



**Funding Opportunity Announcement:
Homeland Security Grant Program - 2014**

**IOWA HOMELAND SECURITY AND EMERGENCY
MANAGEMENT DEPARTMENT**

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1/13/2014

2014 HSGP Funding Opportunity Announcement

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SECTION 1 - GENERAL AND ADMINISTRATIVE INFORMATION

1.01 Grant Overview

As of Jan. 13, 2014, the federal appropriation for 2014 Homeland Security Grant Program (HSGP) has not been made nor has the Federal Funding Opportunity Announcement been issued. However, in anticipation of continued funding and pass-through requirements, Iowa Homeland Security and Emergency Management Department (HSEMD) is moving forward with the sub-award grant application phase of 2014 HSGP.

HSEMD is the State Administrative Agency (SAA) for HSGP. HSEMD applies for and accepts the federal award from FEMA. As a condition of receiving HSGP funding, Iowa is required to complete an annual state capabilities assessment. The assessment identifies resource shortfalls in reaching capability targets in core capabilities identified in the National Preparedness Goal (NPG) of prevention, protection, mitigation, response, and recovery that pose the greatest risks to Iowa's whole communities. Results of the core capabilities assessment are critical to help drive funding decisions for 2014 HSGP pass-through grants. Mark Schouten, Director of HSEMD, approves all funding decisions and will do so with an eye towards this core capabilities assessment.

Please be familiar with the resource documents listed below as they provide guidance and information that will be used during the application process. These documents can be accessed from the IowaGrants.gov website: at the "Welcome to IowaGrants.gov" page select "Grant Opportunities" then "Homeland Security Grant Program – 2014." Scroll down to "Attachments."

- Report on Iowa's Core Capability Assessment (will be posted by Jan. 17, 2014)
- Iowa Strategy for Homeland Security & Emergency Management
- The National Preparedness Goal
- 2013 Homeland Security Grant Program (HSGP) Federal Program Funding Opportunity Announcement

1.02 Performance Period

The performance period for sub-awards is projected to be Oct. 1, 2014, to June 30, 2016. This timeline may change as more information becomes available.

1.03 Eligible Applicants

Eligible applicants include: state government agencies; county, city, municipal, and tribal government; school districts; councils of government and tribal councils; institutions of higher education (colleges, community colleges and universities); nonprofit organizations including hospitals.

To be eligible, an organization's financial management systems must meet standards outlined in 44 CFR Part 13.20 (b) for financial reporting, accounting, internal controls, budget controls, allowable costs, source documentation and cash management. This includes the ability to track grant income and expenditures with unique accounting codes.

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Per 44 CFR Part 13.35, eligible applicants and their principals must not be debarred, suspended, proposed for debarment, or otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549.

Eligible applicants may apply on their own behalf or on behalf of (OBO) Homeland Security regions, other state recognized regions or districts, special teams, and informal alliances of jurisdictions with common regional interests. Administrative requirements are found in 2 - Code of Federal Regulations (CFR), Part 225, for governmental organizations and Part 215 for non-governmental organizations.

1.04 Grant Management: Roles and Responsibilities

When an entity is awarded funds by HSEMD, HSEMD is the “grantor” and the entity receiving the award becomes the “grantee.” Upon accepting funds, **the grantee becomes legally and financially responsible**. The grantee, or its designated authorized representative, is responsible for decision-making and negotiation by and between the grantee and all co-applicants, if any. The grantee is programmatically and fiscally responsible for the administration and management of the federal grant in accordance with published state and federal guidance and laws. Communication to, and from, HSEMD regarding grant matters shall flow through the grantee, or its designated authorized representative. See Section 1.05.

In addition to meeting all requirements contained in this guidance, and in accordance with 44 CFR Part 13, the grantee must certify that there is no conflict of interest in making application. No applicant, employee, officer, or agent of the applicant may have a conflict or interest, real or apparent. Under 44 CFR Part 13 a conflict of interest would arise when the applicant, any member of his/her immediate family, partner, organization which employs (or is about to employ) any of the above, has a financial or other interest in the applicant selected for award.

1.05 Designated Authorized Representative

The designation of an authorized representative is at the discretion of the applicant or grantee. If no authorized representative is designated, only the grantee may execute decisions and transactions associated with the grant.

1.06 Available Funds

As of the date this HSEMD funding opportunity was released, the federal allocation to states, including Iowa, had not been made. Therefore, it is not known how much will be available to pass through to support local projects. Applications are being accepted in anticipation of federal funding. Funding decisions will be made after federal allocations to states and the release of current year federal grant guidance.

1.07 Schedule and Deadlines

Once current year federal grant guidance and state allocations are published, HSEMD may have 30 days to submit Iowa’s application to FEMA for HSGP funding. **It is necessary to have local applications submitted in IowaGrants.gov prior to the release of federal guidance because local approved projects will be included in the state’s application to FEMA.**

Final funding decision by HSEMD will be made after the guidance and state’s allocation have been announced by FEMA.

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Mark these important dates on your calendar:

- Application deadline: Friday, Feb. 28, 2014, at 5 p.m.
- HSGP 2014 Application Webinars will be offered. See Section 2 for details.
- As stated above, the review process and funding decisions are dependent upon release of current year federal grant guidance.

1.08 Amendments to the HSEMD FOA

HSEMD reserves the right to amend the HSEMD FOA at any time. In the event it becomes necessary to amend, add to, or delete any part of this announcement, a written amendment or revision will be posted on the HSEMD website. Clarifications will be provided as needed.

1.09 Withdrawal of Applications

An applicant desiring to withdraw its application in IowaGrants.gov shall submit notification via email to Annette Mansheim at annette.mansheim@iowa.gov. All applications begun but not SUBMITTED will be withdrawn by HSEMD on the first day after the application submission deadline.

1.10 Pre-Award Costs

All costs of preparing the application are the sole responsibility of the applicant. HSEMD is not responsible for any costs incurred by the applicant which are related to the preparation or delivery of the application or any other activities undertaken by the applicant related in any way to the funding opportunity.

1.11 Multiple Applications

An organization may submit more than one application and may be competitively awarded more than one grant. All matters concerning individual grants must, however, remain separate and distinct for grant management and administration.

1.12 Restrictions on Gifts, Activities or Lobbying

Iowa Code Chapter 68B contains laws which restrict gifts which may be given or received by state employees and requires certain individuals to disclose information concerning their activities with state government. Applicants are responsible for determining the applicability of this chapter to their activities and for complying with these requirements.

In addition, Iowa Code Chapter 722 provides that it is a felony offense to bribe a public official. Furthermore, the 2 CFR 225.B.24 prohibits use of grant funds for lobbying activities, and disallows payments of memberships, subscriptions and activities for activities engaged in lobbying.

1.13 Subcontractors

The term "subcontractor" applies to individuals, organizations and institutions selected under local, state and/or local procurement guidelines to provide goods or services consistent with the

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application scope of work and generating outputs or outcomes that support performance objectives as defined in the application.

The applicant/grantee is permitted to subcontract for the performance of certain goods or services required for the project. The grantee or its designated authorized representative must not permit any award to any party which is debarred or suspended or is otherwise excluded from ineligible for participation in Federal assistance programs under Executive Order 12549, "Debarment and Suspension" per 44 CFR 13.35. Subcontracts must also adhere to the provisions of 44 CFR Part 13. Planned use of subcontractors by an applicant must be clearly explained in the application. This information must include:

- The name and address of the subcontractor if known;
- The scope of work to be performed by each subcontractor;
- Identification of deliverables;
- Subcontractor qualifications; and
- The estimated dollar amount of each subcontract.

Current employees of the State of Iowa or jurisdictions funded under the award may not act as subcontractors under this contract. Efforts to do so, or discovery of the same, are grounds for the termination of award or other remedies for non-compliance specified within 44 CFR.

The applicant is fully responsible for all work performed by subcontractors and must ensure there is no conflict of interest when selecting subcontractors.

FEMA and the State of Iowa are legally required to consider the potential impacts of all HSGP projects on environmental resources and historic properties. Grantees and subcontractors thereby employed must comply with all applicable environmental and historic preservation (EHP) laws, regulations, and Executive Orders (EOs), in order to draw down FY 2013 HSGP grant funds.

1.14 Supplanting

The purpose of grant funding is to supplement or enhance capabilities. It is not to supplant or reduce local funding requirements for existing capabilities or reduce local costs otherwise budgeted or funded. Upon accepting an award, the grantee agrees that supplanting will not occur as a result of grant funding. HSEMD is authorized under 44 CFR 13.43, to enforce those terms by applying remedies for non-compliance, including termination of the grant and recoupment of improper payments associated with supplanting. A determination of supplanting may influence both current and future grant funding eligibility under HSGP and other federal grant programs.

1.15 Reference Checks

HSEMD reserves the right to contact any reference to assist in the evaluation of the application, to verify information contained in the application and to discuss the applicant's qualifications and the qualifications of any subcontractor identified in the application.

1.16 Information from Other Sources

HSEMD reserves the right to obtain and consider information from other sources concerning an applicant, such as the applicant's product or services, personnel, and subcontractors, and the applicant's capability and performance under other state contracts and contracts with private entities.

1.17 Verification of Application Contents

The contents of an application submitted by an applicant are subject to verification. Misleading or inaccurate responses may result in rejection of the application.

1.18 Application Clarification Process

HSEMD may request clarification from applicants for the purpose of resolving ambiguities or questioning information presented in the applications. Clarifications may occur throughout the application process.

1.19 Federal Waivers

Environmental and Historical Preservation (EHP) Review: Some grant-funded activities may trigger the need for an EHP Review. Triggers include building modifications, construction, moving of soil, or equipment installation funded with federal dollars. Applications for projects that may trigger a review must complete and include an EHP survey form within the application. The EHP Survey form is available as part of the application process. For additional information, please see: [Environmental & Historic Preservation Guidance for FEMA Grant Applicants](#).

Other Waivers: Some equipment purchases require a federal waiver as specified in the [Authorized Equipment List \(AEL\)](#). Applicants must check for this requirement when locating required AEL numbers for the application budget worksheet.

1.20 Public Records

All information submitted by an applicant will be treated as public information. No application or sections of an application may be submitted as confidential. Refer to Iowa Code Chapter 22.

1.21 Copyrights

By submitting an application, the applicant agrees that HSEMD may copy or print the application for the purpose of facilitating the evaluation of the application or to respond to requests for public records. By submitting the application, the applicant consents to such reproduction and warrants that such copying will not violate the rights of any third party. HSEMD shall have the right to use ideas or adaptations of ideas that are presented in the applications. In the event the applicant copyrights its application, the HSEMD may reject the application as noncompliant.

1.22 Appeals

Only those applications in SUBMITTED status in IowaGrants.gov following the posted deadline will be considered for funding. There is no appeal process for missed application deadlines.

Applicants may appeal an adverse award decision by filing a written appeal to HSEMD within 10 working days of the Notice of Obligation. Appeals shall be submitted in writing, return receipt requested, to Iowa Homeland Security and Emergency Management Division, 7105 NW 70th Ave., Camp Dodge, W-4, Johnston, Iowa 50131-1824, ATTN: Annette Mansheim.

Appeals must clearly and fully identify all issues being contested and demonstrate what procedures were not followed. In the event of appeal, HSEMD will continue working with the successful applicant pending the outcome of the appeal.

1.23 Required Reporting

Quarterly: Upon award of funding, the successful applicant begins a cycle of quarterly performance reporting that continues throughout the performance period and until grant closeout. Quarterly reporting is a requirement to enable programmatic and financial progress monitoring and reporting to FEMA, the U.S. Department of Homeland Security and Congress.

Resource Typing: Required reporting will include equipment purchases and the typed capability the equipment supports (where such typing guidance exists), as well as training associated with capabilities for typed teams, EOD, SWAT, USAR, HAZMAT, Incident Management, etc. the number of persons trained in a given capability must be reported. For example, 63 responders were trained in structural collapse to support 23 Type 2 USAR Teams.

Unless otherwise specified, Quarterly and Resource Typing reports are due on Jan. 15, April 15, July 15, and Oct. 15, following the end of each federal fiscal year quarter, which is October to December, January to March, April to June, and July to September.

Exercise: Following each exercise, the grantee shall submit an HSEEP Exercise Reporting Form.

Final: A final report describing achieved outcomes and outputs is required for successful completion and closeout of grant activities. The report must include statements that all projects and activities are ended, that final payment was received, and must identify the unexpended amount.

Other: HSEMD may require additional reporting information with written notice.

1.24 Commitment to Award and Accept Funds and Grant Terms and Conditions

The State's pass-through requirement must be met within 45-days of the award date issued by FEMA. HSEMD will issue the Commitment to Award and Accept Funds (CAAF) and the Grant Terms and Conditions to organizations with approved applications immediately following the State's award notification by FEMA. The CAAF confirms the award amount, performance period dates, and other pertinent grant information. It is completed and signed by the grantee and returned within a designated timeframe. The timeline is established to enable HSEMD to meet the 45-day obligation requirement. The Grant Terms and Conditions that follow the CAAF identify federal and state grant requirements and regulations. See Appendix B.

SECTION 2 – APPLICATION

2.01 IowaGrants.gov

All applications must be submitted via IowaGrants.gov, www.iowagrants.gov. It is the only means of submitting an application.

Welcome to IowaGrants.gov
Iowa's Funding Opportunity Search and Grant Management System

FUNDING OPPORTUNITIES OFFERED BY IOWA STATE AGENCIES

- [Grant Opportunities](#)
- [Loan Opportunities](#)
- [Bids/Purchases](#)
- [Licenses/Permits](#)

You do not need to register for Search access.

ELECTRONIC GRANT MANAGEMENT SYSTEM

Iowa Grants.gov allows you to electronically apply for and manage grants received by the state of Iowa. Persons accessing the system for this purpose are required to register.

- [Returning Users Sign In Here](#)
- [New Users Register Here \(Registration Instructions\)](#)

Click “Grant Opportunities” to access grant information.

Click “Returning Users Sign in Here” to log in if you have an [IowaGrants.gov](http://www.iowagrants.gov) account.

Click “New Users Register Here” if you do not have an account.

If you have problems logging in, contact the Service Desk.

Account Id Examples:

Public User Account Format

- *firstname.lastname@iowaid*

State Employee Account Formats

- *firstname.lastname@iowa.gov*
- *If you do not have an @iowa.gov account use your email address.*

[Need an Account?](#)

[Forgot Password?](#)

[Forgot Id?](#)

Contact the DAS-ITE Service Desk if you need personal assistance.
Email: ITE.ServiceDesk@iowa.gov Phone: 515-281-5703 or 1-800-532-1174

2.02 **Homeland Security Grant Program - 2014 Application Guide**

Once logged in, look for the document **Homeland Security Grant Program - 2014 Application Guide** (a PowerPoint) by following these steps:

- From the Main Menu click “Funding Opportunity”
- Under the “Opportunity Title,” find and click the blue link called “Homeland Security Grant Program – 2014.”
- Scroll down past “Description” to “Attachments.” Find the *Homeland Security Grant Program - 2014 Application Guide* then click on the “File Name” to the right of the title.
- If you experience problems or have questions, please contact: Annette Mansheim at 515-725-3291 or Jim Marwedel at 515-725-3217.

2.03 **Funding Guidelines**

Project applications must fall into the solution area categories of planning, organization, exercises, training, and/ or equipment. It is very important to review FEMA’s prior year grant guidance for information about solution areas, personnel, management and administration funding caps. This document is available as an attachment under the Funding Opportunity.

Management & Administration: Unless otherwise specified by the yet-to-be released current year federal guidance, grantees may budget up to 5 percent of their award for management and administration.

Personnel Costs: Unless otherwise specified by the yet-to-be-released current year federal grant guidance, the overall cap on personnel for the entire federal award is 50 percent. The PRICE Act clarifies what is covered by the cap on personnel costs. To comply, grantees should keep track of personnel and personnel related activities that would contribute to a personnel cap. In general, costs associated with work performed under contract for a specific deliverable DO NOT count against the personnel cap. Examples include instructors hired to teach a specific course, or a consultant hired to facilitate an exercise.

Personnel activities that COUNT towards the personnel cost cap include:

- Operational overtime;
- Overtime/backfill to participate in approved training or exercise deliveries;
- Salaries and personnel costs of intelligence analysts for intelligence and medical fusion center activities;
- Overtime to participate in intelligence sharing activities;
- Salaries and personnel costs of planners, equipment managers, exercise coordinators, and/or training coordinators;
- Salaries and personnel costs under the Management and Administration (M&A) category;
- Contract employee costs associated with performing the above activities; and
- Costs associated with providing reasonable accommodations and modifications for workers.

Because the annual grant award has been trending downward, so is the amount available to fund personnel. HSEMD may prioritize funding of existing positions that are not otherwise

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fundable over new positions. HSEMD cannot assure continued funding of existing grantees, or funding of existing grantees at previous levels.

Food (non-travel status): Food in the form of a meal is an allowable HSGP expense under very strict circumstances. Applicants may budget for projected food/meal costs, however, pre-approval is still required before costs are incurred. See Appendix A.

2.03 Application Process

The application process will conclude with allocation of available federal funds to local projects. There are two important aspects of the application process:

- First, it is a competitive process with funding decisions based upon the quality of the application and how well the project aligns with state homeland security needs and interest and the State Preparedness Report.
- Second, the process for 2014 HSGP applications will return to a one-phase process meaning that all required application forms will be included in a single application. Each application form is described in a later section.

Application Assistance: Three webinars will be held to provide technical assistance with the application process. It is recommended that applicants participate in at least one webinar:

Date of Training	Webinar Time	Please register at the following link:
Thu, Jan 16, 2014	2:00 PM - 3:30 PM	https://www3.gotomeeting.com/register/437129454
Tue, Jan 21, 2014	9:00 AM - 10:30 AM CST	https://www3.gotomeeting.com/register/123902470
Mon, Jan 27, 2014	2:00 PM - 3:30 PM CST	https://www3.gotomeeting.com/register/220651390

The HSGP Application includes the following forms:

- ✓ General Information: This is a universal IowaGrants.gov form. It includes: Program Area, Funding Opportunity Name and Grant Year, Application Deadline, a system generated ID#, Project Title, Registered Applicant, and Additional Contacts. The Budget Total remains at \$0.00 until the Budget Report form is completed.
- ✓ Cover Sheet – General Information: This form is an IowaGrants.gov required form. It includes contact information for the Authorized Official and Fiduciary Officer. It also requires identification of Counties, Congressional Districts, and Iowa Senate Districts involved or affected by the application.
- ✓ Scope of Work: this form includes the applicable state goal and objectives; project goal and objectives, project description; relation to NPG; Planning, Organization, Equipment,

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Training and Exercise details; and other information to provide an overall description of the proposed project – what it is, why it is, and what it will accomplish.

- ✓ Work Plan: Actions & Time: a well thought out project will be managed by accomplishing a series of planned actions by target deadlines. Priority actions will be outlined during each quarter of the grant in this form. This overview provides the basis for future quarterly status reports.
- ✓ Application Budget Worksheet: The budget worksheet is an Excel document created as a tool to help applicants develop a meaningful budget and provide detail for funding decisions. All funding requirements that support project objectives and activities defined in the Scope of Work and Work Plan are described with cost calculations shown. Authorized Equipment List (AEL) numbers are required for all proposed equipment expenses.
- ✓ Budget Report: This form consolidates the budget calculations from the Application Budget Worksheet. While it may seem repetitive, it is necessary to be completed to facilitate the drawdown of funds when claims are submitted.
- ✓ Designated Authorized Representative: This form allows the signatory to the grant agreement (the grantee) to designate up to two other individuals to sign or conduct official grant-related actions on his/her behalf. Without this document, only the actual signatory may execute the grant or actions associated with it. See Section 1.05.
- ✓ EHP Screening: This form accommodates uploading the EHP Screening form to document the status of the review process, if applicable to the project. See Section 1.19.
- ✓ Application Assurances and Certifications: This form is signed to acknowledge a Hold Harmless Agreement; Certification Regarding Lobbying; Debarment, Suspension & Other Responsibility Matters; Assurances Related to Construction & Non-Construction Programs; Certification of Drug-Free Workplace Requirement; and Single Audit Requirements for Federal Grants.
- ✓ Pre-Award Requirements: This form is an IowaGrants.gov required form necessary to meet federal grant requirements. It includes the organization's Dun and Bradstreet Data Universal Numbering System (DUNS) Number and reporting of the total compensation of executives.

Note: Organizations should verify that they have a DUNS number. Existing DUNS numbers may be used. If the applicant has no DUNS number, it must take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at (866) 705-5711 or by going online to www.dnb.com.

- ✓ Minority Impact Statement: This form is an IowaGrants.gov required form pursuant to 2008 Consolidated Iowa Acts, HF 2393. Under it, all grant applications submitted to the State of Iowa beginning Jan. 1, 2009, shall include a Minority Impact Statement. This is the state's mechanism to require grant applicants to consider the potential impact of the grant project's proposed programs or policies on minority groups.

SECTION 3 – APPLICATION REVIEW PROCESS

3.01 Evaluation Criteria

A successful application must include:

- **Scope of Work:** All requested information is completed to clearly convey in measurable terms what is to be achieved and how it builds or sustains core capabilities, if capabilities are deployable, or otherwise shared, and state outcomes per applicable solution areas (planning, training, exercise, etc.). Responses must align with the Work Plan: Actions and Timeline and the Budget Worksheet.
- **Work Plan: Actions and Timeline:** includes detailed action steps by quarter that can be realistically completed within the grant performance period and within budget. The actions should demonstrate how the projects goals and objectives will be achieved. Responses must align with the Scope of Work and Budget Worksheet.
- **Budget Worksheet:** provides all requested financial detail including descriptions, calculations, and reasonable, allowable expenses that align with project scope of work and work plan. **Any and all proposed equipment must be listed with the corresponding AEL # included in the description.** Data must align with Scope of Work and Work Plan: Actions and Timeline.
- Overall, the project must develop or sustain priority gap capabilities and support the National Preparedness Goal. Results of Iowa's core capabilities assessment will also help drive funding decisions for HSGP pass-through grants.

3.02 Review Process

Phase I – Technical Review: The first phase will involve a preliminary screening by the HSEMD staff of an applicant's compliance with the mandatory requirements for submitted applications. Applications which fail to satisfy technical requirements may be eliminated from the application review. HSEMD reserves the right to waive minor variances at the discretion of the Homeland Security Administrator or his authorized representative. A successful pre-application must:

- Meet eligibility requirements as specified in Section 1.03.
- Be complete in its entirety and be submitted via IowaGrants.gov by the posted deadline.
- Certify that no conflict of interest shall arise as specified in Sections 1.04 and 1.16.

Phase II – Review Team: Applications determined to be compliant with technical requirements will advance to the second phase of evaluation. Applications are sorted into similar-typed project groups and assigned to a specialized review team. Each team member individually evaluates assigned applications in accordance with a pre-determined evaluation criteria. Each team then meets to compile results and develop the review team's recommendations of priority projects and funding allocations.

Phase III – HSEMD Compilation and Selection: Team recommendations is reported to the Homeland Security Advisory Committee (HSAC) for their review and recommendation. This information is compiled for presentation to the SAA. The SAA may review and consider any

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available information including submitted applications; individual, team, and HSAC comments, review results and recommendations; previous funding allocations; reference information; and any other information received pursuant to the application process.

The SAA makes the final decision on which projects be awarded funds and the amount of the financial award.

In the event that applications received do not address priority needs, meet requirements, or provide sufficient information to provide indication of success, the SAA reserves the right to seek additional applications or re-release the Funding Opportunity Announcement.

Notice of Obligation: A list of projects and funding allocations approved by the SAA will be distributed after federal grant guidance for current year has been released. All applicants will be notified by e-mail. The obligation amount is subject to change if the actual award amount to Iowa is different than the amount of the original allocation announced by FEMA.

The status of submitted applications not selected for funding will be changed from "Submitted" to "Not Approved."

Revisions to Approved Applications: applications selected for funding may be "negotiated" or returned for revisions, if needed. Project scope of work, budget and timeline may be revised to align with the obligated amount of funding or other provisions. Applications must be re-submitted and approved before funds are actually awarded. See Section 1.24, Commitment to Award & Accept Funds and Grant Terms & Conditions. See also Appendix B.

APPENDIX A – 2014 HSGP Funding Opportunity Announcement

Pre-Approval Request Form for Food

See reverse side for instructions.

Date of Event	
Projected outcome of event that supports project scope of work.	
Attach or enter outline of event activities to include timeline. Minimum amount of time for an event requiring a meal is five hours.	
Describe intended audience. Include projected number of people to attend and location/distance from where they are traveling.	
Are all participants required to attend the working session scheduled during the meal break?	
Itemized food budget.	
Explain why the provision of food is necessary. Explain why there are no other options for scheduling this event without providing food. Explain why people cannot leave to purchase food or why other arrangements don't work. Explain why this is the only viable, cost-efficient means to conduct the event.	

Submitted by:

Name/Title/Date	Signature

Approved by:

HSGP Project Office Name/Date	Signature

HSGP Grant Manager Name/Date	Signature

APPENDIX A – 2014 HSGP Funding Opportunity Announcement

Instructions

Using federal grant funds to provide food to people attending meetings or conferences is highly scrutinized by FEMA. Costs are subject to reimbursement should FEMA judge an expense to be unnecessary or unreasonable. Therefore, Iowa's Homeland Security and Emergency Management Department (HSEMD) is implementing a two-step process for approval and reimbursement.

Step 1: Pre-approval. HSEMD must pre-approve planned food expenditures from Homeland Security Grant Program (HSGP) funds prior to costs being incurred or food expenditures will not be reimbursed. HSEMD will consider pre-approval of food during an event such as a meeting, workshop, training, exercise or conference associated with the implementation of an HSGP scope of work when it is documented that food costs are necessary and reasonable. **Complete and submit the Pre-Approval Form to your HSGP project officer.** Pre-approval to incur costs does not guarantee reimbursement of expenses.

Step 2: Payment Request Approval. Payment requests that include pre-approved food costs must be on a reimbursement basis only. Advance payments will not be approved. All required documentation must be submitted with the claim. Pre-approval to incur costs does not guarantee reimbursement if the documentation does not support the expenditure or if actual events were substantially different than what was pre-approved.

It is the grantee's responsibility to submit the following documentation to receive reimbursement for food:

1. Signed Pre-Approval Form
2. Invoice
3. Payment verification
4. Final, distributed event agenda with timeline
5. For meetings: signed minutes that document meeting start and end time
6. Participant sign-up sheet to include:
 - a. Printed name of person in attendance
 - b. Signature of person in attendance
 - c. Name of the organization, association or agency they represent
 - d. Miles traveled to attend event

Non-Allowable Expenses: Grantees should not request pre-approval or seek reimbursement for food items such as breakfast, donuts/rolls, break food, refreshments, snacks, or beverages (other than with a meal) even if this had been prior approved in your scope of work and budget. Alcohol is not an allowable expense under any circumstances. HSEMD will not pre-approve or provide reimbursement for these types of expenditures.

APPENDIX B – 2014 HGSP Funding Opportunity Announcement

**2014 Homeland Security Grant Program
Iowa Homeland Security and Emergency Management Department (HSEMD)
Commitment to Award and Accept Funds**

1. Grantee Contact Information: <i>Print primary grant contact name, title, agency/organization, phone, and mailing address.</i>	2. Issue Date:	
	3. Prepared by:	Annette Mansheim, HSGP Grant Manager
	4. Federal Program:	Homeland Security Grant Program (HSGP)
	5. CFDA#:	97.067
	6. Federal Agreement #:	
	7. Federal Granting Agency:	U.S. Department of Homeland Security Federal Emergency Management Agency
8. Total Award Amount:		
9. Performance Period:	Start Date	End Date
10. Grant Number:		
11. Grant Title:		
12. HSEMD Grant Project Officer for this Grant:	Name, phone, e-mail	
13. Personnel Cap: Amount expended from this project for salary, wages, overtime, and contract employees may not exceed this cap.		
14. Deadline for Execution: Grantee recognizes that this document must be signed, dated and delivered to HSEMD by Sept. 15, 2014. Failure to do so will result in termination of this commitment.		
State of Iowa Awarding Agency Approval		
Authorized Official:	Signature of Authorized Official:	
Angela Chen, Administrator Finance and Planning, HSEMD		
	Date:	
Grantee Acceptance		
I, acting as the authorized authority on behalf of the grantee, have read and understand the attached Grant Terms & Conditions, including but not limited to Appendix 1, Assurances and Certifications. By signing below, the grantee agrees to: (1) accept the stated award; (2) comply with the Grant Terms & Conditions in its entirety for the administration, implementation, and closeout of all grant activities; and (3) expend funds only upon approved scope of work, within the approved timeline and budget, all of which are located in the approved IowaGrant.gov application and included herein by express reference.		
Print Authorized Grantee official (name/title):	Signature of Authorized Grantee Official:	
	Date:	
Print Grantee's Authorized Representative	Signature of Grantee's Authorized Representative	
	Date:	
14. Organization Data Universal Numbering System (DUNS) Number:		
15. Unique Revenue Accounting Code for this project:		
16. Unique Expense Accounting Code for this project:		

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Federal Program:	2014 Homeland Security Grant Program (HSGP)
State Awarding Agency:	Iowa Department of Homeland Security and Emergency Management
GRANT TERMS & CONDITIONS	

1. COMMITMENT TO AWARD AND ACCEPT FUNDS AND GRANT TERMS & CONDITIONS

The Homeland Security Grant Program (HSGP) Commitment to Award and Accept Funds and the Grant Terms & Conditions are issued by the Iowa Homeland Security Emergency Management Department (HSEMD) as the State's Administrative Agency (SAA) for federal preparedness grants. Together, these documents provide the terms and conditions associated with accepting this grant.

Before you incur costs or receive any of the federal grant funds awarded to you, you must establish acceptance of the grant and Grant Terms & Conditions. To establish acceptance of the grant and grant terms and conditions, return the signed copy of the Commitment to Award and Accept Funds by the due date stated on the form.

In the event that a Grant Adjustment Notification is issued, or a change to the grant terms and conditions is made, any subsequent request for funds will indicate grantee acceptance of changes to the award.

2. SCOPE OF WORK

Grant funding through this federal program plays an important role in the implementation of the National Preparedness Goal (NPG). Funding shall be used for costs related to planning, organization, equipment, training and/or exercise needs that prevent, protect against, mitigate, respond to, and recover from acts of terrorism and other catastrophic events. This grant project provides an integrated mechanism that builds and sustains core capabilities to support the Nation's Preparedness against terrorist attacks, major disasters and other emergencies.

A more detailed project scope of work, timeline, and budget has been submitted in IowaGrants.gov and evaluated by a team review, and approved. This application has been allocated funds by the SAA. Only activities, goods and services that relate to the scope of work in the approved final application will be funded.

3. AWARD SUSPENSION OR TERMINATION

HSEMD, as awarding agency, may suspend or terminate grant funding, in whole or in part, or other measures may be imposed for any of the following reasons: failing to comply with the requirements or statutory objectives of federal law, failing to make satisfactory progress toward the goals or objectives set forth in the award scope of work, failing to follow the grant terms or conditions, failing to submit required reports, filing a false certification in the application or other report or document, and/or non-performance.

Grantee may terminate this Grant Award. A 30-day written termination notification shall be provide by HSEMD or grantee, via registered or certified mail, return receipt requested. Any costs incurred earlier than the date of receipt of the notice or the date of termination set forth in the notice will be negotiated for final payment.

4. GRANT REGULATIONS AND GUIDANCE

Grantee shall comply with state and federal laws; the most recent version of the Administrative Requirements, Cost Principles, and Audit Requirements; and state and federal grant guidance. A nonexclusive list of regulations commonly applicable to FEMA grants administered by HSEMD is listed below:

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A. Federal laws (see Appendix 2)

- 1) Lobbying Prohibitions
- 2) Acknowledgement of Federal Funding from DHS
- 3) Copyright
- 4) Use of DHS Seal, Logo and Flags
- 5) Activities Conducted Abroad
- 6) Fly America Act of 1974. 40118)
- 7) Drug-Free Workplace Regulations
- 8) Trafficking Victims Protection Act of 2000
- 9) Civil Rights Act of 1964
- 10) Civil Right Act of 1968
- 11) Americans with Disabilities Act of 1990
- 12) Age Discrimination Act of 1975
- 13) Title IX of the Education Amendments of 1972
- 14) Rehabilitation Act of 1973
- 15) Limited English Proficiency
- 16) Animal Welfare Act of 1966
- 17) Clean Air Act of 1970 and Clean Water Act of 1977
- 18) Protection of Human Subjects
- 19) National Environmental Policy Act (NEPA) of 1969.
- 20) National Flood Insurance Act of 1968
- 21) Flood Disaster Protection Act of 1973
- 22) Coastal Wetlands Planning, Protection, and Restoration Act of 1990
- 23) USA Patriot Act of 2001
- 24) Federal Funding Accountability and Transparency Act (FFATA)

B. Federal Administrative Requirements

- 1) 44 Code of Federal Regulations (CFR), Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments:
 - a. **13.20 Standards for financial management systems.** Includes statement that accounting records must be supported by source documentation such as cancelled checks, paid bills, payrolls, time and attendance records, contracts, etc.
 - b. **13.21 Payment.** Includes statement that methods and procedures for payment shall minimize the time elapsing between the transfer of funds and disbursement by the grantee.
 - c. **13.22 Allowable costs.** Includes statement that applicable Office of Management and Budget (OMB) cost principles, agency program regulations, and grant terms and conditions will be followed in determining the reasonableness, allowability, and allocability of costs.
 - d. **13.23 Period of availability of funds.** Includes statement that a grantee may charge to the award only costs resulting from obligations during the stated grant performance period.
 - e. **13.24 Matching or cost sharing.** Defines rules and treatment when required by a specific grant.
 - f. **13.25 Program Income.** Defines program income and treatment for deduction if earned.
 - g. **13.26 Non-Federal audit.** Grantee is responsible for obtaining audits in accordance with OMB Circular A-133.
 - h. **13.32 Equipment.**
 - i. Equipment purchased by the grantee with federal award funds is the property of the grantee. The grantee shall comply with federal requirements for use, management, and rights to transfer title. Inventory records shall be maintained and include the following: serial numbers or other identifying numbers, the source of the property (HSGP), the title holder and/or whomever maintains physical possession of the property, acquisition date

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of each item, dollar cost of the item, the percentage of federal funding used in the purchase, the physical location of the item, and its condition (new, operational, under repair, etc.).

- ii. When equipment is no longer needed by the grantee and the per unit fair market value is less than \$5,000, the grantee may retain, sell, or dispose of the equipment with no further obligation to HSEMD. If, on the other hand, the per unit fair market value is \$5,000 or greater, then the grantee must submit a written request to HSEMD for disposition instructions.
 - i. **13.35 Subawards to debarred and suspended parties.** States that grantees shall not make any award or permit any award (grant or contract) at any tier to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs. The Excluded Parties List may be found at <https://www.sam.gov>.
 - j. **13.36 Procurement.** Includes purchasing standards and requirements for competitive purchasing, contracting and other federal procurement guidance.
- 2) 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB Circular A-110)
 - 3) 44 CFR Part 10, Environmental Considerations
 - a. Grantee shall not undertake any project having the potential to impact Environmental or Historic Preservation (EHP) resources without prior approval by FEMA, including but not limited to communication towers, physical security enhancements, new construction, ground disturbance, and modifications to buildings, structures and objects that are 50 years old or greater.
 - b. Grantees must comply with all conditions placed on the project as the result of the EHP review.
 - c. Any change to the approved project scope of work will require re-evaluation for compliance with these EHP requirements.

C. Cost Principles

1. 2 CFR, Part 220, Cost Principles for Educational Institutions (OMB Circular A-21)
2. 2 CFR, Part 225, Cost Principles for State, Local and Tribal Governments (OMB Circular A-87)
 - a. Defines “capital expenditures, “equipment,” “special purpose equipment” and “general purpose equipment.”
 - b. States the rules of allowability that apply to equipment and other capital expenditures including:
 - i. Capital expenditures for general purpose equipment, buildings, and land are unallowable as direct charges, except where approved in advance by the awarding agency. Section 15.b(1), (2), and (3) of Appendix B.
3. 2 CFR, Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122)
 - a. Defines “capital expenditures, “equipment,” “special purpose equipment” and “general purpose equipment.”
 - b. States the rules of allowability that apply to equipment and other capital expenditures including:
 - i. Capital expenditures for general purpose equipment, buildings, and land are unallowable as direct charges, except where approved in advance by the awarding agency. Section 15.b(1), (2), and (3) of Appendix B.
 - ii. 48 CFR 31.2, Federal Acquisition Requirements (FAR), Contracts with Commercial Organizations

D. Audit Requirements

- 1) OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations

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- 2) Grantees must submit an audit report to the Federal Audit Clearinghouse if they expended more than \$500,000 in federal funds in one fiscal year. The Federal Audit Clearinghouse submission requirements can be found at <http://harvester.census.gov/sac/>.

E. Program Guidance

Grantee agrees that all allocations and use of funds under this grant will be in accordance with the federal funding opportunity announcement.

F. State of Iowa and Iowa Homeland Security and Emergency Management

1) Contracting and Procurement

- a. Contracting and procurement standards must be in accordance with the written adopted procedures of the grantee, as long as the procurement standards conform to applicable State and Federal law. **When local or state requirements are more restrictive than federal requirements, the more restrictive requirements must be followed.**
- b. Grantee shall ensure that every purchase order or contract includes all clauses required by Federal statutes, executive orders, and other regulations.
- c. Grantee shall submit bid and contracts greater than \$5,000 to HSEMD, in care of the grantee's grant project officer PRIOR to awarding or executing. HSEMD will review and comment regarding compliance with federal/state guidelines and procedures. Failure to submit for review may result in denial of request for payment if contract/procurement procedures are deemed non-compliant.

- 2) Travel – Travel standards must be in accordance with the written adopted procedures of the grantee, as long as the procurement standards conform to applicable State and Federal law.

- 3) Food/Meal Costs (non-travel): Costs must be pre-approved by HEMD. Contact grant program officer for Pre-Approval Request Form.

4) Record Retention

- i. Pursuant to 44 CFR 13.42, grantee shall retain records for three years after they are notified by HSEMD that the grant has been closed by the Department of Homeland Security/FEMA.

5) Monitoring

- a. HSEMD shall monitor the programmatic and financial progress of grantees to assure compliance with local, state and federal requirements and that performance goals are being achieved.
- b. Grantee understands that HSEMD may enforce any of the remedies for noncompliance allowed by state and federal regulations.
- c. The closeout of a grant does not affect HSEMD's responsibility to monitor beyond the performance period end date.

5. GRANT MANAGEMENT

A. On-line Grants Management System

Grantee agrees to use Iowa's on-line grants management system for the application and grant management of awards including but not limited to the following:

- 1) Maintain current grantee contact information in the system.
- 2) Submit final application and upload signed Grant Commitment to Award and Accept Funds by posted deadline.
- 3) Submit change requests for project scope of work, budgets, timelines, or other via this system.
- 4) Perform scope of work and incur related expenses within the Performance Period as posted for the award within the system.

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B. Payment Requests

Grantee agrees to comply with federal, state and local financial requirements and that all costs incurred shall support the approved project scope of work. In addition, the grantee agrees to:

- 1) Participate in Payment Request training provided by HSEMD prior to submitting a payment request claim.
- 2) Follow Payment Request Guidance established by HSEMD in accordance with state and federal requirements and generally accepted accounting procedures, including:
 - a. Payment requests submitted for reimbursement of expenses is the preferred method of payment.
 - b. Unless otherwise restricted by grant guidance, payment requests submitted in advance of costs incurred are allowable provided the grantee demonstrates the ability to minimize the time elapsing between the transfer of the funds and their disbursement.
 - i. In general, no more than 30 days should elapse between the date of receipt of a state warrant for an advance and the payout of funds by the grantee.
 - c. Grantee agrees to reconcile all advance payments received with actual expenses paid. When an overpayment has occurred, (the actual expense is less than amount claimed) the grantee must make an administrative offset against other requests for reimbursement. Submit all required documentation to support payment. This applies to advance payments as well as reimbursements.
 - d. Accrued interest on advances must not exceed \$100 per year to awards made under CFDA number 97.067.

D. Reporting

HSEMD has the responsibility to report financial and programmatic information to FEMA. Grantee has the responsibility to report data to HSEMD for inclusion into federal reports. Grantee agrees to comply with all reporting requirements.

- 1) Quarterly Status Reports.
 - a. Progress reports are to be submitted on-line in grant management system.
 - b. Due on Jan. 15, April 15, July 15, and Oct. 15 following the end of each federal fiscal year quarter which is October – December, January – March, April – June, and July – September.
- 2) Exercise Reporting. Following each exercise, the grantee should submit a Homeland Security Exercise and Evaluation Program (HSEEP) Exercise After-Action Report (AAR). Acceptable forms are available at <https://www.llis.dhs.gov/content/hseep-doctrine-and-templates> or from the Exercise forms library at the SharePoint site available to county emergency management coordinators at <https://hsemdpreparedness.iowa.gov/Exercise%20Forms/Forms/AllItems.aspx>.
- 3) Final Status Report. In order to submit the final report due no later than 90 days following the end of the award's performance period end date grantee agrees to:
 - a. Pay all grant obligations in timely manner.
 - b. Submit final payment request including payment verification documentation for reimbursement of funds no later than 45 days of end of performance period.
 - c. Document receipt of final pay warrant from the State of Iowa.
 - d. Reconcile grant accounts to include comparison of actual expenses paid and the actual amounts received from the State. Upon final reconciliation of the overall award, any over-payments by the State of Iowa to the grantee must be immediately returned. Make check payable to "Treasurer, State of Iowa" and mail with explanation to HSEMD's Financial Executive Officer.
 - e. After the final payment warrant from the State of Iowa for grant expenses has been received, and after the grant accounts have been reconciled, complete and submit the Final Status Report.

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- 4) Other Reports. Other reports or requests for information as may be determined to satisfy federal or state reporting requirements.

6. INDEMNIFICATION

It is understood and agreed by grantee that these Grant Terms and Conditions are solely for the benefit of the parties to the grant award and gives no right to any other party. No joint venture or partnership may be formed as a result of these Grant Terms and Conditions.

The grantee, on behalf of itself and its successors and assign, agree to protect, save and hold harmless HSEMD, the State of Iowa, and their authorized agents and employees, from all claims, actions, costs, damages, or expenses of any nature whatsoever by reason of the negligent acts, errors, or omissions of the grantee. This likewise applies to the grantee's authorized representative(s), its contractors, subcontractors, agents, licensees, or other such person associated with the grantee in connection with the Terms and Conditions of this Grant.

The grantee agrees to defend HSEMD, the State of Iowa, and their authorized agents and employees against any claim or cause of action, or to pay reasonable attorney's fees incurred in the defense of any such claim or cause of action, as to which the grantee is required to protect, save or hold harmless.

7. GOVERNING LAW, VENUE AND SERVERABILITY

The laws of Iowa shall govern the Terms and Conditions of this Grant . Any and all litigation in connection with this Grant shall be brought in Des Moines, Iowa, in the Polk County District Court for the State of Iowa, if jurisdiction is proper. If jurisdiction is not proper in the Iowa District Court for Polk County, but is proper only in a United States District Court, the matter shall be commenced in the United States District Court for the Southern District of Iowa, Central Division.

8. SOVEREIGN IMMUNITY

The State of Iowa and HSEMD do not waive sovereign immunity by entering into a Grant agreement and specifically retain the defense of sovereign immunity and all defenses available under federal and state laws, rules, regulations for any claim arising out of or related to the Grant.

9. CERTIFICATION

Signature of the Grant Commitment to Award and Accept Funds and submission of the final grant application certifies acceptance of the federal award through HSEMD and that all parties have read and understand the entirety of Grant Terms & Conditions including Appendix 1 through 3, for administering a federal grant through HSEMD.

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Appendix 1: Assurances and Certifications

By signing the Grant Commitment to Award and Accept Funds, the Grantee assures and certifies that they will comply with Grant terms and conditions, and specifically, have read, understand and will comply with the requirements identified in this Appendix.

I. HOLD HARMLESS AGREEMENT

Pursuant to sections 403 and 407 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (P.L. 93-288), as amended, (42 U.S.C. §§ 5170 et seq. and 5173(b)), the undersigned agrees to indemnify, hold harmless, and defend the United States of America and the State of Iowa, as well as their agents and employees, from all claims, actions, costs, damages, or expenses of any nature whatsoever by reason of negligent acts, errors, or omissions of the applicant, their contractors, subcontractors, assigns, agents, licensees, arising out of or in connection with any acts or activities authorized by the project or program.

II. CERTIFICATION REGARDING LOBBYING

As required by the regulations implementing the New Restrictions on Lobbying (44 CFR § 18), this applicant hereby certifies that, to the best of their knowledge and belief:

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

This certification is a material representation of fact upon which reliance is placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction, imposed by 31 U.S.C. § 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

III. DEBARMENT, SUSPENSION, & OTHER RESPONSIBILITY MATTERS

As required by Executive Order #12549, Debarment and Suspension, and implemented by 44 CFR Part 13, for prospective participants in primary covered transactions, as defined in 44 CFR Part 13, § 13.35.

This applicant hereby certifies that it and its principals:

1. (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency. (b) Have not within a three-year period preceding this application been convicted of, or had a civil judgment rendered against them for commission of

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fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes, or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property. (c) Are not presently indicted for, or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local), with commission of any of the offenses enumerated in the preceding paragraph of this certification. (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default.

2. Where the applicant is unable to certify to any of the statements in this certification, they shall attach an explanation to this application.

IV. ASSURANCES – CONSTRUCTION & NON-CONSTRUCTION PROGRAMS

This duly authorized representative for this applicant does hereby certify that it:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial, and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the Awarding Agency, the Comptroller of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award or assistance, and will establish a proper accounting system in accordance with generally accepted accounting standards, or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives, and will include a covenant in the title of real property in accordance with Awarding Agency directives, and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review, and approval of construction plans and specifications.
5. Will provide and maintain competent, adequate engineering supervision at all construction sites to ensure that the complete work conforms with the approved plans and specifications, and will furnish progress reports and other information as required by the assistance awarding agency, or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes, or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728 - 4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen (19) statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personal Administration (5 CFR § 900, Sub-part F).

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9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of a lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include, but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color, or national origin. (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681 - 1683 and 1685 - 1686), which prohibits discrimination on the basis of sex. (c) Section 504 of the Rehabilitation Act of 1973, as amended (U.S.C. § 794), which prohibits discrimination on the basis of handicaps. (d) The Age Discrimination Act of 1975, as amended (42 U.S.C. § 6101 et seq.) (e) The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to non-discrimination on the basis of drug abuse. (f) The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism. (g) Sections 523 and 527 of the Public Health Service Act of 1912, (42 U.S.C. § 290-dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records. (h) Title VIII of the Civil Rights Acts of 1968 (42 U.S.C. § 3601 et. seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing. (i) Any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made. (j) The requirements of any other nondiscrimination statute(s) which may apply to the application.
11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646), which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or Federally-assisted programs. These requirements apply to interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501 - 1508 and 7324 - 7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327 - 333) regarding labor standards for federally-assisted construction sub-agreements.
14. Will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with the environmental standards which may be prescribed pursuant to the following: (a) Institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190 and Executive Order (EO) 11514. (b) Notification of violating facilities pursuant to EO 11738. (c) Protection of wetlands pursuant to EO 11990. (d) Evaluation of flood hazards in flood plains in accordance with EO 11988. (e) Assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.). (f) Conformity of Federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§ 7401 et seq.). (g) Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L.

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93-523). (h) Protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

16. Will comply with the Wild Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the Awarding Agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§ 469a-1 et seq.).
18. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
19. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§ 2131 et seq.) pertaining to the care, handling, and treatment of warm-blooded animals held for research, teaching, or other activities supported by this award of assistance.
20. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

V. CERTIFICATION OF DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988 and 44 CFR Part 17, Sub-part F. The regulations, published in the May 25, 1990 Federal Register, require certification by grantees, prior to award, that they will maintain a drug-free workplace. The certification that follows is a material representation of fact upon which reliance will be placed when the Agency determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment (44 CFR Part 17, subpart C, 17.300, and subpart D, 17.400).

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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition.
- (b) Establishing an ongoing drug-free awareness program to inform employees about:
 1. The dangers of drug abuse in the workplace.
 2. The grantee's policy of maintaining a drug-free workplace.
 3. Any available drug counseling, rehabilitation, and employee assistance programs.
 4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the notification statement required by paragraph (a).
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

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(1) Abide by the terms of the statement.

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction.

(e) Notifying the agency in writing within ten calendar days after receiving notice under sub-paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant.

(f) Taking one of the following actions within 30 calendar days of receiving notice under sub-paragraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination of employment, consistent with the requirements of the Rehabilitation Act of 1973, as amended, - or -

(2) Requiring the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by Federal, State, or local health, law enforcement, or other appropriate agency.

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), & (f).

The Grant terms and conditions of this certification apply to any and all sites and locations at which the grantee works or otherwise conducts business.

VI. SINGLE AUDIT CERTIFICATION AND ASSURANCE

The Office of Management and Budget Circular A-133, the "Single Audit Act, as amended," and the "Single Audit Act Amendments of 1996, as amended," require that Non-Federal entities that expend \$500,000 or more in a year in Federal awards shall have a single audit conducted. A program specific audit may be conducted in place of a single audit if the auditee meets the terms specified in Office of Management and Budget Circular A-133 Subpart B § __.200, paragraph C.

The Single Audit Act provides that the audit shall be made by an independent auditor and in addition to the financial audit, requires that the independent auditor determine and report on whether the organization has internal control systems to provide reasonable assurance that it is managing Federal assistance programs in compliance with applicable laws and regulations. In order to provide this assurance the auditor must make a study and evaluation of internal control systems used in administering Federal assistance programs. The study and evaluation must be made whether or not the auditor intends to place reliance on such systems.

If there is a "finding" relating to a Federal program administered by Iowa Homeland Security and Emergency Management Department (HSEMD), the grantee certifies that it will submit a copy of the official audit within nine (9) months of the end of the auditee's fiscal year to:

Iowa Homeland Security and Emergency Management Department
7105 NW 70th Avenue, Camp Dodge - Bldg W-4
Johnston, IA 50131

If there are no "findings", a copy of the audit report is not required, but the grantee certifies that it will provide written notification that:

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- ◆ an audit was conducted, *including* - entity (auditee) name, Catalog of Federal Domestic Assistance (CFDA) number(s), the period covered by the audit dollar amount expended
- ◆ the schedule of findings and questioned costs disclosed no audit findings relating to Federal award(s) administered by Iowa HSEMD
- ◆ the summary of schedule of prior audit findings did not report on the status of any audit findings related to Federal award(s) administered by Iowa HSEMD

VII. The signature upon the Commitment to Award and Accept Funds form shall be treated as certification of the above Assurances and Certifications and material representation of fact upon which reliance will be placed when HSEMD determines to award the covered transaction, grant, or cooperative agreement.

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Grant Terms and Conditions

Appendix 2: Non-Exclusive List of Federal Regulations Applicable to FEMA Grants

Following is a non-exclusive list of federal regulations commonly applicable to FEMA grants:

1. **Lobbying Prohibitions** – None of the funds provided under an award may be expended by the recipient to pay any person to influence, or attempt to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with any Federal action concerning the award or renewal of any Federal contract, grant, loan, cooperative agreement. These lobbying prohibitions can be found in 31 U.S.C. § 1352.
2. **Acknowledgement of Federal Funding from Department of Homeland Security** – All recipients of financial assistance will comply with requirements to acknowledge Federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds.
3. **Copyright** – All recipients of financial assistance will comply with requirements that publications or other exercise of copyright for any work first produced under Federal financial assistance awards hereto related unless the work includes any information that is otherwise controlled by the Government (e.g., classified information or other information subject to national security or export control laws or regulations). For any scientific, technical, or other copyright work based on or containing data first produced under this award, including those works published in academic, technical or professional journals, symposia proceedings, or similar works, the recipient grants the Government a royalty-free, nonexclusive and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so, for Government purposes in all such copyrighted works. The recipient shall affix the applicable copyright notices of 17 U.S.C. § 401 or 402 and an acknowledgement of Government sponsorship (including award number) to any work first produced under an award.
4. **Use of DHS Seal, Logo and Flags** – All recipients of financial assistance must obtain DHS's approval prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.
5. **Activities Conducted Abroad** – All recipients of financial assistance will comply with the requirements that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.
6. **Fly America Act of 1974** – All recipients of financial assistance will comply with the requirements of the Preference for U.S. Flag Air Carriers: Travel supported by U.S. Government funds requirement, which states preference for the use of U.S. flag air carriers (air carriers holding certificates under 49 U.S.C. § 41102) for international air transportation of people and property to the extent that such service is available, in accordance with the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. § 40118) and the interpretative guidelines issued by the Comptroller General of the United States in the March 31, 1981, amendment to Comptroller General Decision B138942.
7. **Drug-Free Workplace Regulations** – All recipients of financial assistance will comply with the requirements of the Drug-Free Workplace Act of 1988 (41 U.S.C. § 701 et seq.), which requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. The

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recipient must notify the awarding office if an employee of the recipient is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for debarment. These regulations are codified at 2 CFR 3001.

8. **Trafficking Victims Protection Act of 2000** – All recipients of financial assistance will comply with the requirements of the government-wide award term which implements Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. § 7104), located at 2 CFR Part 175. This is implemented in accordance with OMB Interim Final Guidance, Federal Register, Volume 72, No. 218, November 13, 2007. In accordance with the statutory requirement, in each agency award under which funding is provided to a private entity, Section 106(g) of the TVPA, as amended, requires the agency to include a condition that authorizes the agency to terminate the award, without penalty, if the recipient or a sub recipient - (a) Engages in severe forms of trafficking in persons during the period of time that the award is in effect; (b) Procures a commercial sex act during the period of time that the award is in effect; or (c) Uses forced labor in the performance of the award or sub awards under the award. Full text of the award term is provided at 2 CFR § 175.15.
9. **Civil Rights Act of 1964** – All recipients of financial assistance will comply with the requirements of Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d et seq.), which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.
10. **Civil Right Act of 1968** – All recipients of financial assistance will comply with Title VIII of the Civil Rights Act of 1968, which prohibits recipients from discriminating in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex (42 U.S.C. § 3601 et seq.), as implemented by the Department of Housing and Urban Development at 24 CFR Part 100. The prohibition on disability discrimination includes the requirement that new multifamily housing with four or more dwelling units-i.e., the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators)-be designed and constructed with certain accessible features (see 24 CFR § 100.201).
11. **Americans with Disabilities Act of 1990** – All recipients of financial assistance will comply with the requirements of Titles I, II, and III of the Americans with Disabilities Act, which prohibits recipients from discriminating on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12101-12213).
12. **Age Discrimination Act of 1975** – All recipients of financial assistance will comply with the requirements of the Age Discrimination Act of 1975 (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age in any program or activity receiving Federal financial assistance.
13. **Title IX of the Education Amendments of 1972** – All recipients of financial assistance will comply with the requirements of Title IX of the Education Amendments of 1972 (20 U.S.C. § 1681 et seq.), which provides that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving Federal financial assistance. These regulations are codified at 44 CFR Part 19.
14. **Rehabilitation Act of 1973** – All recipients of financial assistance will comply with the requirements of Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. § 794, as amended, which provides that no otherwise qualified handicapped individual in the United States will, solely by reason of the handicap, be

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excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. These requirements pertain to the provision of benefits or services as well as to employment.

15. **Limited English Proficiency** – All recipients of financial assistance will comply with the requirements of Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin and resulting agency guidance, national origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI, recipients must take reasonable steps to ensure that LEP persons have meaningful access to your programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Recipients are encouraged to consider the need for language services for LEP persons served or encountered both in developing budgets and in conducting programs and activities. For assistance and information regarding LEP obligations, go to <http://www.lep.gov>.
16. **Animal Welfare Act of 1966** – All recipients of financial assistance will comply with the requirements of the Animal Welfare Act, as amended (7 U.S.C. § 2131 et seq.), which requires that minimum standards of care and treatment be provided for vertebrate animals bred for commercial sale, used in research, transported commercially, or exhibited to the public. Recipients must establish appropriate policies and procedures for the humane care and use of animals based on the Guide for the Care and Use of Laboratory Animals and comply with the Public Health Service Policy and Government Principles Regarding the Care and Use of Animals.
17. **Clean Air Act of 1970 and Clean Water Act of 1977** – All recipients of financial assistance will comply with the requirements of 42 U.S.C. § 7401 et seq. and Executive Order 11738, which provides for the protection and enhancement of the quality of the nation's air resources to promote public health and welfare and for restoring and maintaining the chemical, physical, and biological integrity of the nation's waters is considered research for other purposes.
18. **Protection of Human Subjects** – All recipients of financial assistance will comply with the requirements of the Federal regulations at 45 CFR Part 46, which requires that recipients comply with applicable provisions/law for the protection of human subjects for purposes of research. Recipients must also comply with the requirements in DHS Management Directive 026-04, Protection of Human Subjects, prior to implementing any work with human subjects. For purposes of 45 CFR Part 46, research means a systematic investigation, including research, development, testing, and evaluation, designed to develop or contribute to general knowledge. Activities that meet this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program that is considered research for other purposes. The regulations specify additional protections for research involving human fetuses, pregnant women, and neonates (Subpart B); prisoners (Subpart C); and children (Subpart D). The use of autopsy materials is governed by applicable State and local law and is not directly regulated by 45 CFR Part 46.
19. **National Environmental Policy Act (NEPA) of 1969** – All recipients of financial assistance will comply with the requirements of the National Environmental Policy Act (NEPA), as amended, 42 U.S.C. § 4331 et seq., which establishes national policy goals and procedures to protect and enhance the environment, including protection against natural disasters. To comply with NEPA for its grant-supported activities, DHS requires the environmental aspects of construction grants (and certain non-construction projects as specified by the Component and awarding office) to be reviewed and evaluated before final action on the application.
20. **National Flood Insurance Act of 1968** – All recipients of financial assistance will comply with the requirements of Section 1306(c) of the National Flood Insurance Act, as amended, which provides for benefit payments under the Standard Flood Insurance Policy for demolition or relocation of a structure

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insured under the Act that is located along the shore of a lake or other body of water and that is certified by an appropriate State or local land use authority to be subject to imminent collapse or subsidence as a result of erosion or undermining caused by waves or currents of water exceeding anticipated cyclical levels. These regulations are codified at 44 CFR Part 63.

21. **Flood Disaster Protection Act of 1973** – All recipients of financial assistance will comply with the requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which provides that no Federal financial assistance to acquire, modernize, or construct property may be provided in identified flood-prone communities in the United States, unless the community participates in the National Flood Insurance Program and flood insurance is purchased within one year of the identification. The flood insurance purchase requirement applies to both public and private applicants for DHS support. Lists of flood prone areas that are eligible for flood insurance are published in the Federal Register by FEMA.
22. **Coastal Wetlands Planning, Protection, and Restoration Act of 1990** – All recipients of financial assistance will comply with the requirements of Executive Order 11990, which provides that federally funded construction and improvements minimize the destruction, loss, or degradation of wetlands. The Executive Order provides that, in furtherance of Section 101(b)(3) of NEPA (42 U.S.C. § 4331(b)(3)), Federal agencies, to the extent permitted by law, must avoid undertaking or assisting with new construction located in wetlands unless the head of the agency finds that there is no practicable alternative to such construction, and that the proposed action includes all practicable measures to minimize harm to wetlands that may result from such use. In making this finding, the head of the agency may take into account economic, environmental, and other pertinent factors. The public disclosure requirement described above also pertains to early public review of any plans or proposals for new construction in wetlands. This is codified at 44 CFR Part 9.
23. **USA Patriot Act of 2001** – All recipients of financial assistance will comply with the requirements of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA PATRIOT Act), which amends 18 U.S.C. §§ 175-175c. Among other things, it prescribes criminal penalties for possession of any biological agent, toxin, or delivery system of a type or in a quantity that is not reasonably justified by a prophylactic, protective, bona fide research, or other peaceful purpose. The act also establishes restrictions on access to specified materials. "Restricted persons," as defined by the act, may not possess, ship, transport, or receive any biological agent or toxin that is listed as a select agent.
24. **The Federal Funding Accountability and Transparency Act of 2006** – The Federal Funding Accountability and Transparency Act (FFATA) ensures that the public can access information on all entities and organizations receiving Federal funds. Central to the law was the development of www.USASpending.gov, a publically available website with searchable information on each Federal grant. Prime recipients are responsible for reporting contract information over \$25,000 and the compensation of an organization's top five executive officers when more than 80% of annual gross revenues are from the Federal government, and those revenues are greater than \$25,000,000 annually is required.