

The Department of Homeland Security (DHS)
Notice of Funding Opportunity (NOFO)
Emergency Management Baseline Assessment Grant

NOTE: If you are going to apply for this funding opportunity and have not obtained a Data Universal Numbering System (DUNS) number and/or are not currently registered in the System for Award Management (SAM), please take immediate action to obtain a DUNS Number, if applicable, and then to register immediately in SAM. It may take 4 weeks or more after you submit your SAM registration before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information. Information on obtaining a DUNS number and registering in SAM is available at [Grants.gov](https://www.grants.gov). Detailed information regarding DUNS and SAM is also provided in Section D of this NOFO, subsection, Content and Form of Application Submission.

A. Program Description

Issued By

U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA)/National Preparedness Directorate/National Preparedness Assessment Division

Catalog of Federal Domestic Assistance (CFDA) Number

97.131

CFDA Title

Emergency Management Baseline Assessment Grant (EMBAG)

Notice of Funding Opportunity Title

FY 18 Emergency Management Baseline Assessment Grant (EMBAG)

NOFO Number

DHS-18-NPD-131-00-01

Authorizing Authority for Program

Section 503(b)(2)(G) of the Homeland Security Act of 2002, as amended (6 U.S.C. § 313(b)(2)(G)); and sections 503(b)(2)(B), 504(a)(10), and 504(a)(11) of the Homeland Security Act of 2002, as amended (6 U.S.C. §§ 313(b)(2)(B), 314(a)(10), and 314(a)(11))

Appropriation Authority for Program

Department of Homeland Security Appropriations Act, 2018 (Pub. L. No. 115-141), Title III Protection, Preparedness, Response, and Recovery, Federal Emergency Management Agency, Operations and Support

Award Type

New

Program Overview, Objectives, and Priorities

The Fiscal Year (FY) 2018 EMBAG Program will support the revision of a set of American National Standards Institute (ANSI)-certified standards for emergency

preparedness and response; the development and maintenance of a related assessment methodology for the evaluation of state, local and territorial, and tribal emergency management organizations; and the implementation of an emergency management assessment program based on the ANSI-certified standards and the assessment methodology. This program will oversee a peer review process that results in accreditation of emergency management organizations, regardless of size.

The assessment and accreditation of emergency management organizations against consensus-based and ANSI-certified national standards enables standardized benchmarking of critical functions necessary for an emergency management organization to build, sustain, and deliver the 32 core capabilities identified in the National Preparedness Goal (the Goal). By advancing the Goal through ANSI-certified national standards, the EMBAG Program supports the Quadrennial Homeland Security Review Mission to Strengthen National Preparedness and Resilience. The EMBAG Program also supports the FEMA 2018-2022 Strategic Plan Strategic Goal 1: Build a Culture of Preparedness.

Accreditation of emergency management functions such as planning, operations coordination, and communications based on a national standard ensures that there are benchmarks in place for comparative evaluations. The assessment and accreditation process empowers a jurisdiction to understand its emergency management organization's capacity and shortfalls and develop a path for improvement. Jurisdictions can then use the results of the assessment and accreditation process to build, sustain, and improve preparedness activities, as well as inform proposed investment justifications under other FEMA preparedness grant programs. Tracking improvements to preparedness informs and guides development of State Preparedness Reports. These capability assessments provide the states and territories with an accounting of current capability levels and gaps, which jurisdictions can use to prioritize future resource investments. The National Preparedness Assessment Division (NPAD) mission is to advance all-hazards preparedness by assessing and communicating the investments, activities, and accomplishments as they relate to national preparedness. This mission is driven and supported by Presidential Policy Directive 8 (PPD-8) and the Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA).

Performance Measures

- Outcome: Jurisdictions' emergency management programs meet a standardized benchmark of critical functions necessary to prepare to manage disasters.
 - Measure 1: Number of jurisdictions that reported one or more aspects of their emergency management program "noticeably improved as a part of the accreditation process."¹
 - Measure 2: Percent of states and territories that are Emergency Management Accreditation Program (EMAP) accredited.

¹ EMAP Accredited Programs Survey administered bi-annually

B. Federal Award Information

Award Amounts, Important Dates, and Extensions

Available Funding for the NOFO:	\$569,379
Projected number of Awards:	1
Period of Performance:	12 months
Projected Period of Performance Start Date:	9/01/2018
Projected Period of Performance End Date:	8/31/2019

Funding Instrument

Grant

C. Eligibility Information

Eligible Applicants

The Emergency Management Accreditation Program (EMAP) is the only eligible applicant for the EMBAG program.

Eligibility Criteria

The recipient of the EMBAG grant must be able to:

- Maintain consensus-built, ANSI-certified standards through continual engagement with emergency management professionals to ensure the standards meet a consensus description of requirements necessary for a successful emergency management organization regardless of size;
- Assess emergency management organization adherence to the standards with a team of emergency management officials from state, local, territorial, and tribal organizations; and
- Provide information in the form of best practices, model plans, and documentation examples to emergency management organizations to support the improvement of their emergency management capabilities.

To meet the objectives of this program, the recipient must have strong partnerships and relationships with Federal, state, local, territorial, and tribal emergency management organizations of varying size. The recipient must have experience in all phases of the process to develop, maintain, and ensure certification of ANSI standards. The recipient must have experience in the development, conduct, and management of a peer-validated assessment process for emergency management organizations. Finally, the recipient must maintain a data repository of assessments, best practices, and model plans to share with the emergency management community.

Other Eligibility Criteria

The EMAP program is uniquely qualified as the recipient of the EMBAG grant. The EMAP program is a voluntary assessment accreditation process for state, territorial, tribal, and local emergency management programs. This assessment and accreditation process has been in place since 1997, and is the most widely adopted model for assessment and accreditation based on the core capabilities described in the National Preparedness Goal. EMAP is affiliated with the National Emergency Management Association (NEMA), which enables quick, direct, and effective communication and

coordination with the emergency management community. As a result, EMAP is able to build and maintain consensus-based standards and select appropriate subject matter expert professionals to perform peer assessments. Thus, EMAP is the only organization eligible to apply for the EMBAG award.

Maintenance of Effort (MOE)

There is no Maintenance of Effort requirement for this program.

Cost Share or Match

There is no Cost Share or Cost Match requirement for this program.

D. Application and Submission Information

Key Dates and Times

Application Start Date:	8/1/2018
Application Submission Deadline:	8/20/2018 at 11:59:59 PM [EST]
Anticipated Funding Selection Date:	9/01/2018
Anticipated Award Date:	9/01/2018

Applicants must submit their application by the established deadline. The Non-Disaster (ND) Grants System will date stamp a submitted application and applicants will receive an electronic message confirming receipt of the full application. In general, FEMA will not review or consider for funding applications submitted after the established deadline. 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, or other exigent or emergency circumstances. Applicants that experience technical issues, must notify the FEMA Headquarters Program Analyst Sharon Kushnir at sharon.kushnir@fema.dhs.gov as soon as possible.

Other Key Dates

The chart below presents suggested deadlines for completing the steps required for a successful application submission prior to the deadline. These dates are only recommendations as applicants are responsible for planning far enough in advance to complete their application. Failure of an applicant to comply with any of the required steps before the deadline for submitting their application may disqualify their application from funding.

<i>Event</i>	<i>Suggested Deadline For Completion</i>
Obtain DUNS Number	8/1/2018, Four weeks before actual submission deadline
Obtain a valid EIN	8/1/2018, Four weeks before actual submission deadline
Update SAM registration	8/1/2018, Four weeks before actual submission deadline

<i>Event</i>	<i>Suggested Deadline For Completion</i>
Submit initial application in Grants.gov	8/13/2018, One week before actual submission deadline
Submit final application in ND Grants	8/13/2018, One week before actual submission deadline

Address to Request Application Package

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Applicants” then “Apply for Grants.” In order to obtain the application package select “Download a Grant Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this NOFO, select “Download Package,” and then follow the prompts to download the application package.

Hard copies of the NOFO are not available.

In addition, the following Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this Notice is: (800) 462-7585.

Applicants must submit their initial application through the Grants.gov portal and submit their complete application through the ND Grants System.

Content and Form of Application Submission

Applying for an award under this program is a multi-step process and requires time to complete. Applicants should start the required application submission steps well in advance of their submission. **Please review the table under for estimated deadlines to complete each of the six steps listed below.** Failure of an applicant to comply with any of the required steps before the deadline for submitting their application may disqualify their application from funding.

The steps involved in applying for an award under this program are:

1. Applying for, updating or verifying their DUNS Number;
2. Applying for, updating or verifying their EIN Number;
3. Updating or verifying their SAM Number;
4. Establishing an Authorized Organizational Representative (AOR) in Grants.gov;
5. Submitting an initial application in Grants.gov; and
6. Submitting the complete application in ND Grants.

For additional information regarding the DUNS Number, EIN Number, SAM Number, and AOR requirements, please see the sections below entitled [Unique Entity Identifier and System for Award Management \(SAM\)](#) and [How to Submit an Initial Application to DHS via \[Grants.gov\]\(http://Grants.gov\)](#).

Before applying for a DHS grant at grants.gov, applicants must have a DUNS number, SAM registration, and be approved as an AOR.

Applicants are encouraged to register early. The registration process can take four weeks or more to complete. Therefore, applicants should complete the registration

process in sufficient time to ensure it does not impact the applicant's ability to meet required submission deadlines.

Unique Entity Identifier and System for Award Management (SAM)

All applicants for this award must:

1. Be registered in SAM before submitting its application;
2. Provide a valid DUNS number in its application; and
3. 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 NPD/NPAD.

DHS may not make a federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time DHS is ready to make a federal award, DHS 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.

The Standard Language for Using Grants.gov Apply is provided to aid in fulfilling these requirements:

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 requires applicants to submit their initial applications online through [Grants.gov](https://www.grants.gov) and to submit final applications through [ND Grants](https://www.nd.gov/grants).

How to Register to Apply through Grants.gov

1. *Instructions:* Read the instructions below about registering to apply for DHS 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. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required application submission deadlines.

Organizations must have a Data Universal Numbering System (DUNS) Number, active System for Award Management (SAM) registration, and Grants.gov account to apply for grants.

If individual applicants are eligible to apply for this grant funding opportunity, refer to the [Application Registration page](#).

Organization applicants can find complete instructions [online](#).

2. *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a Data Universal Numbering System (DUNS) number from Dun & Bradstreet (D&B). Applicants must enter the DUNS number in the data entry field labeled "Organizational DUNS" on the SF-424 form.

Detailed instructions for obtaining a DUNS number are available [online](#).

3. *Register with SAM:* In addition to having a DUNS number, all organizations applying online through Grants.gov must register with the System for Award Management (SAM). Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually.

Detailed instructions for registering with SAM are available [online](#).

4. *Create a Grants.gov Account:* The next step in the registration process is to create an account with Grants.gov. Applicants must know their organization's DUNS number to complete this process.

For more information, follow the [on-screen instructions](#).

5. *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, enter the DUNS Number for the organization in the DUNS field while adding a profile.

Detailed instructions about creating a profile on Grants.gov are available [online](#).

6. *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 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.

Detailed instructions about creating a profile on Grants.gov are available [online](#).

7. *Track Role Status:* You can track your role request [online](#).
8. *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.**

How to Submit an Initial Application to DHS/FEMA via Grants.gov

Grants.gov applicants can apply online using Workspace. 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 (NOFO), you can create individual instances of a workspace. **Applicants are encouraged to submit their initial application in [Grants.gov](#) at least seven days before the August 20, 2018 application deadline.**

Below is an overview of applying on Grants.gov. Access to complete instructions on how to apply for opportunities using Workspace are available [online](#).

1. *Create a Workspace:* Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
2. *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.
3. *Adobe Reader:* If you decide not to apply by filling out web forms 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.

4. *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.
5. *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 DUNS 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.
6. *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 seven days prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
7. *Track a Workspace:* After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXX) 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.

Additional training resources, including video tutorials, are available [online](#).

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. 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 the DHS with tracking your issue and understanding background information on the issue.

Submitting an Initial Application in Grants.gov

The initial application cannot be started or submitted in Grants.gov unless the applicant’s registration in SAM is confirmed.

The initial application in grants.gov requires completing Standard Form 424 (SF424), Application for Federal Assistance. Application forms and instructions are available at [Grants.gov](https://www.grants.gov).

Applications submitted through Grants.gov constitute an electronically signed application.

Submitting the Final Application in Non Disaster Grants System (ND Grants)

After submitting the initial application in [Grants.gov](https://www.grants.gov), eligible applicants will be notified by DHS/FEMA and asked to proceed with submitting their complete application package in [ND Grants](https://www.ndgrants.gov). Applicants can register early with ND Grants and are encouraged to begin their ND Grants registration at the time of this announcement. Early registration will allow applicants to have adequate time to start and complete their application.

In ND Grants applicants will be prompted to submit all of the information contained in the following forms:

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities), as well as
- Assure compliance with all Standard and Special Terms and Conditions, before being eligible to receive an award under this program.

Applicants will also be required to submit copies of the following in ND Grants:

- Program and Budget Narrative
- Program Work Plan
- Project Objectives
- Detailed budget.

If you need assistance registering for the ND Grants system, please contact ndgrants@fema.gov or (800) 865-4076.

Timely Receipt Requirements and Proof of Timely Submission

Online Submissions. All applications must be received in [ND Grants](https://www.ndgrants.gov) by **5:00 PM Eastern Time on August 20, 2018**. Proof of timely submission is automatically recorded by [ND Grants](https://www.ndgrants.gov). An electronic date/time stamp is generated within the system when the application is successfully received by [ND Grants](https://www.ndgrants.gov). The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from [Grants.gov](https://www.grants.gov) with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and [Grants.gov](https://www.grants.gov) Tracking number in an email serving as proof of their timely submission.

Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before [Grants.gov](https://www.grants.gov) and [ND Grants](https://www.ndgrants.gov) receives your application. Again, [Grants.gov](https://www.grants.gov) will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role. The [Grants.gov](https://www.grants.gov) Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient

and give the system time to process the application. Applicants needing assistance with the ND Grants system should contact ndgrants@fema.gov or (800) 865-4076.

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](#).

Funding Restrictions

Federal funds made available through this award may only be must be used for the purpose set forth in this award, and must be consistent with the statutory authority for the award. The use of Award funds for matching funds for any other Federal grants/cooperative agreements, for lobbying, or intervention in Federal regulatory or adjudicatory proceedings are not allowable. In addition, grant award recipients cannot sue the Federal government or any other government entity using Federal funds awarded through a Federal grant or cooperative agreement.

Management and Administration (M&A) Costs.

Management and Administration costs are activities directly related to managing and administering the award. FEMA has determined that recipients may use up to 15% of the amount of the award for their M&A.

Indirect Facilities & Administrative (F&A) Costs

Indirect costs are allowable under this program as described in 2 C.F.R. § 200.414. With the exception of recipients who have never received a negotiated indirect cost rate as described in 2 C.F.R. § 200.414(f), recipients must have an approved indirect cost rate agreement with their cognizant Federal agency to charge indirect costs to this award. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant Federal agency) is required at the time of application, and must be provided to FEMA before indirect costs are charged to the award.

Pre-Award Costs

Pre-award costs are NOT allowable.

Direct Costs

Planning

Planning-related costs are allowed under this program to address the assessment and accreditation process areas, meet the objectives, and carry out the actions described in section D of this NOFO.

Organization

Organization-related costs are NOT allowed under this program.

Equipment

Equipment costs are NOT allowed under this program.

Training

Training-related costs are allowed under this program to address the training needed for the assessors to complete the EMAP peer-reviewed assessment and accreditation process and carry out the action described in Section D of this NOFO.

Exercises

Exercise-related costs are allowed under this program to address the objectives of this NOFO and carry out the action described in Section D of this NOFO.

Personnel

Personnel costs are allowable under this program. Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable EMBAG planning, training, and exercise activities. Under the EMBAG Program, overtime costs are allowable only in so far as they meet the intent of the program.

Travel

Domestic travel costs are allowed under this program.

International travel is NOT allowed under this program.

Construction and Renovation

Construction and renovation costs are NOT allowed under this program.

Cost Principles

Costs charged to this award must be consistent with the Cost Principles for Federal Awards located at 2 C.F.R. Part 200, Subpart E.

EMBAG-Specific Application Instructions for Submitted Proposal

The Emergency Management Accreditation Program (EMAP) must propose and provide support for the inclusion of the Threat, Hazard, and Risk Identification and Assessment (THIRA) as part of the American National Standards Institute (ANSI) national standards and ensure these standards are aligned with the following FEMA guidance:

- **National Preparedness System (NPS)**

The NPS is the instrument the Nation employs to build, sustain, and deliver core capabilities in order to achieve the [National Preparedness Goal](http://www.fema.gov/national-preparedness-goal) (the Goal) of “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.” The Goal defines resilience as the ability to adapt to changing conditions and withstand and rapidly recover from disruption due to emergencies. Information on the National Preparedness System can be found at <http://www.fema.gov/national-preparedness-system>. Information on the Goal can be found at <http://www.fema.gov/national-preparedness-goal>.

- **National Continuity Policy**

Presidential Policy Directive (PPD) 40, National Continuity Policy, and the 2018 Continuity Guidance Circular provide comprehensive national policy on continuity programs, capabilities, and operations. PPD-40 and the Circular provides guidance and tools to assist state, territorial, local, and tribal governments; non-governmental organizations; and private sector critical infrastructure owners and operators in

maintaining essential functions during disasters and emergencies. Information on the 2018 Continuity Guidance Circular can be found at <https://www.fema.gov/media-library/assets/documents/132130>.

- **National Incident Management System (NIMS) and the National Qualification System (NQS)**

NIMS provides a nationwide approach to enable stakeholders to work together to manage all threats and hazards, regardless of the incident's cause or size. FEMA has developed the National Qualification System (NQS), which provides a foundational guideline on the typing of personnel resources within the NIMS framework, plus supporting tools.

Information on NIMS and NQS can be found at <https://www.fema.gov/national-incident-management-system> and <https://www.fema.gov/national-qualification-system>.

- **National Disaster Recovery Framework (NDRF)**

The NDRF establishes a common platform and forum for how the whole community builds, sustains, and coordinates delivery of recovery capabilities through the effective coordination of partners and resources to ensure the continuity of services and support to meet the needs of affected community members. Information on the NDRF can be found at <https://www.fema.gov/national-disaster-recovery-framework>. Information for state, territorial, local, and tribal governments on creating an organizational framework for comprehensive recovery efforts can be found in the Pre-Disaster Recovery Planning Guide for States, which is located at <https://www.fema.gov/media-library/assets/documents/128572>.

Information on aspects of disaster cost recovery can be found in the April 2018 FEMA Public Assistance Program and Policy Guide (PAPPG), which is located at <https://www.fema.gov/media-library/assets/documents/111781>.

The assessment and accreditation process supported by EMAP must include a review of the following areas (16) within an emergency management organization:

1. Emergency Management Program Administration, including Authorities, Oversight, and Strategic Planning;
2. THIRA Development;
3. Continuity of Government and Continuity of Operations;
4. Incident Management, to include NIMS and NQS Implementation;
5. Emergency Management Finance, including Disaster Cost Recovery;
6. Operations and Procedures;
7. Consequence Analysis;
8. Emergency Planning, including Mutual Aid, Communications, and Warning;
9. Evacuation and Shelter in Place;
10. Mass Care and Sheltering;
11. Resource Management and Logistics;
12. Recovery;
13. Disaster Housing;
14. Hazard Mitigation;
15. Training and Exercises, including Alignment with the Homeland Security Exercise and Evaluation Program (HSEEP); and
16. Public Affairs.

Overall Objectives—EMAP will be responsible for the following Objective requirements (15) and will outline how they intend to meet them in their Work Plan:

1. Maintain ANSI-certified national standards that are consistent with:
 - a. NPS; and
 - b. PPD-40, National Continuity Policy.
2. Recommend that the EMAP Commission include the Threat and Hazard Identification and Risk Assessment (THIRA) as part of the ANSI standards.
3. Secure agreements and complete approximately 10 state/territory/local/tribal assessments against ANSI-approved national standards.
4. Incorporate a review of THIRA as part of their assessments, verifying content and completeness of the THIRA as required by the National Preparedness Directorate (NPD)/National Preparedness Assessment Division (NPAD).
5. Incorporate the 2017 NIMS refresh, the Homeland Security Exercise and Evaluation Program (HSEEP), the 2018 Continuity Guidance Circular (CGC); Federal Continuity Directives (FCDs), the NDRF, and other DHS/FEMA guidance and policy, as appropriate, in its assessments.
6. Conduct three separate reviews and gap analyses in tandem with each jurisdiction assessment conducted as part of this program and provide results to FEMA/NPAD. All tasks are outlined in Actions I-III of this NOFO, and review alignment of jurisdiction:
 - a. Continuity Plans to National Continuity Policy (2016 EMAP Standards: 4.4.2, 4.4.5, 4.4.6, and 4.7.1);
 - b. Resource management systems to NIMS/NQS (2016 EMAP Standards: 4.6.1 and 4.6.5); and
 - c. EOPs and Recovery Plans or their equivalents to NDRF guidance (2016 EMAP Standards: 3.4.1, 4.4.3, and 4.4.4).
7. Support FEMA in conducting a pilot of the Continuity Assessment Tool (CAT) in developing a baseline and methodology for the FEMA 2018-2022 Strategic Plan Objective 2.4, Improve Continuity and Resilient Communications Capabilities and provide results to FEMA/NPAD.
8. Present the EMAP process and the emergency management standards and accreditation guidelines at National Emergency Management Association and International Association of Emergency Managers annual conferences and provide a copy of the briefing to FEMA/NPAD 10 days before the conferences to review.
9. Maintain a web-based portal for jurisdiction self-assessments.
10. Execute a peer-review process for emergency management organization accreditation.
11. Conduct a follow-up survey with jurisdictions that have completed baseline assessments requesting feedback on the process. A copy of the survey and the results of the survey should be provided annually to FEMA/NPAD.
12. Provide webinars for training on standards and training on emergency management organization standards and the accreditation process.
13. Provide training for assessors.

14. Develop additional emergency preparedness and response standards and peer-assessment and accreditation processes as needed.
15. Provide FEMA/NPAD a report with trend analyses of common problem areas identified in the self-assessments and peer-review assessments.

EMAP is responsible for the following actions (I-IV):

- **For Actions I-III: EMAP must provide FEMA/NPAD a final gap analysis report for each action that covers all assessments accompanied by the checklists in Actions I-III by August 31, 2019.**
 - Please include the name, publication date, and section of the jurisdiction plan (Actions I, III) or resource management system (Action II) to which the item and any of its subparts align.
 - In addition to the following checklists, please also describe the process for each action, item, and its subparts in a short narrative.
 - EMAP is encouraged to consider a jurisdiction's THIRA to inform its review.
- **For Action IV: EMAP must also provide FEMA/NPD a final summary report for each pilot conducted as part of Action IV no more than one month after it has occurred.**
 - For Action IV, FEMA and EMAP will focus on the informational elements of the CAT.

I. Action I - Continuity Plans:

EMAP should review jurisdiction Continuity Plans during each jurisdiction assessment for alignment to the [2018 Continuity Guidance Circular](#) for all items in this action (1-5) to ensure that a jurisdiction can perform its essential functions and provide critical services.

The following items (1-5) align to areas covered by the [2016 EMAP Standard](#) Chapter 4: Emergency Management Program Elements, sections 4.4.2, 4.4.5, 4.4.6, and 4.7.1 and apply to jurisdiction Continuity of Operations and Continuity of Government plans.

Continuity of Operations – 4.4.2, 4.4.5, 4.4.6, and 4.7.1

For each of the following items (1-3) and its subparts, EMAP should indicate which of the following element(s) are included in the jurisdiction Continuity of Operations Plan(s) governing the continued performance of jurisdictional essential functions, in addition to the sections of the [2016 EMAP Standard](#) referenced in Action I:

1. Mitigation options to support the continued performance of jurisdictional agency essential functions.
 - a. If yes, indicate if these options include any of the following:
 - i. Identifying alternate sites;
 - ii. Teleworking;
 - iii. Developing devolution plans; and/or
 - iv. Entering into mutual aid agreements.

2. Procedures to activate the continuity plan(s) to continue the performance of jurisdictional agency essential functions.
3. Processes to account for all staff in the event of the activation of the jurisdictional agency continuity of operations plan(s).

Continuity of Government – 4.4.2, 4.4.6, and 4.7.1

For each of the following items (4-5) and its subparts, EMAP should indicate which of the following element(s) are included in the jurisdiction Continuity of Operations Plan(s) governing the continued performance of jurisdictional essential functions include(s), in addition to the sections of the [2016 EMAP Standard](#) referenced in Action I:

4. Description of how the jurisdiction is coordinating the continuity of operations and continuity of government planning effort with other jurisdictional agencies in the *same* branch of government.
5. Description of how the jurisdiction is coordinating the continuity of government planning effort with *other* jurisdictional branches of government, including executive, judicial, and legislative.

II. Action II - Resource Management Systems:

EMAP should review jurisdiction resource management systems during each jurisdiction assessment for alignment to the [NIMS Guideline to the National Qualification System \(NQS\)](#) for all items in this action (1-3), specifically as applicable to an incident workforce.

Note: Members of an incident workforce are individuals and teams that work in any NIMS incident capacity.

The following items (1-3) align to areas covered by the [2016 EMAP Standard Chapter 4: Emergency Management Program Elements](#), sections 4.6.1 and 4.6.5.

For each of the following items (1-3), EMAP should indicate which of the following process(es) are included in jurisdiction resource management system(s), in addition to the sections of the [2016 EMAP Standard](#) referenced in Action II:

1. Qualification, certification, and credentialing processes for an all-hazards incident workforce.
2. Qualification review board, or equivalent review processes, for all-hazards incident workforce qualifications.
3. Individual and team coach and evaluation processes for an all-hazards incident workforce.

III. Action III - Emergency Operations Plans and Recovery Plans:

EMAP should review jurisdiction Emergency Operations Plans (EOPs) and Recovery Plans during each jurisdiction assessment for alignment to the [PAPPG, V3.1 \(April 2018\)](#) for disaster cost recovery items (1-4), and the June 2016 [NDRE, Second Edition \(June 2016\)](#) and the [Pre-Disaster Recovery Planning Guide for States \(November 2016\)](#) for all items in this action (1-9).

The following items (1-9) align to areas covered by the [2016 EMAP Standard](#) Chapter 3: Emergency Management Program and Chapter 4: Emergency Management Program Elements, sections 3.4.1, 4.4.3, and 4.4.4.

Administration and Finance – 3.4.1 and 4.4.3(1)

For each of the following items (1-4) and its subparts, EMAP should indicate which of the following elements that jurisdiction EOP(s) and Recovery Plan(s) refer(s) to in addition to the sections of the [2016 EMAP Standard](#) referenced in Action III:

1. Reference a disaster cost recovery policy or its equivalent for response and recovery operations.
2. Reference funding sources to finance recovery.
(See “Well-Administered Financial Acquisition” on page 63 of the [Pre-Disaster Recovery Planning Guide for States \(November 2016\)](#)).
3. Reference how to de-obligate funding not used in response and recovery.
(See “Retention of 406 Mitigation Funds” on page 114 of the [PAPPG, V3.1 \(April 2018\)](#)).
4. Reference any of the following processes in its finance and administration/resource management strategy:
(See “Procurement and Contracting Requirements” on pages 30-33, “Duplication of Benefits” on pages 39-41, “Duplication of Funding Between FEMA Programs” on page 41, “Ineligible Costs” on pages 41-42, and “Project Documentation” on page 140 of the [PAPPG, V3.1 \(April 2018\)](#)).
 - a. Documentation and tracking of reimbursable disaster costs allowable under federal requirements, like labor, equipment, and materials;
 - b. Preventing the duplication of benefits; and/or
 - c. Implementing pre-disaster contracts and procurement strategies.

Recovery – 4.4.4

For each of the following items (5-9) and its subparts, EMAP should indicate if jurisdiction EOPs and Recovery Plans do each of the following items in addition to the sections of the [2016 EMAP Standard](#) referenced in Action III:

5. Describe a process for delegating executive authority for recovery leadership roles.
(See “Local Disaster Recovery Managers” on pages 16 and 17 of the [NDRF, Second Edition \(June 2016\)](#); and “State Disaster Recovery Coordinator” on pages 29 and 30 of the [Pre-Disaster Recovery Planning Guide for States \(November 2016\)](#)).
 - a. If yes, indicate if the process pertains to either or both pre- and post- disaster.

- b. If yes, indicate if the plan also describes how to ensure individuals filling these roles are competent in any of in the following areas and list which of them are applicable:
 - i. Emergency management;
 - ii. Project management;
 - iii. Public/private funding; and/or
 - iv. Community planning.
6. Describe stakeholder roles and responsibilities.
(See “Roles and responsibilities” on pages 9-23 of the [NDRF, Second Edition \(June 2016\)](#); and “Organizational Structure for Recovery” on pages 31-50 of the [Pre-Disaster Recovery Planning Guide for States \(November 2016\)](#)).
Note: Stakeholders include public, nonprofit, and private organizations. Roles and responsibilities pertain specifically to leadership.
 - a. If yes, indicate if these roles and responsibilities are defined for either or both pre- and/or post- disaster and list which of them are applicable.
 - b. If yes, indicate if the plan describes how public, nonprofit, and private organizations are selected to lead any of the following functions and list which of them are applicable:
 - i. Engagement;
 - ii. Assessment;
 - iii. Planning;
 - iv. Prioritization; and/or
 - v. Progress tracking.
 - c. If yes, indicate if the plan describes how to do the above across any of (but not limited to) the following sectors and list which of them are applicable:
(See “Sector- or Function-Specific Plan Elements” on pages 51 and 52 of the [Pre-Disaster Recovery Planning Guide for States \(November 2016\)](#)).
 - i. Housing;
 - ii. Environmental;
 - iii. Business;
 - iv. Employment;
 - v. Infrastructure;
 - vi. Access to essential health (including behavioral health); and/or
 - vii. Social services.
7. Describe a public communication and engagement strategy(ies) that delivers information to the whole community.
(See “Public Information and Warning” on pages 27 and 28 of the [NDRF, Second Edition \(June 2016\)](#); “Table 2” on page 19 of the [Pre-Disaster Recovery Planning Guide for States \(November 2016\)](#); and “Proactive Community Engagement, Public Participation and Public

Awareness” on page 62 of the [Pre-Disaster Recovery Planning Guide for States \(November 2016\)](#)).

- a. If yes for engagement strategy(ies), describe where, when, and how community members and stakeholders provide input and feedback on recovery priorities.
 - b. If yes for communication strategy(ies), indicate if the plan describes how to effectively relay information regarding the following and list which of them are applicable:
 - i. All threats and/or hazards;
 - ii. Actions being taken; and/or
 - iii. Assistance being made available.
 - c. If yes, indicate if any of the following characteristics describe(s) the strategy(ies) and list which of them are applicable:
 - i. Clear;
 - ii. Consistent;
 - iii. Accessible; and/or
 - iv. Culturally and/or linguistically appropriate.
 - d. If yes, indicate if the strategy(ies) include(s) provisions to ensure the information is any of the following and list which of them are applicable:
 - i. Coordinated;
 - ii. Prompt;
 - iii. Reliable; and/or
 - iv. Actionable.
8. Describe a planning process to build resilience as defined by [the Goal](#). (See “Resilience and Sustainability” on page 8, “Relationship to Other Mission Areas” on pages 43 and 44, and “Additional Considerations – Mitigation” on page 47 of the [NDRF, Second Edition \(June 2016\)](#); and “National Mitigation Framework” on page 8, and “Recovery Planning is Closely Aligned with Hazard Mitigation and Building Resilience” on page 10 of the [Pre-Disaster Recovery Planning Guide for States \(November 2016\)](#)).
- a. If yes, indicate if the process pertains to either or both pre-and/or post- disaster.
 - b. If yes, indicate if the plan addresses any of the following and list which of them are applicable:
 - i. Continually evaluating any of the following and list which of them are applicable:
 - 1) Threats;
 - 2) Hazards; and/or
 - 3) Impacts.
 - ii. Implementing policies and/or requirements to reduce risk.
 - 1) If yes, indicate if each addresses issues linked to Mitigation standards that include (but are not

limited to) any of the following and list which of them are applicable:

- A. Floodplain management;
- B. Coastal zones;
- C. Seismic areas; and/or
- D. Historic and cultural properties.

9. Describe training and exercises that enable stakeholders identified in Item 6 to do any of the following and list which of them are applicable:

(See “STEP 6 – PLAN IMPLEMENTATION AND MAINTENANCE” on pages 53-55 of the [*Pre-Disaster Recovery Planning Guide for States \(November 2016\)*](#)).

- a. Educate partners and other stakeholders about the pre-disaster recovery plan; and/or
- b. Ensure any of the following are maintained:
 - i. Recovery management competencies; and
 - ii. Leadership capacity development.

IV. Action IV - Continuity Assessment Tool Pilot:

EMAP will also support FEMA in a pilot to test and assess the Continuity Assessment Tool (CAT) in developing a baseline and methodology for the [FEMA 2018-2022 Strategic Plan](#) Objective 2.4, *Improve Continuity and Resilient Communications Capabilities*, which includes the associated performance measure, “Increase the percentage of states and territories with comprehensive continuity plans and programs for state agencies and emergency operations centers that align with the Continuity Guidance Circular (CGC)” to ensure the continuation of their essential functions under all conditions.

FEMA and EMAP will coordinate to determine the initial states with whom FEMA and EMAP proposes to pilot the assessment. Coordination with identified states will occur through the FEMA Regions. Upon agreement, the state and EMAP will coordinate to identify mutually agreeable dates for the assessment.

This pilot will include:

1. Using the CAT as the baseline criteria for assessing whether a jurisdictional continuity plan and program aligns with the CGC.
2. Piloting the continuity assessment, either in coordination with or separate from a scheduled EMAP baseline assessment, with three states or territories in FY 2019.
3. Providing a summary report of findings to FEMA within one month following each assessment. The summary report will include:
 - a. CAT summary scores by CGC chapter; planning, organization, equipment, training, and exercise (POETE) solution area; and POETE solution area by CGC chapter;

- b. Comprehensive continuity capability score, which represents the extent to which the jurisdiction's continuity plan and program aligns to the CGC; and
 - c. Overall areas of strength and areas for improvement to help guide future FEMA national continuity technical assistance, outreach, and development of resources.
4. Providing recommendations for the improvement of the CAT both prior to the start of the pilot assessments and at the conclusion of the pilot assessments.
5. Participating in in-person or virtual FEMA-led CGC and CAT training for assessment team members.
6. Allowing two FEMA staff members to observe one of the pilot assessments to help inform knowledge of usefulness and effectiveness of the CAT and assessment pilot.

E. Application Review Information

Application Evaluation Criteria

Prior to making a federal award, the NPD/NPAD is required by 31 U.S.C. § 3321 note, 41 U.S.C. § 2313, and 2 C.F.R. § 200.205 to review information available through any OMB-designated repositories of government wide eligibility qualification or financial integrity information. Therefore, application evaluation criteria may include the following risk based considerations of the applicant:

1. Financial stability.
2. Quality of management systems and ability to meet management standards.
3. History of performance in managing federal award.
4. Reports and findings from audits.
5. Ability to effectively implement statutory, regulatory, or other requirements.

Applicants must meet the Eligibility Criteria in Section C of this NOFO and comply with the Application Submission information presented in Section D.

Review and Selection Process

The National Preparedness Assessment Division (NPAD) will review and recommend applications for funding. NPAD will review and evaluate applicants based on the following factors:

- The applicant demonstrates the expertise necessary to fulfill the requirements of the EMBAG Program.
- Proposed activities and tasks employ sound concepts and techniques; present realistic timetables; and are deliverable, sustainable, and compatible with the goals of the EMBAG Program.
- Proposed costs are complete, reasonable and cost-effective in relation to proposed activities and tasks.

If the anticipated Federal award amount will be greater than the simplified acquisition threshold, currently \$250,000 (see 2 C.F.R. § 200.88), the following requirements apply:

- i. Prior to making a federal award with a total amount of federal share greater than the simplified acquisition threshold, DHS/FEMA is required to review and

consider any information about the applicant that is in the designated integrity and performance system accessible through SAM, currently Federal Awardee Performance Integrity Information System (FAPIIS).

- ii. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.
- iii. DHS/FEMA will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, 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. § 200.205 federal awarding agency review of risk posed by applicants.

F. Federal Award Administration Information

Notice of Award

Notification of award approval is made through the ND Grants System through an automatic email to the awardee point of contact (the "authorized official") listed in the initial application. The date the approval of award is the "award date." The awardee should follow the directions in the notification to accept the award.

Recipients must accept their awards no later than 90 days from the award date. The recipient shall notify the awarding agency of its intent to accept and proceed with work under the award through the ND Grants system. For instructions on how to accept or decline an award in the ND Grants system, please see pages 40-43 in the [ND Grants Grantee Training Manual](#). Funds will remain on hold until the recipient accepts the award through the ND Grants system and all other conditions of award have been satisfied, or FEMA will rescind the offer of an award. Failure to accept the grant award within the 90-day timeframe may result in a loss of funds.

Administrative and National Policy Requirements

All successful applicants for DHS/FEMA grant and cooperative agreements are required to comply with [DHS Standard Terms and Conditions](#).

The applicable DHS Standard Terms and Conditions will be those in effect at the time the award was made.

Before accepting the award, the AOR should carefully read the award package for 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 special terms and conditions in the Notice of Award to receive an award under this program.

Reporting

Recipients are required to submit various financial and programmatic reports as a condition of their award acceptance. FEMA may withhold future awards and fund drawdowns if these reports are delinquent.

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 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. At any time after accepting the award, if the recipient learns that 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.

Federal Financial Reporting Requirements.

The Federal Financial Reporting Form (FFR) (SF-425 OMB #4040-0014) is available [online](#). Recipients must report obligations and expenditures on a quarterly basis through the FFR (SF-425) to DHS/FEMA. Recipients must file the FFR electronically using the Payment and Reporting System (PARS). Award recipients must submit an FFR quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. FEMA may withhold future awards and fund drawdowns if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

Recipients may review the Federal Financial Reporting Form (FFR) (SF-425) here: [SF-425 OMB #4040-0014](#).

Financial Reporting Periods and Due Dates

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

Financial and Compliance 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. The audit must be performed in accordance with the requirements of Government and Accountability Office's (GAO) Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, 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>.

Program Performance Reporting Requirements.

Recipients are responsible for providing updated performance reports in Microsoft Word on a quarterly basis. The report is due within 30 days after the end of the reporting period. Recipients must submit it as an attachment to the ND Grants system. Performance Progress Report must include information on those jurisdictions which completed an assessment and the jurisdictions which are planning an assessment for the next reporting period.

Performance Reporting Periods and Due Dates

The following reporting periods and due dates apply for the:

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

Additional Program Requirements

- Within 10 days of the award, the recipient and FEMA/NPAD will meet to establish the structure, requirements, milestones, and level of support for establishing and maintaining the deliverables required to meet the program objectives.
- The recipient must provide a written monthly report to DHS/FEMA. The report must include a summary of activities/deliverables completed since the last report, a list of costs incurred, and a schedule of upcoming emergency management assessments. Cost breakouts must be organized into assessment, training, and program management categories, and must cover the full list of recipient responsibilities described in this NOFO.
 - Monthly reports must also include a separate break-out of costs for the new tasks under gap analyses for Section D, Action III and CAT pilot described in Section D, Action IV.
- By the end of the grant year, the recipient must provide to FEMA/NPAD a report on gap analyses for Actions I-III in EMBAG-specific instructions.
- For Action IV, the recipient must submit to FEMA/NPAD a summary report of findings no later than two months after the assessment in EMBAG-specific instructions.
- The recipient must hold monthly conference calls with the FEMA/NPAD program manager to discuss progress in implementing the requirements listed in this NOFO. During each conference call, the recipient must provide a detailed assessment schedule for the next six months and a list of those jurisdictions that are interested in pursuing an EMAP assessment in the next 12 to 18 months.
 - At the conclusion of each assessment, the recipient must provide Baseline Assessment Reports, which identify the state or territory assessed and report on the results of each jurisdiction assessed. The recipient must provide these reports to FEMA/NPAD and the assessed jurisdiction no later than three months after the assessment process is complete.
 - The recipient must provide an Annual Baseline Assessment Summary Report by December 31 to FEMA/NPAD that lists the assessments accomplished, the trends identified in the assessments, and any changes made to improve the efficiency and effectiveness of the assessment process. This report must reflect results of baseline assessments conducted during the period, identify trends, and summarize the state of the nation's preparedness as determined through the application of nationally recognized emergency management standards.

Close Out Reporting Requirements.

Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, recipients must submit a final FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance, as well as the following documentation:

- 1) The final request for payment, if applicable;
- 2) SF-425 –Final FFR;
- 3) Final Performance Progress Report;
- 4) A qualitative narrative summary of the impact of those accomplishments throughout the entire period of performance submitted to the respective FEMA HQ Program Analyst, and
- 5) Other documents required by program guidance or terms and conditions of the award.

After these reports have been reviewed and approved by NPD/NPAD, a close-out 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 three years from the date of the final FFR.

The recipient is responsible for returning any funds that have been drawn down but remain as unliquidated on recipient financial records.

G. DHS Awarding Agency Contact Information

Contact and Resource Information

For Program Questions:

Sharon Kushnir
NPD/NPAD
Tel: 202-786-9451
Cell: 202-368-4469
Email: Sharon.kushnir@fema.dhs.gov

For Financial and Administrative Questions:

GPD's Grant Operations Division Business Office provides financial support and technical assistance, such as for password resets and registration requests, questions regarding Form 1199A, payment status, amendments, closeouts, and tracking de-obligation and award amounts. The FEMA Call Center, (866) 927-5646 or via email at ASK-GMD@dhs.gov, can provide additional guidance and information.

H. Additional Information

Extensions

Extensions to this program are allowed in that applicants can apply for an extension to the period of performance.

A recipient may request an extension to the initial period of performance identified in the award through a formal written request to the National Preparedness Directorate

(NPD)/NPAD. The request must contain specific and compelling justifications as to why an extension is required. The recipient should coordinate with NPD/NPAD as needed when preparing an extension. All extension requests must address the following:

1. Grant program, fiscal year, and award number;
2. Reason for delay; this must include details of the legal, policy, or operational challenges being experienced that prevent the final outlay of awarded funds by the applicable deadline;
3. Current status of the activity/activities;
4. Approved period of performance termination date and new project completion date;
5. Amount of funds drawn down to date;
6. Remaining available funds, both Federal and non-Federal;
7. Budget outlining how remaining Federal and non-Federal funds will be expended;
8. Plan for completion including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
9. Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work approved by FEMA.

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 grant recipient with vendors or subrecipients prevent completion of the project within the existing period of performance;
- The project must undergo a complex environmental review that cannot be completed within this timeframe;
- Projects are long-term by design, and therefore acceleration would compromise core programmatic goals; and
- Where other special circumstances exist.

Other

Procurement Integrity

Through audits conducted by 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 when spending grant funds. Anything less than full compliance with Federal procurement policies jeopardizes the integrity of the grant as well as the grant program.

The below highlights the Federal procurement requirements for FEMA recipients when procuring goods and services with Federal grant funds. DHS 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 – 200.326.** Select requirements under these standards are listed below. The recipient 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 must follow the same policies and procedures they use for procurements from their non-Federal funds; additionally, states must follow 2 C.F.R. § 200.322 regarding procurement of recovered materials, and 2 C.F.R. § 200.326 regarding required contract provisions.

All other non-Federal entities, such as tribes, must use their own documented procurement procedures that reflect applicable state, local, territorial, and tribal 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.

Competition and Conflicts of Interest

Among the requirements of 2 C.F.R. § 200.319(a) 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 this an organizational conflict of interest and interprets this restriction as applying to contractors that help a recipient 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 such 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 – 200.326, Federal funds cannot be used to pay a contractor to carry out the work if that contractor also worked on the development of such 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 in order 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.

Pursuant to 2 C.F.R. § 200.319(b), non-Federal entities other than states must conduct procurements in a manner that prohibits the use of statutorily or administratively imposed state, local, territorial or tribal 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.

Pursuant to 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 which 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.

If the recipient or subrecipient (other than states) has a parent, affiliate, or subsidiary organization that is not a state, local government, territory, or Indian tribe, 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.

Documentation

Non-Federal entities are required to maintain and retain the following:

- Backup documentation, such as bids and quotes.
- Cost/price analyses on file for review by Federal personnel, if applicable.
- Other documents required by Federal regulations applicable at the time a grant is awarded to a recipient.

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 purchasing documentation along with copies of cancelled checks for verification.

Non-Federal entities who fail to fully document all purchases will find their expenditures questioned and subsequently disallowed.

Payment

FEMA utilizes the Payment and Reporting System for financial reporting, invoicing and tracking payments. For additional information refer to:

<https://isource.fema.gov/sf269/execute/LogIn?sawContentMessage=true>.

DHS/FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to Recipients. To enroll in the DD/EFT, the Recipient must complete a Standard Form 1199A, Direct Deposit Form.

Monitoring

FEMA staff will monitor grant award recipients annually or as needed in order to review programmatic and financial activities to ensure that the activities and project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

FEMA staff will monitor the grant will either a desk-based review or on-site monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each Federal assistance award and will identify areas where technical assistance, corrective actions and other support may be needed.

Conflict of Interest

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 – 200.326. 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 also are required to follow any applicable state, local, or Tribal statutes or regulations governing conflicts of interest in the making of subawards.

The recipient or subrecipient must disclose to FEMA, in writing, any real or potential conflict of interest as defined by the Federal, state, local, or tribal statutes or regulations or their own existing policies that may arise during the administration of the Federal award. Recipients and pass-through entities must disclose any real or potential conflicts to their Program Analyst within five days of learning of the conflict of interest. Similarly, subrecipients must disclose any real or potential conflict of interest to the pass-through entity as required by the Recipient's conflict of interest policies, or any applicable state, local, or Tribal 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, subapplicant, recipient, subrecipient, or FEMA employee.