

OVERVIEW INFORMATION

Issued By:

U.S. Department of Homeland Security (DHS): *Federal Emergency Management Agency (FEMA), Federal Insurance and Mitigation Administration (FIMA), Risk Reduction Division, Building Science Branch – National Earthquake Hazards Reduction Program*

Catalogue of Federal Domestic Assistance (CFDA) Number:

CFDA 97.082

CFDA Title:

Earthquake Consortium and State Assistance

Funding Opportunity Announcement Title:

NEHRP Earthquake State Assistance

Authorizing Authority for Program:

National Earthquake Hazards Reduction Program, 42 U.S.C. 7704; *The Homeland Security Act of 2002, as amended, 6 U.S.C. 101 et seq.*

Appropriation Authority for Program:

The Consolidated Appropriations Act of 2012, Department of Homeland Security Appropriations Act, P.L. 112-74, Division D, Title III, Federal Emergency Management Agency, Salaries and Expenses.

FOA Number:

Region 2: DHS-12-MT-082-002-99
Region 4: DHS-12-MT-082-004-99
Region 5: DHS-12-MT-082-005-99
Region 6: DHS-12-MT-082-006-99
Region 7: DHS-12-MT-082-007-99
Region 8: DHS-12-MT-082-008-99
Region 9: DHS-12-MT-082-009-99
Region 10: DHS-12-MT-082-010-99

Key Dates and Time:

Application Start Date: 08/24/2012
Application Submission Date: 09/07/2012 at 11:59:59 PM EDT
Funding Selection Date: 09/30/2012
Award Date: 09/30/2012

Other Key Dates:

N/A

Application Submission Extension:

Is an extension to the application submission deadline permitted? ☒ Yes ☐ No

Only allowed if eligible applicant provides compelling justification in writing.

Intergovernmental Review:

Is an intergovernmental review required? ☐ Yes ☒ No

FOA EXECUTIVE SUMMARY

Program Type:

Select the applicable program type:

☐ New ☒ Continuing ☐ One-time

Date of origin for Program: FY2009

Opportunity Category:

Select the applicable opportunity category:

☒ Discretionary/Competitive ☐ Mandatory/Non-competitive ☐ Both

Application Process:

DHS makes all funding opportunities available through the common electronic “storefront” grants.gov, accessible on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the grants.gov customer support hotline at (800) 518-4726.

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

Eligible Applicants:

This funding opportunity is restricted to the following States and territories only: New York, Puerto Rico, Alabama, North Carolina, Mississippi, Kentucky, South Carolina, Tennessee, Indiana, Illinois, Arkansas, Missouri, Wyoming, Montana, Colorado, Utah, Arizona, Nevada, Idaho, Alaska, Washington, and Oregon.

NOTE: All awards shall be managed and executed by the State or territory’s respective Earthquake Program Manager.

For additional information, see the *Eligibility Criteria* section of this FOA.

Type of Funding Instrument:

Select the applicable funding instrument

☐ Grant ☒ Cooperative Agreement ☐ Loan

Cost Share or Match:

☒ Cost Match ☐ Cost Share ☐ None Required

NOTE: Beginning in FY12, States and territories are required under [44 Code of Federal Regulations Part 361.4](#) to provide the appropriate cost match for their Earthquake State Assistance cooperative agreements with FEMA. The State's match has to be documented in writing as part of their application (i.e. work plan/budget) submission for review.

Maintenance of Effort:

Is there a Maintenance of Effort (MOE) requirement? ☐ Yes ☒ No

Management and Administration:

Indirect costs are allowable only if the applicant has an approved indirect cost rate with the cognizant Federal agency. 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. Indirect costs will be evaluated as part of the application for Federal funds to determine if allowable and reasonable.

Specifically, grantees should apply the training indirect cost rate (when it is available) or the "offsite" indirect cost rate (when a training rate is not available). The full organized research negotiated rate should not be applied to these training awards. Written exceptions will be made in rare cases upon request and with adequate justification. FEMA will work closely with the grantee to determine the appropriateness of indirect costs for the type of activity and location proposed in the application, in accordance with the negotiated indirect cost rates approved by the grantee's cognizant federal agency.

FULL ANNOUNCEMENT

I. Funding Opportunity Description

Background & Authorities:

As authorized by the *Earthquake Hazards Reduction Act of 1977* (P.L. 95-124) and as required by the *National Earthquake Hazards Reduction Program Reauthorization Act of 2004* (P.L. 108-360), it is the mission of the Federal Emergency Management Agency (FEMA) *National Earthquake Hazards Reduction Program (NEHRP)* "to reduce the risks to life and property from future earthquakes in the United States through the establishment and maintenance of an effective earthquake risk reduction program." In support of this mission, P.L. 108-360 directed FEMA to operate a program of direct assistance to States to accomplish various eligible earthquake safety and mitigation activities. This resulted in the creation of the **NEHRP Earthquake State Assistance Program** to increase and enhance the effective implementation of earthquake risk reduction at the local level.

Purpose & Eligible Activities:

FEMA proposes to make 22 cooperative agreement awards for an estimated total of \$1,114,533 to select States and territories with high seismic risks to fund two or more eligible activities that support local establishment of earthquake hazards reduction program and implementation of earthquake safety, mitigation, and resilience activities.

These eligible activities are:

- 1. Develop seismic mitigation plans:** States and territories may use this funding opportunity to develop, update, or enhance their respective seismic mitigation, preparedness, and response plan. This may include funding milestones such as risk analysis¹ (i.e. vulnerability analysis, modeling, loss estimation, etc.), needs assessment, workshops to develop the plan, local plan adoption and training and other actionable and measurable tasks in direct support of this eligible activity.

Any seismic mitigation plan funded under this program shall be in alignment or in support of the State's overall approved Hazard Mitigation Plan to ensure a well-coordinated community risk reduction effort.

- 2. Prepare inventories and conduct seismic safety inspections of critical structures and lifelines:** States and territories may use this funding opportunity to plan, execute, and manage property inventory and seismic safety inspections of critical structures and lifelines. This may include funding milestones such as planning, training, field data collections and inspections, data analysis and management, report formulation, staffing, and other actionable and measurable tasks in direct support of this eligible activity.

¹ Seismic hazard mapping is not an eligible activity under this program. Contact USGS for hazard mapping issues.

FEMA NEHRP recommends the use of *FEMA 154 Rapid Visual Screening of Buildings for Potential Seismic Hazards* as a method for initiating local building inventory projects and *ATC 20 Post Earthquake Safety Evaluations of Buildings* for seismic safety inspections. If a certain State or territory determines this eligible activity to be a priority under this cooperative agreement, FEMA may be able to provide technical assistance² or FEMA 154 or FEMA 154 AND ATC 20 training at no cost to the community except for minimal logistical support³.

3. **Update building codes, zoning codes, and ordinances to enhance seismic safety:** States and territories may use this funding opportunity to plan, develop, update, adopt, and communicate local building codes, zoning codes, and other community development ordinances to enhance seismic safety. This may include funding milestones such as training, staffing, code development, and other actionable and measurable tasks in direct support of this eligible activity.

Based on the lessons learned from historical U.S. disasters and the 2010 Chilean and 2011 Japanese Earthquakes, building codes play a critical role in improving community resilience. Building codes benefit public safety by ensuring that buildings and non-structural elements are built or retrofitted to a design that would withstand or minimize damages and prevent losses and injuries should an earthquake occur.

NOTE: FEMA highly recommends this eligible activity. For more information, visit the International Code Council at www.iccsafe.org.

4. **Increase earthquake awareness and education:** States and territories may use this funding opportunity to plan, develop, and implement local earthquake awareness and education efforts. This may include funding the development of outreach or marketing plans, educational or informational materials or online tools, staffing, workshops, and other actionable and measurable tasks in direct support of this eligible activity.

FEMA NEHRP recommends that the States and territories consider the earthquake guidance and materials already available on FEMA.gov and NEHRP.gov websites prior to or when developing local earthquake awareness and educational materials. FEMA NEHRP also strongly recommends integration of risk reduction messaging into most or all of the proposed projects under this eligible activity.

² Technical assistance may include providing support for ROVER demo, which is an application that would help local and State governments digitize the collection of pre and post seismic vulnerability data of critical buildings. For more information on ROVER, see <http://www.sparisk.com/pubs/ATC67-2008-ROVER-flyer.pdf>.

³ See National Earthquake Technical Assistance Program (NETAP) for more information: http://www.fema.gov/plan/prevent/earthquake/training_netap.shtm

NOTE: Additional FEMA grant resources are available to support and complement other earthquake related activities such as public drills⁴. For more information, visit <http://www.fema.gov/government/grant/index.shtm>.

5. **Encourage the development of multi-State groups for such purposes:** States and territories may use this funding opportunity to establish and maintain local groups, advisory, boards, and/or committees that can demonstrate measurable support to local earthquake safety and any of the other eligible activities mentioned above. This may include funding staffing, documentation, meeting logistics, travel, and other actionable and measurable tasks in direct support of this eligible activity.

Cooperative Agreement & Substantial Involvement

In addition to FEMA's overall normal grant responsibilities, FEMA will collaborate with the eligible applicants throughout the life of this cooperative agreement to ensure substantial involvement and mutual partnership in executing the unique program eligible activities detailed above. This includes:

1. Substantial, direct, agency operational involvement or participation during the development of the work plan to ensure compliance with agency requirements and procedures.
2. Collaborate and provide expertise in planning and conducting events (e.g., recruitment and selection of participants; provision of access to or coordination with other programs; provision of meeting space; provision of outside experts and/or speakers; conduct of joint training in specialized areas of programmatic interests).
3. Collaborate and provide expertise in developing materials and delivering joint messages.
4. Approve changes in key personnel and new sub-award arrangements to ensure compliance with program priorities and agency requirements and procedures.
5. Serve as the primary coordinator in support of multi-State or national initiatives that require collaboration with State officials and other federal agencies and partners.

Program Definitions:

Cooperative Agreement: similar to grants, is an award of financial assistance in the form of money, or property in lieu of money, by the federal government to an eligible grantee to support direct services and benefits to the public. However, cooperative agreements

⁴ If State determines that they need additional support to conduct earthquake-specific public drills such as ShakeOut, this is an eligible activity under the FEMA Homeland Security Grant Program. For more information, please work with your respective State Homeland Security and/or Emergency Management Agency, Citizen Corps Council, and/or visit <http://www.fema.gov/government/grant/hsgp/index.shtm> for more information.

require “substantial involvement” from the awarding agency (in this case FEMA) to ensure mutual cooperation and partnership throughout the life of the agreed work plan between the awarding agency (FEMA) and the recipients (States and territories). Substantial involvement is not to be used as a device to provide undue administrative oversight and control.

Earthquake Mitigation (Risk Reduction): means any actions taken to reduce the risks to people and property from earthquake and related hazards.

Resilience: is broadly defined as the ability to adapt to changing conditions. The Federal Insurance and Mitigation Administration (FIMA) works with many partners at the Federal, State, and local level to facilitate efforts towards achieving resilience from natural hazards. The FIMA works to reduce risk to life and property damage through a variety of grant programs. Mitigation provides a critical foundation on which to reduce loss of life and property by avoiding or lessening the impact of hazardous events. This creates safer communities and facilitates resiliency by enabling communities to return to normal function as quickly as possible after a hazardous event. Mitigation seeks to break out of the cycle of disaster damage, reconstruction, and repeated damage. Mitigating vulnerabilities reduces both the direct consequences and the response and recovery requirements of disasters. For instance, The NEHRP Earthquake State Assistance provides resources that enable States and territories to support and sustain themselves against future earthquake events.

Program: means the complete set of approved earthquake hazards reduction activities (described in the State’s work plan or program narrative) undertaken by a State, in partnership with FEMA, in a given Federal fiscal year.

Program performance period: is the duration of time over which an earthquake hazards reduction program is implemented.

State and territories: means each of the States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any other territory or possession of the United States. They are also referred to as “applicants” or “recipients” in this document.

State Assistance: is Federal financial assistance provided by FEMA through the National Earthquake Hazards Reduction Program (NEHRP) to eligible States and territories to develop programs specifically related to earthquake hazards reduction.

Target Allocation: is the maximum amount of FEMA earthquake program funds presumably available to an eligible recipient in a fiscal year. The target allocation is not necessarily the amount of funding that a recipient will actually receive from FEMA. Target Allocation represents the planning basis of negotiations between the recipient and its FEMA Regional Office, which will ultimately determine the actual amount of Earthquake State Assistance provided by FEMA.

National Preparedness Goal:

Mitigation Mission Area Capability and Preliminary Targets

Planning - Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or community-based approaches to meet defined objectives.

Develop approved hazard mitigation plans that address all relevant threats/hazards in accordance with the results of their risk assessment within all states and territories.

Public Information and Warning - Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard and, as appropriate, the actions being taken and the assistance being made available.

Communicate appropriate information, in an accessible manner, on the risks faced within a community after the conduct of a risk assessment.

Operational Coordination - Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities.

Establish protocols to integrate mitigation data elements in support of operations within all states and territories and in coordination with Federal agencies.

Community Resilience - Lead the integrated effort to recognize, understand, communicate, plan, and address risks so that the community can develop a set of actions to accomplish Mitigation and improve resilience.

Maximize the coverage of the U.S. population that has a localized, risk-informed mitigation plan developed through partnerships across the entire community.

Long-term Vulnerability Reduction - Build and sustain resilient systems, communities, and critical infrastructure and key resources lifelines so as to reduce their vulnerability to natural, technological, and human-caused incidents by lessening the likelihood, severity, and duration of the adverse consequences related to these incidents.

Achieve a measurable decrease in the long-term vulnerability of the Nation against current baselines amid a growing population base and expanding infrastructure base.

Risk and Disaster Resilience Assessment - Assess risk and disaster resilience so that decision makers, responders, and community members can take informed action to

reduce their entity's risk and increase their resilience.

Ensure that states, territories, and the top 100 Metropolitan Statistical Areas (MSAs) complete a risk assessment that defines localized vulnerabilities and consequences associated with potential natural, technological, and human-caused threats and hazards to their natural, human, physical, cyber, and socioeconomic interests.

Threats and Hazard Identification - Identify the threats and hazards that occur in the geographic area; determine the frequency and magnitude; and incorporate this into analysis and planning processes so as to clearly understand the needs of a community or entity.

Identify the threats and hazards within and across the states, territories, and the top 100 MSAs, in collaboration with the whole community, against a national standard based on sound science.

For additional details on the NPG, please refer to <http://www.fema.gov/pdf/prepared/npg.pdf>.

II. Funding Information

Award Amounts, Important Dates, and Extensions:

Available Funding for the FOA: *Total of \$1,114,533.93*

By FEMA Region & Eligible Applicant	FY12 Total Assistance
REGION 2	
New York	\$54,905.54
Puerto Rico	\$67,939.89
REGION 4	
Alabama	\$48,352.48
North Carolina	\$46,000.00
Mississippi	\$47,437.83
Kentucky	\$35,000.00
South Carolina	\$53,257.85
Tennessee	\$54,862.78
REGION 5	
Indiana	\$48,619.59
Illinois	\$25,000.00
REGION 6	
Arkansas	\$40,000.00
REGION 7	
Missouri	\$52,837.57

REGION 8	
Wyoming	\$46,467.15
Montana	\$47,564.80
Utah	\$54,378.70
Colorado	\$47,051.06
REGION 9	
Arizona	\$48,185.01
Nevada	\$53,282.83
REGION 10	
Idaho	\$46,752.41
Alaska	\$50,923.89
Oregon	\$65,431.16
Washington	\$80,283.39
OVERALL TOTAL	\$1,114,533.93

Projected Award Start Date(s): 09/30/2012
 Projected Award End Date(s): 04/01/2014
 Period of Performance: Up to 18 months

NOTE: Annual funding is not guaranteed dependent upon continuing resolution status, final congressional appropriations, available funding, agency priorities, and previous performance of the eligible applicant. States and territories should plan accordingly.

Period of Performance:

Is an extension to the period of performance permitted?

☒ Yes ☐ No

The period of performance is no more than 18 months and begins on the Project Period/Budget Period start date listed in the award package. Any unobligated funds will be de-obligated at the end of the close-out period. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required. All extension requests must be submitted to FEMA at least 60 days prior to the end of the period of performance and must address:

- Reason for delay;
- Current status of the activity/activities;
- Approved period of performance termination date and new project completion date;
- Remaining available funds, both Federal and non-Federal;
- Budget outlining how remaining Federal and non-Federal funds will be

- expended;
- Plan for completion including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
- 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.

III. Eligibility Information

In accordance with the National Earthquake Hazards Reduction Act of 1977, as amended (42 U.S.C. 7701, et seq.), there is no legal requirement for this cooperative agreement to be competitively awarded, nor is there any such requirement for competition pursuant to the Grants and Cooperative Agreements Act (31 U.S.C. 6301, et seq.).

The FY12 Earthquake State Assistance Program is non-competitive and restricted to certain eligible States and territories only as listed above and as determined by FEMA within the limited funding available. Eligible States and territories shall assign the management and execution of this program to an officially designated State Earthquake Program Manager⁵.

IV. Funding Restrictions

Restrictions on Use of Award Funds:

DHS grant funds may only be used for the purpose set forth in the Cooperative Agreement guidance posted on Grants.gov, and must be consistent with the statutory authority for the award. Funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement.

Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award.

This cooperative agreement is strictly limited to funding the accomplishment of one or more of the eligible activities described in Part I. Any unreasonable or

⁵ To view current State Earthquake Program Managers list, visit:
http://www.fema.gov/plan/prevent/earthquake/state_contacts.shtml.

unallowable purchase of equipment as defined in 44 CFR 361.7 and 361.8 and OMB Circular A-87 and expenditures related to earth science⁶ and building construction or rehabilitation are not allowed.

See <http://www.fema.gov/government/grant/index.shtm> for other funding opportunities.

Additionally, decisions on funding restrictions may include consideration of the recipient's performance on previous cooperative agreement awards. A limited or conditional award may be granted until recipient can provide or satisfy required documentation to include proof of positive performance progress. See Part VI for more information.

For more details regarding eligible and ineligible expenditures under this cooperative agreement, see 44 CFR Part 361.7-361.8.

V. Application Review and Selection Information

Application Review Criteria

Once a complete application package has been submitted via Grants.gov as described in Appendix A, each FEMA Regional Office will review submissions from their respective States and territories. At a minimum, both the Regional Earthquake Program Manager and Regional Grants Specialist shall consider the following criteria during the review process:

1. *Completeness* of the required application documents
 - a. All forms submitted?
 - b. All required information answered?
2. *Compliance* with the requirements of the cooperative agreement (i.e. FY11 NEHRP Earthquake State Assistance Guidance, 44 CFR Part 13, and State-specific requirements for management of cooperative agreements)
3. *Reasonableness* of the proposed work plan (i.e. Smart, Measurable, Achievable, Realistic, and Timely (SMART))

FEMA Headquarters will provide policy guidance, coordination support, and programmatic oversight throughout the process.

Application Selection Process:

⁶ Consult USGS or other scientific organizations interested in earthquake science. FEMA under the NEHRP program does not fund research or any other scientific activities.

Cooperative agreements require substantial involvement from the awarding agency (FEMA). To ensure continuous dialogue, increased partnership, and mutual cooperation, the FEMA Regional Office shall allow for an opportunity to discuss and negotiate with the State or territory their submitted application. This provides the opportunity for both parties to discuss, negotiate, and agree on the details of the tasks, budget, schedule, and deliverables of the proposed work plan⁷.

Funds will not be made available for obligation, expenditure, or drawdown until the applicant's budget and budget narrative have been approved by FEMA.

The applicant must provide a detailed budget for the funds requested. The detailed budget must be submitted with the grant application as a file attachment within www.grants.gov. The budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs, any appropriate narrative, and a detailed justification of management and administrative (M&A) costs.

If revision of the work plan or required forms is required as a result of the negotiation process, these documents may be re-submitted directly by email to the Regional Earthquake Program Manager and Grants Specialist. This review and negotiation process may continue until a *complete, compliant, and reasonable* application is met and approved by FEMA Regional Earthquake Program Manager and Grants Specialist.

Regardless of the Region-specific concurrence process for completing awards, the final approval of applications will be made by the Regional Award Official. The FEMA Regional Offices will negotiate awards and work plans with each State or territory.

The Regions and the States and territories shall maintain cooperative agreement records. All copies of critical documentation such as application, award, and reports shall also be provided to the FEMA Headquarters Program Manager.

VI. Post-Selection and Pre-Award Guidelines

Notice of Award:

Upon approval of an application, the award will be made in the form of a cooperative agreement. Notification of award approval is going to be received from the Regional Award Official. Follow the directions in the notification to accept

⁷ If part of the work plan is to conduct "training," there may be an opportunity to fund such training under NETAP program so applicants can maximize limited funding for other local seismic mitigation priorities or projects instead. For more information, see NETAP at http://www.fema.gov/plan/prevent/earthquake/training_pubs.shtml.

your award documents. The authorized State Grant Official in strong coordination with the State Earthquake Program Manager should carefully read the award package for instructions on administering the grant and to learn more about the terms and conditions associated with responsibilities under Federal awards.

FEMA will evaluate and act on applications within 15 days following close of the application period. Awards will be made on or before September 30, 2012.

Administrative and Federal Financial Requirements:

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions available on page 1 of Section 6.1.1 at <http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>.

Grantees are obligated to submit various financial and programmatic reports as a condition of their award acceptance. Please see below for a summary of financial and/or programmatic reports as required. Future awards and fund drawdowns may be withheld if these reports are delinquent.

- 1. Federal Financial Report (FFR) – required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through PARS.
- 2. Grant Close-Out Process.** Within 90 days after the end of the period of performance, or after a Grant Adjustment Notice (GAN) has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, 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 grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records.

Programmatic Reporting Requirements:

Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

Monitoring will be accomplished through a combination of desk-based reviews and/or on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, performance and administrative issues relative to each program and will identify areas where technical assistance and other support may be needed.

The recipient is responsible for monitoring award activities, to include sub-awards, to provide reasonable assurance that the Federal award is administered in compliance with requirements. Responsibilities include the accounting of receipts and expenditures, cash management, maintaining of adequate financial records, and refunding expenditures disallowed by audits.

In addition to desk-based reviews and/or onsite monitoring visits, recipients shall submit financial and program performance reports **on a quarterly basis** to FEMA to demonstrate progress in meeting the agreed upon work plan under the cooperative agreement. The Recipient shall submit quarterly performance reports directly to their respective Regional Grants and Earthquake Program POCs within 30 days after the end of each period. Reports are due on July 30, October 30, January 30 and April 30.

Copies of Performance Reports shall be submitted to the Regional Grants Specialist and the Earthquake Program Office contacts listed under Part VII. The final performance and close out report shall provide a narrative on what the Recipient accomplished with the grant funds and any benefits derived.

The recommended Program Performance Report Template is provided in Part VIII of this document.

FEMA is held accountable for funds expended under this cooperative agreement; therefore, recipient is required to cooperate and submit documentation of work so that progress can be tracked.

VII. DHS FEMA Contact Information

Contact and Resource Information:

FEMA Regions:

FEMA Regional Grants will provide fiscal support, including pre- and post-award processing and oversight, and financial administration. For a comprehensive list of Regional contacts, please go to:

<http://www.fema.gov/about/contact/regions.shtm>

FEMA Regional Earthquake Program Managers are responsible for the direct program-specific review and oversight and regular technical coordination with the recipient. For contact information, please go to: <http://www.fema.gov/earthquake->

contacts/fema-earthquake-contacts

FEMA Headquarters:

Designated national program manager is responsible for the development of this guidance, consistent implementation, overall nationwide program oversight and coordination, and regional support.

Claudette Fernandez
NEHRP/Earthquake State Assistance Program Manager (Lead)
Building Science Branch, Risk Reduction Division
DHS/FEMA Federal Insurance and Mitigation Administration
Email: Claudette.fernandez@fema.dhs.gov
Office: 202-646-4344

Wendy Phillips
NEHRP/Earthquake State Assistance (Co-Lead)
Building Science Branch, Risk Reduction Division
DHS/FEMA Federal Insurance and Mitigation Administration
Email: Wendy.phillips@fema.dhs.gov
Office: 202-646-2810

VIII. Application and Submission Information

1. Applicants will obtain FOA Overviews and Full Announcement information from the Grants.gov website where the full FOA is posted.
2. For a hardcopy of the full announcement, please email or call a request to: FEMA Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov.
3. The following Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this Announcement is: (800) 462-7585.
4. Applications will be processed and accepted through the Grants.gov and ND Grants portals.
5. See Appendix A for specific application instructions.
6. See Appendix B for recommended work plan template
7. See Appendix C for required quarterly performance report

APPENDICES

Appendix A - Application Submission Information

Address to Request Application Package:

FEMA makes all funding opportunities available on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the [grants.gov](http://www.grants.gov) customer support hotline at (800) 518-4726.

Application forms and instructions are available at [grants.gov](http://www.grants.gov). To access these materials, go to <http://www.grants.gov>, select "Apply for Grants," and then select "Download Application Package." Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select "Download Application Package," and then follow the prompts to download the application package. To download the instructions, go to "Download Application Package" and select "Instructions."

Content and Form of Application:

1. **Application via www.grants.gov.** All applicants must file their applications using the Administration's common electronic "storefront" - www.grants.gov. Eligible grantees must apply for funding through this portal, accessible on the Internet at www.grants.gov.

The application must be completed and submitted using www.grants.gov after Central Contractor Registration (CCR) is confirmed. The on-line application includes the following required forms and submissions:

- Standard Form 424, Application for Federal Assistance
- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form 424C, Budget Information (Construction)
- Standard Form 424D, Standard Assurances (Construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying
- FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

The program title listed in the CFDA is "*Earthquake Consortia and State Assistance*"
The CFDA number is **97.082**.

If the States and territories require technical assistance during the application process, see Part VII for FEMA points of contact. Because this is a non-competitive application process, FEMA and the States and territories are permitted to coordinate throughout the development and submission of the application.

2. **Dun and Bradstreet Data Universal Numbering System (DUNS) number.** The applicant must provide a DUNS number with their application. This number is a required field within www.grants.gov and for CCR. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at (866) 705-5711.
3. **Central Contractor Registration (CCR).** The application process also involves an updated and current CCR by the applicant, which must be confirmed at <http://www.ccr.gov>.
4. **Work Plan:** Submit proposed work plan including the following required factors:
 - o A **narrative description or summary** of the overall proposal to include relationship of FY11 work plan proposal with the previous year(s) awards (if any)
 - o Specific description of **proposed projects (tasks)** to include their **milestones (sub-tasks)**:
 - How they support or comply with the eligible activities described in Part I
 - How much FY11 cooperative agreement funding is targeted for each task (and subtask as necessary) by quarter (**budget**)
 - Expected **measurable outcomes** and **deliverables** by quarter
 - o Description of **management strategy** to accomplish the proposed projects to include in-kind contributions, staffing capacity, systems, reporting process, and contact information.

NOTE: A recommended Work Plan Template is provided under Part VIII of this document. States and territories are encouraged to use the template to support the effective submission, review, and approval of their application.

Submission Date and Time

Application submissions must be received no later than **11:59 PM Eastern, 09/07/2012**. Only applications made through www.grants.gov will be accepted.

If a State or territory is not able to submit application by the deadline due to significant and/or compelling reasons, FEMA shall be notified in writing immediately so reasonable and appropriate processes for extension may be considered. Note that late submission is not permissible, highly discouraged, and may prevent applicant from participating in the program.



Appendix B – Recommended Work Plan Template

FY12 EARTHQUAKE STATE ASSISTANCE WORK PLAN

[Insert Agency Name]
[State of _____]

Narrative Description

I. Local Earthquake Risk

Insert description of the local earthquake risk.

II. Goals and Target Outcomes

Insert description of the State's goals and target outcomes in addressing earthquake risk.

III. Project Proposals

Insert detailed narrative description of proposed projects to meet goals and target outcomes above. Project proposals must be in alignment with the eligible activities mentioned in Part I and the performance period and funding terms in Part II.

IV. Tasks, Schedule, Budget & Deliverables ⁸:

Based on the narrative above, insert details in table format specific tasks, subtasks, schedule, budget, and deliverables for this proposal. See sample below.

Projects & Tasks	Schedule	Budget	Measurable Deliverable
Project 1: Enhance State Hazard Mitigation Plan by developing Seismic Mitigation Plan Annex.			
<i>Task 1: Create a team of planning and earthquake experts to support the development and adoption of local seismic mitigation plan</i>	Dec 2012	\$35,000	1 Project Team
<i>Sub-Task 1: Hire consultants</i>			
<i>Sub-Task 2: Schedule planning workshops</i>			
<i>Task 2: Write and develop the Seismic Mitigation Plan Annex</i>	Mar 2013	\$10,000	1 Draft Seismic Mitigation Plan Annex
<i>Task 3: Integration of Seismic Mitigation Plan Annex into the State Hazard Mitigation Plan</i>	Jun 2013		1 State Hazard Mitigation Plan with Seismic Mitigation Plan Annex
<i>Task 4: Outreach and Education</i>	Aug 2013	\$10,000	200 Fact Sheets and 1 Workshop
Project 2:			
<i>Task 1</i>			
<i>Task 2</i>			
<i>Task 3</i>			
Project 3:			
<i>Task 1</i>			
<i>Task 2</i>			
<i>Task 3</i>			
Total		\$	

⁸ States can use this table as an attachment every time a Program Performance Report is submitted to FEMA as required in Part VI. This table enables the States and FEMA to view a snapshot of the tasks, budget, schedule, and deliverables.

Project Management Strategy:

Based on the proposed projects above, insert information below regarding the State or designated agency's strategy for accomplishing tasks. This should include statements about the overall work plan's 1) compliance with the requirements of the cooperative agreement, 2) reasonableness of the proposed work plan (i.e. Smart, Measurable, Achievable, Realistic, and Timely (SMART), 3) brief credentials of the project manager and/or team and the processes involved in accomplishing the work plan, 4) financial management controls, 5) potential challenges and how project manager is going to ensure continued performance, and 6) coordination with FEMA and reporting process.

Contact Information;

[Insert name, position, agency, address, email, office phone, and cell phone of the project manager (and his/her back up) responsible for implementing and managing this work plan].

Appendix C – Required Performance Report Template

NEHRP EARTHQUAKE STATE ASSISTANCE QUARTERLY PERFORMANCE PROGRESS REPORT TEMPLATE

Reporting requirements must be met throughout the life of the NEHRP - Earthquake Hazards Reduction State Assistance made available to the States (*refer to the program guidance and the special conditions found in the award package for a full explanation of these requirements*). In addition to the Federal Financial Report (required quarterly) and the Financial and Compliance Audit Report (for recipients that expend \$500K for the fiscal year), the Earthquake Hazards Reduction State Assistance Program require **quarterly progress reports** due by the 30th (or the first working day following, if the 30th falls on a weekend) following the completion of the quarter. See quarterly reporting due dates below:

- **January 30:** 1st Quarter Report (October 1 – December 31)
- **April 30:** 2nd Quarter Report (January 1 – March 31)
- **July 30:** 3rd Quarter Report (April 1 – June 30)
- **October 30:** 4th Quarter Report (July 1 – September 30)

NOTE: *Reports covered for each quarter may vary by State depending on when they received their official award, start of their performance period, and/or schedule of their projects as delineated in their approved work plan.*

The States must submit their quarterly reports to the FEMA Regional Earthquake Manager and Grants Management Specialist to ensure progress on funded and approved activities under the NEHRP - State Assistance Program. These reports must describe the following:

- **Work completed** (i.e. project, activity, deliverables, and/or milestone, etc.) by quarter
- **Funding** available and expended (or not expended and for what reasons) by quarter
- **Schedule** of project, activity, deliverable, and/or milestone and if they are on target
- If delayed or not on target with their project, funding, and schedule, must include **State's strategy for reducing or eliminating further delays** to make sure that they are on target in accomplishing projects/activities as detailed in their approved work plan
- General **summary** of their 1) quarterly progress (previous and current) and 2) overall status of the State's approved work plan

Quarterly reports are critical programmatically and financially to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria as detailed in the State's approved work plan are being met. These also help in monitoring and documenting the successes of the program and maintaining effective dialogue, partnership, and coordination between FEMA and the States on seismic projects under the NEHRP State Assistance Program.

Award #	FEMA #	FIPS #	Months Covered	Report #
Project Name				
Grantee POC Name			Project Completion Date	
Grantee POC Email			Grantee POC Phone	

1. Overview *(Provide brief overview of the goals/activities as detailed in the State's approved work plan for the quarter):*

2. Points of Major Interest:

(a) Task Name Here *(Provide task name here for the project, activity, deliverable, and/or milestone being accomplished for the quarter):*

- (1) **Budget** *(Describe funding available for the project, activity, deliverable, and/or milestone scheduled for the quarter as well as funds expended or not expended and for what reasons):*
- (2) **Schedule** *(Describe if project, activity, deliverable, and/or milestone is being accomplished as detailed in the approved work plan's timeline):*
- (3) **Performance** *(Describe what deliverables or products have been completed as detailed in the approved work plan):*
- (4) **Risk Mitigation** *(If delayed or not on target with their project/activities/milestones/deliverables, funding, and schedule, describe State's strategy for reducing or eliminating further delays to make sure that they get back on track in accomplishing projects/activities as detailed in their approved work plan):*

(b) Task Name Here:

- (1) **Budget** *(Describe funding available for the project, activity, deliverable, and/or milestone scheduled for the quarter as well as funds expended or not expended and for what reasons):*
- (2) **Schedule** *(Describe if project, activity, deliverable, and/or milestone is being accomplished as detailed in the approved work plan's timeline):*
- (3) **Performance** *(Describe what deliverables or products have been completed as detailed in the approved work plan):*

(4) Risk Mitigation *(If delayed or not on target with their project/activities/milestones/deliverables, funding, and schedule, describe State's strategy for reducing or eliminating further delays to make sure that they get back on track in accomplishing projects/activities as detailed in their approved work plan):*

3. Summary *(Provide brief summary of 1) overall quarterly progress and 2) overall status of the State's approved work plan)*