

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

NOTE: Eligible applicants who plan to apply for this funding opportunity but who have not obtained a Data Universal Numbering System (DUNS) number and/or are not currently registered in the System for Award Management (SAM), should 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 the submission of a SAM registration before the registration becomes active in SAM, then an additional 24 hours for Grants.gov to recognize the information. Information on obtaining a DUNS number and registering in SAM is available from Grants.gov at: <http://www.grants.gov/web/grants/register.html> 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 17 EMBAG

NOFO Number

DHS-17-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); 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, 2017, Public Law No. 115-31

Program Type

New

Program Overview, Objectives, and Priorities

The FY 2017 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.

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 as well as to 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.

B. Federal Award Information

Award Amounts, Important Dates, and Extensions:

Estimated Available Funding for the NOFO: \$444,379

Projected number of Awards: 1

Period of Performance: 12 months

FEMA may allow an extension to the Period of Performance for this program. For details on the requirements for requesting an extension to the Period of Performance, please refer to Section H of the Full Announcement.

Estimated Projected Period of Performance Start Date(s): 9/1/2017

Estimated Projected Period of Performance End Date(s): 8/31/2018

Funding Instrument: Grant

C. Eligibility Information

Eligible Applicants

The Council of State Governments (CSG) 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.

CSG, through the development, implementation, and management of 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. CSG manages EMAP and 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, CSG is able to build and maintain consensus-based standards and select appropriate subject matter expert professionals to perform peer assessments. As a result, CSG/EMAP is the only organization eligible to apply for the EMBAG award.

Maintenance of Effort

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: 6/7/2017

Application Submission Deadline: 7/7/2017

Anticipated Funding Selection Date: 9/1/2017

Anticipated Award Date: 9/1/2017

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 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.

Event	Suggested Deadline For Completion
Obtain DUNS Number	Four weeks before actual submission deadline
Obtain a valid EIN	Four weeks before actual submission deadline
Update SAM registration	Four weeks before actual submission deadline
Submit initial application in Grants.gov	One week before actual submission deadline
Submit final application in ND Grants	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 section below entitled Dun and Bradstreet Universal Numbering System (DUNS) Number, System for Award Management (SAM), and Authorized Organizational Representative (AOR).

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.

Obtain an Employer Identification Number (EIN)

DHS/FEMA requires both the EIN and a DUNS number prior to the issuance of a financial assistance award and for grant award payment; both EIN and DUNS are also required to register with SAM (see below). The EIN base for an organization is the Internal Revenue Service (IRS) Tax ID number, for individuals it is their social security number, (both the EIN and social security number are nine-digit numbers). Organizations and individuals submitting their applications must correctly differentiate the EIN from the DUNS since both are nine-digit numbers. Failure to differentiate the EIN number from the DUNS number may result in a delay in the issuance of the funding award or incorrect payment to a recipient organization may result.

Organizations applying for an EIN should plan on a minimum of two full weeks to obtain an EIN. For assistance in registering an EIN please contact the IRS helpline. DHS/FEMA cannot assist applicants with questions related to obtaining a current EIN.

Obtain a Data Universal Numbering System (DUNS) number

Instructions for obtaining a DUNS number can be found at the following website: <http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>. The DUNS number must be included in the data entry field labeled "Organizational DUNS" on the Standard Forms (SF)-424 forms submitted as part of this application.

System for Award Management

Applicants applying for grant funds electronically through Grants.gov must register with SAM. Step-by-step instructions for registering with SAM are available at:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>. All applicants must register with SAM in order to apply online. Grants.gov will not permit an application submission from an applicant not registered in SAM.

Payment under any DHS/FEMA award is contingent on the recipient's having a current SAM registration. The applicant must complete the SAM registration process. It is imperative that the information provided by the applicant is correct and current. Please ensure that the organization's name, address, DUNS number and EIN are up to date in SAM and that the DUNS number used in SAM is the same one used to apply for all other DHS/FEMA awards.

SAM registration is a multi-step process including validating the EIN with the IRS to obtain a Commercial and Government Entity (CAGE) code. The CAGE code is only valid for one year after issuance and must be current at the time of application.

SAM sends notifications to the registered user via email 60, 30, and 15 days prior to expiration of the SAM registration for the Entity. SAM registration may lapse due to inactivity. To update or renew the Entity records(s) in SAM applicants will need to create a SAM User Account and link it to the migrated Entity records.

For assistance registering, please go to SAM or call 866-606-8220. DHS/FEMA cannot assist applicants with questions related to registering in SAM or obtaining a current CAGE code.

Authorized Organizational Representative. The next step in the registration process is creating a username and password with Grants.gov to become an AOR. AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR; applicants often miss this step and it is crucial for valid submissions. To read more detailed instructions for creating a profile on Grants.gov visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>.

AOR Authorization. After creating a profile on Grants.gov, the E-Biz Point of Contact (POC), who is a representative from your organization listed as the contact for SAM, will receive an email to grant the AOR permission to submit applications on behalf of their organization. The E-Biz POC will then log in to Grants.gov and approve an individual as the AOR, thereby giving him or her permission to submit applications. After AOR approval, the applicant will be able to submit an application online. To learn more about AOR Authorization, visit: <http://www.grants.gov/web/grants/applicants/organization->

[registration/step-4-aor-authorization.html](http://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html). To track AOR status, visit:
<http://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html>.

Electronic Signature. Applicants who submit their application through Grants.gov constitute a submission as an electronically signed application. Grants.gov will insert the AOR on file into the signature line of the application.

If an applicant experiences difficulties accessing information or has questions the applicant should contact grants.gov customer support (800) 518-4726 or email grants.gov at support@grants.gov.

The Federal awarding agency may not make a Federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency 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.

Submitting an Initial Application in Grants.gov

All applicants must submit their initial application through: <https://Grants.gov>. Applicants may need to first create a Grants.gov user profile by visiting the Get Registered section of the Grants.gov website. Successful completion of this step is necessary for DHS/FEMA to determine eligibility of the applicant. Applicants should complete this initial step on-line which requires completing:

- Standard Form 424 (SF-424), Application for Federal Assistance, and
- Grants.gov (GG) Form Certification Regarding Lobbying Form.

Both forms are available in the Forms tab under SF-424 Family.

An applicant cannot start or submit an application in Grants.gov without a confirmed SAM registration.

ND Grants will retrieve information submitted in Grants.gov allowing DHS/FEMA to determine if an applicant is eligible. Applicants are encouraged to submit their initial application in Grants.gov at least ten days before the July 1, 2016, application deadline.

Applicants experiencing difficulties accessing information should call the Grants.gov customer support hotline at 800-518-4726 or email Grants.gov at support@grants.gov. DHS/FEMA cannot assist applicants with questions related to registering with Grants.gov.

Submitting the Final Application Submission in ND Grants

FEMA will notify applicants of their eligibility and inform eligible applicants to proceed with submitting their complete application package in ND Grants located at <https://portal.fema.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.

If you need assistance registering for the ND Grants System, please contact ndgrants@fema.gov or (800) 865-4076. The ND Grants System will prompt applicants to submit all of the information contained in the following forms. Applicants should review these forms before applying to ensure they have all the information required. The forms are available at:

<http://www.grants.gov/web/grants/forms/sf-424-mandatory-family.html#sortby=1>

Budget Information for Non-construction Programs (SF- 424A);

- Standard Assurances for Non-construction Programs (SF- 424B);
- Grants.gov Lobbying Form (if the recipient has engaged or intends to engage in lobbying activities).

Intergovernmental Review

An intergovernmental review may be required. Applicants must contact their State's Single Point of Contact (SPOC) to comply with the State's process under Executive Order 12372 (see <http://www.fws.gov/policy/library/rgeo12372.pdf>). The Office of Management and Budget's home page at http://www.whitehouse.gov/omb/grants_spoc maintains the name and addresses of the SPOCs to ensure currency.

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 can't 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.

EMBAG Specific Application Instructions

The Council of State Governments (CSG)/ Emergency Management Accreditation Program (EMAP) must ensure ANSI-certified national standards are aligned with the National Preparedness System (NPS). The NPS is the instrument the Nation employs to build, sustain, and deliver core capabilities in order to achieve the Goal of a secure and resilient Nation. The guidance, programs, processes, and systems that support each component of the NPS allow for the integration of preparedness efforts that build, sustain, and deliver core capabilities and achieve the desired outcomes identified in the Goal.

EMAP must recommend to the EMAP Commission to include the Threat, Hazard, and Risk Identification and Assessment (THIRA) as part of the ANSI standard.

EMAP must ensure ANSI-certified national standards are aligned to the *National Continuity Policy*. Presidential Policy Directive (PPD) 40, *National Continuity Policy*, provides the comprehensive national policy on continuity programs, capabilities, and operations. Continuity is an important element of preparedness and an integral part of each core capability across the five mission areas of prevention, protection, mitigation, response, and recovery within the NPS. PPD-40 advances a comprehensive and integrated national continuity program that enables a more rapid and effective response to and recovery from a catastrophic emergency. It prescribes continuity requirements for the Executive Office of the President and all Federal Executive Branch departments and agencies; assessments of federal agencies must align to these national requirements, standards, terminology, and concepts. PPD-40 provides guidance and tools to assist state, local, tribal, and territorial governments; non-governmental organizations; and private sector critical infrastructure owners and operators in maintaining essential functions during disasters and emergencies.

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

- Emergency management program administration, to include authorities, oversight, and strategic planning;
- Emergency management finance;
- Threat, Hazard, and Risk Identification and Assessment (THIRA) development;
- Consequence analysis;
- Hazard mitigation;
- Emergency planning, to include mutual aid;
- Incident management to include National Incident Management System (NIMS) implementation;
- Communications and warning;
- Operations and procedures;
- Training and exercises, to include alignment with the Homeland Security Exercise and Evaluation Program (HSEEP); and
- Public affairs.

Overall Objectives—The Council of State Governments (CSG)/EMAP will accomplish the following:

- Maintain ANSI-certified emergency management organization standards that are consistent with consensus-based guidance and aligned with the National Preparedness

System and *National Continuity Policy*.

- Incorporate a review of THIRA as part of their assessments verifying content and completeness of the THIRA as required by the National Preparedness Assessment Division (NPAD).
- Incorporate the National Incident Management System (NIMS); the Homeland Security Exercise and Evaluation Program (HSEEP); the Continuity Guidance Circular (CGC); Federal Continuity Directives (FCDs); and other DHS/FEMA guidance and policy, as appropriate, in its assessments;
- Maintain a web-based portal for jurisdiction self-assessments;
- Provide peer-review, trend analysis, and feedback on problem areas identified in the self-assessments;
- Conduct a survey and follow-up report with those jurisdictions that have completed baseline assessments and provide feedback on the process;
- Provide access to best practices and model plans;
- Provide webinars for training on standards;
- Provide training for assessors;
- Complete state/territory/local/tribal assessments; and
- Develop additional emergency preparedness and response standards and assessment and accreditation processes if directed.

Actions—CSG/EMAP will be responsible for the following:

- Making recommendations on maintaining and updating ANSI-certified emergency management organization standards that are consistent with consensus-based guidance aligned with the National Preparedness System and *National Continuity Policy* and must include reference to the Threat, Hazard, and Risk Identification and Assessment, the National Incident Management System, the Homeland Security Exercise and Evaluation Program, the Continuity Guidance Circular, Federal Continuity Directives, and other DHS/FEMA guidance and policy as appropriate;
- Presenting 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 providing a copy of the briefing to FEMA/National Preparedness Assessment Division (NPAD) before the conferences to review.
- Securing agreements to assess approximately 12 emergency management organizations against ANSI-approved national standards;
- Maintaining a web-based portal for jurisdictional self-assessments;
- Ensuring access to best practices, including model plans, risk assessments, and similar documents and including this information in EMAP's annual report to FEMA;
- Executing a peer-review process for emergency management organization accreditation;
- Providing feedback on problem areas identified in self-assessments;
- Providing webinars for training on emergency management organization standards and the accreditation process; and
- If directed, developing additional emergency preparedness and response consensus-based standards as well as a peer-assessment and accreditation process.

In addition, the applicant should outline how it intends to meet the following program specific requirements:

- A five-year schedule of assessments
- A plan for the revision of the Emergency Management Standard that occurs every three years
- A survey and analysis of results from states that have gone through the accreditation process and how they benefited from the process
- A peer-review process for emergency management programs, to include feedback on self-assessment results
- A web-based portal enabling jurisdictional self-assessments
- A set of emergency management standards and guidelines informed by the National Preparedness System
- Access to best practices, including model plans, risk assessments, and similar documents
- A strategy and process to validate the peer-reviewed assessment process against real-world events and exercises
- A roadmap to conduct an annual lessons learned review to identify ways to improve the ANSI standard development process and the assessment process.

E. Application Review Information

Application Evaluation Criteria

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

Prior to making a Federal award, 31 U.S.C. 3321 and 41 U.S.C. 2313 require FEMA to review information available through any OMB-designated repositories of government wide eligibility qualification or financial integrity information. 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; and (5) ability to effectively implement statutory, regulatory, or other requirements.

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 \$150,000 (see 2 CFR §200.88), DHS, prior to making the award will:

- i. Review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently 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 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 CFR §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 all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions, which are available online at:

[DHS Standard Terms and Conditions](#)

The applicable DHS Standard Administrative Terms and Conditions will be those in effect at the time in which 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.

Federal Financial Reporting Requirements

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 and Compliance Audit Report

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from 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?SID=55e12eead565605b4d529d82d276105c&node=2:1.1.2.1.1.6&rgn=div6>

For audits of fiscal years beginning prior to December 26, 2014, recipients that expend \$500,000 or more from Federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be in accordance with GAO's Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, located at:

https://obamawhitehouse.archives.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf

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 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 provide a written monthly report to DHS/FEMA. The report will 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 should be organized into assessment, training, and program management categories, and must cover the full list of recipient responsibilities described in this NOFO.
- The recipient will hold monthly conference calls with the FEMA program manager to discuss progress in implementing the requirements listed in this NOFO. During each conference call, the recipient will 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 will provide written reports to FEMA on the results of each jurisdiction assessed. The recipient will provide these reports to FEMA and the assessed jurisdiction no later than three months after the assessment process is complete.
- The recipient will provide an annual report by December 31 to FEMA 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.

Close-Out Reporting Requirements

Within 90 days after the end of the period of performance, or after FEMA issues an amendment 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.

After these reports are approved by NPD/NPAD, a close-out notice is issued to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be de-obligated, 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 to FEMA any drawn down funds that remain as unliquidated on the recipient's 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

Applicants can request extensions to this program.

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.

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

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 pass-through entity 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.