supplies and [2 C.F.R. § 200.1](#) Definitions, for more guidance. Please note that equipment costs are not allowed under this funding opportunity.
- e. **Contractual:** Please provide details explaining contractual costs, contractor fees, and the total number of hours that contractors will be serving on the award. See [2 C.F.R. § 200.331](#), Subrecipient and contractor determinations, for more guidance on determining whether an

individual or organization is a contractor or subrecipient.

**Institutional Review Board (IRB) Note:** As outlined in Section C(3) “Other Eligibility Criteria/Restrictions,” the TVTP Grant Program does not fund projects that exclusively propose research. However, if your application proposes research as a component of your project, and that research meets the definition of human subject research<sup>4</sup> under the [Common Rule \(6 CFR Part 46 and 45 C.F.R. Part 46, Subparts B-D\)](#), your organization must plan for the research to undergo an IRB review as required by these federal regulatory requirements and DHS policy (see Section F(2) “Protection of Human Subject in Research”). If your organization does not have its own Institutional Review Board (as will be the case for most entities apart from institutions of higher education), **you must factor the cost of contractual IRB support into your budget. The recommended target for contractual IRB support for your project is \$10,000.**

- f. **Indirect Costs:** Provide a copy of your negotiated indirect cost rate agreement at the time of application. Applicants who do not have a current negotiated indirect cost rate agreement (including a provisional rate) with a federal agency and who wish to charge the de minimis rate (10%) must reach out to DHS CP3 at [TerrorismPrevention@hq.dhs.gov](mailto:TerrorismPrevention@hq.dhs.gov) **before the application deadline** for further instructions. See [2 C.F.R. § 200.414](#)

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<sup>4</sup> *Research* means a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge (6 C.F.R. § 46.102(l)).