# The Department of Homeland Security
# Notice of Funding Opportunity
# Fiscal Year 2022 Homeland Security Preparedness Technical Assistance Grant Program

Effective April 4, 2022, the Federal Government transitioned from using the Data Universal Numbering System or DUNS number, to a new, non-proprietary identifier known as a Unique Entity Identifier or UEI. For entities that have an active registration in SAM.gov prior to the April 4 date, the UEI has automatically been assigned and no action is necessary. For all entities filing a new registration in SAM.gov on or after April 4, 2022, the UEI will be assigned to that Entity as part of the SAM.gov registration process.

Unique Entity Identifier registration information is available on GSA.gov at Unique Entity Identifier Update | GSA.

Grants.gov registration information can be found at https://www.grants.gov/web/grants/register.html. Detailed information regarding UEI and SAM is also provided in Section D of this funding notice.

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## A. Program Description

### 1. Issued By

U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA)/Resilience/Office of Resilience Integration and Coordination

### 2. Assistance Listings Number

97.007

### 3. Assistance Listings Title

Homeland Security Preparedness Technical Assistance Program (HSPTAP)

### 4. Funding Opportunity Title

Fiscal Year 2022 Homeland Security Preparedness Technical Assistance Program (HSPTAP)

### 5. Funding Opportunity Number

DHS-22-NPD-007-00-01

### 6. Authorizing Authority for Program

Homeland Security Act of 2002, as amended, Public Law 107-296, § 503(b)(2)(G) (codified as amended at 6 U.S.C. § 313(b)(2)(G))

### 7. Appropriation Authority for Program

Department of Homeland Security Appropriations Act, 2022, Pub. L. No. 117-103, Division F, Title III (Protection, Preparedness, Response, and Recovery).

### 8. Announcement Type

Initial

### 9. Program Category

Preparedness

### 10. Program Overview, Objectives and Priorities

**a.** ***Overview***

The Homeland Security Preparedness Technical Assistance Program (HSPTAP) provides financial assistance to professional non-profit organizations in activities to improve and/or build state, local, tribal, and territorial (SLTT) capabilities to prevent, protect against, respond to, recover from, and mitigate major events, including threats or acts of terrorism. The overarching programmatic goal focuses on building state and local capabilities through various means and methods, each one aimed at achieving the National Preparedness Goal and furthering our collective efforts to remain a safe and secure nation.

Specific HSPTAP program activities anticipated for achieving this goal include, but will not be limited to: developing and disseminating written products; facilitating calls, meetings, or discussions; providing and organizing seminars, training and workshops for key homeland security and emergency preparedness SLTT stakeholders nationwide (e.g., state emergency management directors, state homeland security advisors, and other

professional organizations in the public and private sectors, etc.) to share information, knowledge, experiences, and practices relating to current and emerging homeland security, emergency management and public safety issues and efforts. The HSPTAP supports Goal 1: Counter Terrorism and Homeland Security Threat of the 2020-2024 DHS Strategic Plan.

**b. *Objectives***

*Supporting key homeland security and emergency preparedness stakeholders nationwide to further build a national system of emergency management capabilities.*

1. Conducting activities that bring together the collective perspectives of state and local officials and the private and nonprofit sectors to provide a broad-based sounding board on homeland security issues for all national stakeholders. Supporting this objective should include establishing, providing, and maintaining a forum for organizations to exchange ideas, conduct targeted discussions, as well as to provide technical assistance to governor's offices, associations, and organizations on all relevant SLTT homeland security policy areas.
2. Developing, transferring, and institutionalizing pertinent knowledge at the state and local level for addressing current public policy challenges facing state emergency management directors, state homeland security advisors and other SLTT officials.
3. Collaborating with public and private sectors and all disciplines and levels of government (e.g., national, regional, state and local) to facilitate information sharing, enhance communication and coordination; address the complex challenges of developing and implementing homeland security policies and practices including: intelligence sharing; state homeland security organization, structure and governance; communications interoperability; critical infrastructure protection; climate-driven disturbances and emergent risks; and all hazards disaster prevention, protection, mitigation, preparedness, response and recovery to include areas of emergency management, homeland security, public health, fire, law enforcement, Emergency Management Services (EMS), agriculture, National Guard, emergency communications and public works.

**c. *Priorities***

The objectives and projects above support the purpose of the FY 2022 HSPTAP, further building of a national system of emergency management capabilities that can effectively and efficiently utilize the Nation's resources to respond to catastrophic incidents, including natural disasters, climate-driven extremes and disturbances, acts of terrorism, domestic extremism, and other man-made emergencies or events. In addition to building state, tribal, territorial, and local capabilities, the activities conducted under the HSPTAP are structured to address the National Preparedness System and full spectrum of mission areas and core capabilities outlined in the National Preparedness Goal.

Given the evolving threat landscape, it is incumbent upon DHS/FEMA to continuously evaluate the national risk profile and set priorities that help ensure appropriate allocation of scarce federal resources. Due to the unique threats that the nation faces in 2022, DHS/FEMA has determined four priority areas for FY 2022 HSPTAP funds:

1. Enhancing climate resilience and adaptation throughout the emergency management community

2. Enhancing equity and accessibility throughout emergency management policies and programs and instilling as a foundation of emergency management.
3. Collaborate with SLTT, Private sector, and NGOs to strengthen the capability of partners to advance critical issues within their pre and post disaster work. Critical issues may include climate change, future conditions data, climate adaptation and resilience.
4. Addressing emergent threats (e.g., public health and climate-driven emergencies, enhancing election security, etc.).

**11. Performance Measures**

FEMA requires HSPTAP recipients to collect and submit information necessary to calculate metrics derived from the following measures of effectiveness for the HSPTAP grant program:

- Number of trainings, seminars, and workshops developed and/or delivered by the recipients to build SLTT capabilities specific to the four priority areas for FY 2022.
- Results of workshop or event surveys and evaluations.

## B. Federal Award Information

**1.** Available Funding for this notice: **$525,000**

**2.** Projected Number of Awards: **2-4**

**3.** Maximum Award Amount**:** **$275,000**

**4.** Period of Performance: **12 months**

FEMA will consider extensions to the period of performance only through formal requests to FEMA with specific and compelling justifications as to why an extension is required. For additional information on period of performance extensions, please refer to Section H of this notice.

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

**5.** Projected Period of Performance Start Date(s): **Sept. 30, 2022**

**6.** Projected Period of Performance End Date(s): **Sept. 29, 2023**

**7.** Funding Instrument Type: **Grant**

## C. Eligibility Information

**1. Eligible Applicants**

Nonprofit organizations as defined by 2 C.F.R. § 200.1 and institutions of higher education as defined by 2 C.F.R. 200.1.

## 2. Applicant Eligibility Criteria

The criteria that organizations must meet in order to be eligible for the HSPTAP are defined below. Applicants that do not meet eligibility and application submission requirements will not be evaluated and scored by the review panel.

Eligible nonprofit organizations must:

1. Be a known entity with a national scope and able to work in partnership with key stakeholders and Federal agencies.
2. Demonstrate their experience and capacity to establish, provide, and maintain a collaborative forum which can reach, inform, educate, and engage **key homeland security and emergency preparedness stakeholders nationwide.**
3. Demonstrate their experience and ability to work with all disciplines and levels of government to develop and provide direct technical assistance, training, and professional development in the area of current homeland security doctrine, policy, and best practices to **key homeland security and emergency preparedness stakeholders nationwide.**

**Key homeland security and emergency preparedness stakeholders include but are not limited to:** state emergency management directors, state homeland security advisors and other SLTT officials.

Applicants must conform to the guidance and demonstrate their experience and expertise using the questions in Appendix B: Project Narrative Template, and reviewers will use these questions as one set of criteria to score applications as outlined in Appendix C: Evaluation and Scoring Criteria. Applicants that do not meet eligibility and application submission requirements will not be evaluated and scored by the review panel.

## 3. Other Eligibility Criteria

### a. *National Incident Management System (NIMS) Implementation*

Prior to allocation of any federal preparedness awards, recipients must ensure and maintain adoption and implementation of NIMS. The list of objectives used for progress and achievement reporting is on FEMA's website at https://www.fema.gov/emergency-managers/nims/implementation-training.

Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment, and/or supplies) to meet incident needs. Utilization of the standardized resource management concepts such as typing, credentialing, and inventorying, promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management, NIMS resource typing definitions, job titles, and position qualifications is on FEMA's website at https://www.fema.gov/emergency-managers/nims/components.

FEMA developed the National Incident Management System Guideline for the National Qualification System to describe national credentialing standards and to provide written guidance regarding the use of those standards. This guideline describes credentialing and typing processes and identifies tools that Federal Emergency Response Officials and emergency managers at all levels of government may use both routinely and to facilitate multijurisdictional coordinated responses.

Although state (including territorial), local, tribal, and private sector partners (including nongovernmental organizations) are not required to credential their personnel in accordance with these guidelines, FEMA strongly encourages them to do so to leverage the federal investment in the Federal Information Processing Standards 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction.

Additional information about NIMS in general is available on FEMA's website at https://www.fema.gov/emergency-managers/nims.

**4. Cost Share or Match**

There is no cost share or cost match requirement for this program.

## D. Application and Submission Information

### 1. Key Dates and Times

**a.** ***Application Start Date:*** ***09/01/2022***

**b.** ***Application Submission Deadline:*** ***09/20/2022 at 2 p.m. (ET)***

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

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

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

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

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

**c.** ***Anticipated Funding Selection Date:*** No later than **09/30/2022**

**d.** ***Anticipated Award Date:*** No later than **09/30/22**

**e.** ***Other Key Dates***

| **Event** | **Suggested Deadline for Completion** |
|---|---|
| Obtaining Unique Entity Identifier (UEI) number | Four weeks before actual submission deadline |
| Obtaining a valid Employer Identification Number (EIN) | Four weeks before actual submission deadline |
| Creating an account with login.gov | Four weeks before actual submission deadline |
| Registering in SAM or Updating SAM registration | Four weeks before actual submission deadline |
| Registering in Grants.gov | Four weeks before actual submission deadline |
| Starting application in Grants.gov | One week before actual submission deadline |
| Submitting the final application in ND Grants | By the submission deadline |

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

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

**3. Address to Request Application Package**

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

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

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

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

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

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

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

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

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

number, if applicable, and complete SAM registration within 30 days of the federal award date.

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

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

6. **How to Register to Apply through Grants.gov**

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

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

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

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

If individual applicants are eligible to apply for this grant funding opportunity, refer to https://www.grants.gov/web/grants/applicants/registration.html.

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

For more detailed instructions for obtaining a UEI number, refer to: Sam.gov.

c. ***Obtain Employer Identification Number***

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

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

Applicants must have a login.gov account in order to register with SAM or update their SAM registration. Applicants can create a login.gov account here: https://secure.login.gov/sign_up/enter_email?request_id=34f19fa8-14a2-438c-8323-a62b99571fd3.

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

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

**e.** ***Register with SAM:***

All organizations applying online through Grants.gov must register with SAM. Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually.

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

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

## I. ADDITIONAL SAM REMINDERS

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

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

## II. HELP WITH SAM

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

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

For more information, follow the on-screen instructions or refer to https://www.grants.gov/web/grants/applicants/registration.html.

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

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

For more detailed instructions about creating a profile on Grants.gov, refer to: https://www.grants.gov/web/grants/applicants/registration/add-profile.html.

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

For more detailed instructions about creating a profile on Grants.gov, refer to https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html.

**k.** ***Track Role Status:***
To track your role request, refer to https://www.grants.gov/web/grants/applicants/registration/track-role-status.html.

**l.** ***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.**

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

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

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

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

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

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities using Workspace, refer to https://www.grants.gov/web/grants/applicants/workspace-overview.html.

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

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

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

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

**c. *Adobe Reader:***

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

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

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

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

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

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

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

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

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

For additional training resources, including video tutorials, refer to https://www.grants.gov/web/grants/applicants/applicant-training.html.

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

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

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

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

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

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

**9. Timely Receipt Requirements and Proof of Timely Submission**

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

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

**10. Content and Form of Application Submission**

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

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

**I. GRANTS.GOV**

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

**II. ND GRANTS**

- **SF-424A, Budget Information (Non-Construction)**, submitted via the forms generated by ND Grants

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

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

The following HSPTAP program-specific forms or information are required to be submitted in ND Grants:

- **Project Narrative** that describes the applicant's proposed project and how it aligns with the FY 2022 HSPTAP Program objective. (Refer to Appendix B: Project Narrative Template for additional details.)
- Budget Detail Worksheet that identifies all project costs and provides justification for the costs identified (including management and administration [M&A]). (Refer to Appendix D: Budget Detail Worksheet Template for additional details.)

**11. Intergovernmental Review**

An intergovernmental review may be required. Applicants must contact their state's Single Point of Contact (SPOC) to comply with the state's process under Executive Order 12372 (See https://www.archives.gov/federal-register/codification/executive-order/12372.html; https://www.whitehouse.gov/wp-content/uploads/2020/01/spoc_1_16_2020.pdf).

**12. Funding Restrictions and Allowable Costs**

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

In general, the Cost Principles establish standards for the allowability of costs, provide detailed guidance on the cost accounting treatment of costs as direct or administrative costs,

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

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

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

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

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

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

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

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

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

(1) Procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology of any system;

(2) Enter into, extend, or renew a contract to procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology of any system; or

(3) Enter into, extend, or renew contracts with entities that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system.

**II. DEFINITIONS**

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

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

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

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

Pre-award costs are NOT allowable.

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

Management and Administration costs are activities directly related to managing and administering the HSPTAP award. M&A costs are not operational costs. They are the necessary costs incurred in direct support of the grant or as a consequence of the grant and should be allocated across the entire lifecycle of the grant. FEMA has determined that recipient may retain and expend a maximum of 5 percent of HSPTAP funds awarded for M&A purposes associated with the HSPTAP award.

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

Indirect costs are allowable under this program as described in 2 C.F.R. Part 200, including 2 C.F.R. § 200.414. Applicants with a current negotiated indirect cost rate agreement that desire to charge indirect costs to an award must provide a copy of their negotiated indirect cost rate agreement at the time of application. Not all applicants are required to have a current negotiated indirect cost rate agreement. Applicants that are not required by 2 C.F.R. Part 200 to have a negotiated indirect cost rate agreement but are required by 2 C.F.R. Part 200 to develop an indirect cost rate proposal must provide a copy of their proposal at the time of application. Applicants who do not have a current negotiated indirect cost rate agreement (including a provisional rate) and wish to charge the de minimis rate must reach out to the FEMA Program Analyst or Grants Management Specialist for further instructions. Applicants who wish to use a cost allocation plan in lieu of an indirect cost rate must also reach out to the FEMA Program Analyst or Grants Management Specialist for further instructions. Post-award requests to charge indirect costs will be considered on a case-by-case basis and based upon the submission of an agreement or proposal as discussed above or based upon on the de minimis rate or cost allocation plan, as applicable.

## *E. Application Review Information*

### 1. Application Evaluation Criteria

**a.** ***Programmatic Criteria***

Applications must conform with the guidance provided in Appendix B: Project Narrative Template. FY 2022 HSPTAP applications will also be evaluated for completeness, adherence to programmatic guidelines and anticipated effectiveness of the proposed project.

Below is a short summary of the evaluation criteria. The full criteria can be found in Appendix C: Evaluation and Scoring Criteria, which details the specific criteria aligned to each of the Project Narrative requirements and the maximum number of points an application can receive for each criterion. The four (4) base criteria are worth up to 100 total possible points. FEMA will not review applications that do not address all questions and subparts. Additionally, FEMA will not consider any letters of endorsement or support submitted separately from an application. If statements of endorsement or support testimony are provided, they must be included in the Project Narrative.

- Demonstration of Eligibility: The applicant clearly and comprehensively describes its ability to build state, local, tribal and territorial emergency management capabilities. *(Possible Points: 0 – 20 max)*
- Project Plan: The applicant demonstrates an effective and sustainable project approach for building SLTT emergency management capabilities within the 12-month period of performance, including the specific implementation and project management approaches. *(Possible Points: 0 – 30 max)*
- Anticipated Results: The applicant demonstrates the proposed project's anticipated results, including how the project will build the SLTT emergency management capabilities and performance goals the project is expected to achieve, and how the project can be scaled or replicated to benefit national preparedness. *(Possible Points: 0 – 30 max)*
- Budget: The applicant demonstrates a reasonable and cost-effective budget (using Appendix D: Budget Detail Worksheet Template) including explanation of reasonable

project costs across the requested categories, the project's relative cost effectiveness and sustainability and the applicant's ability to manage federal grants. *(Possible Points: 0 – 20 max)*

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

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

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

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

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

i. FEMA must review and consider any information about the applicant, including information on the applicant's immediate and highest-level owner, subsidiaries, and predecessors, if applicable, that is in the designated integrity and performance system accessible through the System for Award Management (SAM), which is currently the Federal Awardee Performance and Integrity Information System (FAPIIS).

ii. An applicant, at its option, may review information in FAPIIS and comment on any information about itself that a federal awarding agency previously entered.

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

**2. Review and Selection Process**

***a. Eligibility Screening***

FEMA will conduct an initial review of all applications to verify applicant eligibility and ensure each application is complete. All eligible and complete applications will progress to the applicable FEMA program office for further review. FEMA staff will review the following during the eligibility screening:

i. Applicant is an eligible organization as defined under the Eligible Applicants header of Section C: Eligibility Information of this notice.
ii. Applicant has submitted all required assurances and standard forms.
iii. Application complies with the Application Submission information presented in Section D: Application and Submission Information and Appendix B: Project Narrative Template, including:
    - Application includes a Project Narrative that aligns with the format requirements specified in Appendix B: Project Narrative Template.
    - Application includes a Budget Detail Worksheet (Appendix D: Budget Detail Worksheet Template).

***b. Review Panel***

Applications will be reviewed and scored by a review panel comprised of FEMA staff. Applicants that do not meet eligibility and application submission requirements will not be evaluated and scored by the review panel. The review panel will score applications based on specific criteria described in Appendix C: Evaluation and Scoring Criteria and aligned to the requirements outlined in Section D: Application and Submission Information and Appendix B: Project Narrative Template. The review panel will score applications taking into consideration completeness, adherence to programmatic guidelines and anticipated effectiveness of the plan proposed in the Project Narrative.

***c. Application Selection Process***

FEMA staff will make recommendations based on scores assigned by the application review panel, which will be sorted in descending order from the highest score to lowest score until as many HSPTAP Objective Projects possible are addressed.

FEMA senior leadership will review recommended awards based on the results of the ranked application scores and make final decision in selection. A maximum of two to four applicants will be selected.

***d. Required Application Contents***

Applicants must format the contents of the application according to the guidance in Appendix B: Project Narrative Template. Applications not formatted according to the guidance will be considered incomplete, and FEMA will not review or consider for funding. Applicants should not include any Classified or Sensitive information in their applications for this program.

## F. Federal Award Administration Information

### 1. Notice of Award

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

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

Recipients must accept their awards no later than 90 days from the award date. The recipient shall notify FEMA of its intent to accept and proceed with work under the award or provide a notice of intent to decline through the ND Grants system. For instructions on how to accept or decline an award in the ND Grants system, please see the ND Grants Grant Recipient User Guide, which is available at https://www.fema.gov/grants/guidance-tools/non-disaster-grants-management-system along with other ND Grants materials.

Funds will remain on hold until the recipient accepts the award through the ND Grants system and all other conditions of the award have been satisfied or until the award is otherwise rescinded. Failure to accept a grant award within the 90-day timeframe may result in a loss of funds.

**2. Administrative and National Policy Requirements**

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

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

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

The applicable DHS Standard Terms and Conditions will be those in effect at the time the award was made unless the application is for a continuation award. In that event, the terms and conditions in effect at the time the original award was made will generally apply. What terms and conditions will apply for the award will be clearly stated in the award package at the time of award.

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

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

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

The DHS Standard Terms and Conditions include a fuller list of the civil rights provisions that apply to recipients. These terms and conditions can be found in the DHS Standard Terms

and Conditions. Additional information on civil rights provisions is available at https://www.fema.gov/about/offices/equal-rights/civil-rights.

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

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

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

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

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

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

DHS and FEMA EHP policy is found in directives and instructions available on the FEMA.gov EHP page, the FEMA website page that includes documents regarding EHP responsibilities and program requirements, including implementation of the National Environmental Policy Act and other EHP regulations and Executive Orders. Individual

FEMA programs have separate procedures to conduct and document EHP review. Guidance for individual grant programs is available from applicable program offices.

**d.** ***National Incident Management System (NIMS) Implementation***

In expending funds under this program, recipients that are state, local, tribal, or territorial governments must ensure and maintain adoption and implementation of NIMS. The state, local, tribal, or territorial government must show adoption of NIMS during any point of the period of performance. The list of objectives used for progress and achievement reporting is at https://www.fema.gov/emergency-managers/nims/implementation-training.

Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment, and/or supplies) to meet incident needs. Using standardized resource management concepts such as typing, credentialing, and inventorying, promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management, NIMS resource typing definitions, job titles and position qualifications is on FEMA's website at https://www.fema.gov/emergency-managers/nims/components.

FEMA developed the National Incident Management System Guideline for the National Qualification System to describe national credentialing standards and to provide written guidance regarding the use of those standards. This guideline describes credentialing and typing processes and identifies tools which Federal Emergency Response Officials and emergency managers at all levels of government may use both routinely and to facilitate multijurisdictional coordinated responses.

Although state, local, tribal, and private sector partners (including nongovernmental organizations) are not required to credential their personnel in accordance with these guidelines, FEMA strongly encourages them to do so to leverage the federal investment in the Federal Information Processing Standards 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction.

Additional information about NIMS in general is available at https://www.fema.gov/emergency-managers/nims.

**4. Reporting**

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

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

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

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

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

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

### II. FFR Reporting Periods and Due Dates

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

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

| Reporting Period | Report Due Date |
|---|---|
| Oct. 1 – Dec. 31 | Jan. 30 |
| Jan. 1 – March 31 | April 30 |
| April 1 – June 30 | July 30 |
| July 1 – Sept. 30 | Oct. 30 |

## b. *Programmatic Performance Reporting Requirements*

### I. Performance Progress Report (PPR)

Recipients are responsible for uploading Program Performance Report (PPR) to FEMA on a quarterly basis in ND Grants. The report is due **within 30 days** after the end of the reporting period. Recipients must report on the following information:

1. Written products relating to emerging homeland security, emergency management and public safety issues and established or model state homeland security and emergency management efforts;
2. Educational, seminars, training and workshops for apprising newly appointed key stakeholders such as: state emergency management directors, state homeland security advisors and other SLTT officials.
3. Calls, meetings, or discussions amongst representatives from key stakeholder groups on a regular basis which serve to share information, knowledge, experiences, and practices relating to current and emerging homeland security, emergency management and public safety issues.
4. Trainings, workshops and other meeting opportunities designed to bring together in a common forum for state emergency management directors, state homeland security advisors, and other SLTT officials as well as other professional organizations in the public and private sectors and to inform partners on the impacts of current and emerging homeland security, emergency management and public safety legislation, regulations and policies.

## c. *Closeout Reporting Requirements*

## I. CLOSEOUT REPORTING

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

i. The final request for payment, if applicable;
ii. The final FFR (SF-425);
iii. The final progress report detailing all accomplishments, including a narrative summary of the impact of those accomplishments throughout the period of performance; and
iv. Other documents required by this notice, terms and conditions of the award, or other FEMA guidance.

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

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

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

## II. ADMINISTRATIVE CLOSEOUT

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

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

the period of performance end date. Additionally, if the recipient does not submit all required reports within one year of the period of performance end date, per 2 C.F.R. § 200.344(i), FEMA must report in FAPIIS the recipient's material failure to comply with the terms and conditions of the award.

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

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

**d.** ***Additional Reporting Requirements***

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

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

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

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

**III. SINGLE AUDIT REPORT**

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

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

**5. Monitoring and Oversight**

Per 2 C.F.R. § 200.337, FEMA, through its authorized representatives, has the right, at all reasonable times, to make site visits or conduct desk reviews to review project

accomplishments and management control systems to review award progress and to provide any required technical assistance. During site visits or desk reviews, FEMA will review recipients' files related to the award. As part of any monitoring and program evaluation activities, recipients must permit FEMA, upon reasonable notice, to review grant-related records and to interview the organization's staff and contractors regarding the program. Recipients must respond in a timely and accurate manner to FEMA requests for information relating to the award.

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

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

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

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

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

## G. DHS Awarding Agency Contact Information

### 1. Contact and Resource Information

**a. *Program Office Contact***

Program Office Contacts


Krista Junvisetsak
FEMA
Tel: 202-431-7342
Email: Krista.Junvisetsak@fema.dhs.gov

John Allen
FEMA
202-329-2544
John.Allen5@fema.dhs.gov


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

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

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

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

**d. *Equal Rights***

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

**e. *Environmental Planning and Historic Preservation***

The FEMA Office of Environmental Planning and Historic Preservation (OEHP) provides guidance and information about the EHP review process to FEMA programs and FEMA's recipients and subrecipients. All inquiries and communications about EHP compliance for FEMA grant projects under this notice or the EHP review process should be sent to FEMA-OEHP-NOFOQuestions@fema.dhs.gov.

### 2. Systems Information

**a. *Grants.gov***

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

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

For technical assistance with the ND Grants system, please contact the ND Grants Helpdesk at ndgrants@fema.dhsgov or (800) 865-4076, Monday through Friday, 9 a.m. – 6 p.m. ET. User resources are available at https://www.fema.gov/grants/guidance-tools/non-disaster-grants-management-system

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

FEMA uses the Payment and Reporting System (PARS) for financial reporting, invoicing, and tracking payments. FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to recipients. To enroll in the DD/EFT, recipients must complete a Standard Form 1199A, Direct Deposit Form. If you have questions about the online system, please call the Customer Service Center at (866) 927-5646 or email ask-GMD@fema.dhs.gov.

**d.** ***FEMA Preparedness Toolkit***

The FEMA Preparedness Toolkit (PrepToolkit) provides access to the tools and resources needed to implement the National Preparedness System and provide a collaborative community space for communities completing the Unified Reporting Tool (URT). Recipients complete and submit their Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) and other required assessments using the tools on PrepToolkit. For assistance, contact support@preptoolkit.fema.dhs.gov.

## H. Additional Information

### 1. Termination Provisions

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

**a.** ***Noncompliance***

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

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

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

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

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

**3. Program Evaluation**

Recipients and subrecipients are encouraged to incorporate program evaluation activities from the outset of their program design and implementation to meaningfully document and measure their progress towards meeting an agency priority goal(s). Title I of the Foundations for Evidence-Based Policymaking Act of 2018 (Evidence Act), Pub. L. No. 115-435 (2019) urges federal awarding agencies and federal assistance recipients and subrecipients to use program evaluation as a critical tool to learn, to improve equitable delivery and to elevate program service and delivery across the program lifecycle. Evaluation means "an assessment using systematic data collection and analysis of one or more programs, policies and organizations intended to assess their effectiveness and efficiency." Evidence Act § 101 (codified at 5 U.S.C. § 311). Evaluation costs are allowable costs (either as direct or indirect), unless prohibited by statute or regulation.

**4. Period of Performance Extensions**

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

All extension requests must address the following:

a. The grant program, fiscal year, and award number;
b. Reason for the delay –including details of the legal, policy, or operational challenges that prevent the final outlay of awarded funds by the deadline;
c. Current status of the activity(ies);
d. Approved POP termination date and new project completion date;
e. Amount of funds drawn down to date;
f. Remaining available funds, both federal and, if applicable, non-federal;
g. Budget outlining how remaining federal and, if applicable, non-federal funds will be expended;

h. Plan for completion, including milestones and timeframes for achieving each milestone and the position or person responsible for implementing the plan for completion; and
i. Certification that the activity(ies) will be completed within the extended POP without any modification to the original statement of work, as described in the investment justification, application and as 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 recipient or subrecipient with vendors prevent completion of the project, including delivery of equipment or services, within the existing POP;
- The project must undergo a complex environmental review that cannot be completed within the existing POP;
- Projects are long-term by design, and therefore acceleration would compromise core programmatic goals; or
- Where other special or extenuating circumstances exist.

Recipients should submit all proposed extension requests to FEMA for review and approval at least 90 days prior to the end of the POP to allow sufficient processing time.

**5. Disability Integration**

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

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

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

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

- Include representatives of organizations that work with/for people with disabilities on planning committees, work groups and other bodies engaged in development and implementation of the grant programs and activities.
- Hold all activities related to the grant in locations that are accessible to persons with physical disabilities to the extent practicable.
- Acquire language translation services, including American Sign Language, that provide public information across the community and in shelters.

- Ensure shelter-specific grant funds are in alignment with FEMA's Guidance on Planning for Integration of Functional Needs Support Services in General Population Shelters.
- If making alterations to an existing building to a primary function area utilizing federal funds, complying with the most recent codes and standards and making path of travel to the primary function area accessible to the greatest extent possible.
- Implement specific procedures used by public transportation agencies that include evacuation and passenger communication plans and measures for individuals with disabilities.
- Identify, create, and deliver training to address any training gaps specifically aimed toward whole-community preparedness. Include and interact with individuals with disabilities, aligning with the designated program capability.
- Establish best practices in inclusive planning and preparedness that consider physical access, language access and information access. Examples of effective communication access include providing auxiliary aids and services such as sign language interpreters, Computer Aided Real-time Translation (CART) and materials in Braille or alternate formats.

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

**6. Conflicts of Interest in the Administration of Federal Awards or Subawards**

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

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

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

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

**7. Procurement Integrity**

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

The below highlights the federal procurement requirements for FEMA recipients when procuring goods and services with federal grant funds. FEMA will include a review of recipients' procurement practices as part of the normal monitoring activities. **All procurement activity must be conducted in accordance with federal procurement standards at 2 C.F.R. §§ 200.317 – 200.327.** Select requirements under these standards are listed below. The recipient and any of its subrecipients must comply with all requirements, even if they are not listed below.

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

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

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

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

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

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

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

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

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

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

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

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

Under 2 C.F.R. § 200.318(c)(1), non-federal entities other than states are required to maintain written standards of conduct covering conflicts of interest and governing the actions of their employees engaged in the selection, award and administration of contracts. **No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a federal award if he or she has a real or apparent conflict of interest.** Such conflicts of interest would arise when the employee, officer or agent, any member of his or her immediate family, his or her partner, or an organization that employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract. The officers, employees, and agents of the non-federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. However, non-federal entities may set standards for situations in which the financial interest is not substantial, or the gift is an unsolicited item of nominal value. The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the non-federal entity.

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

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

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

**I.** **GENERAL SERVICES ADMINISTRATION SCHEDULES**

States, tribes, and local governments, and any instrumentality thereof (such as local education agencies or institutions of higher education) may procure goods and services from a General Services Administration (GSA) schedule. GSA offers multiple efficient and effective procurement programs for state, tribal, and local governments, and instrumentalities thereof, to purchase products and services directly from pre-vetted contractors. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply

Schedules) are long-term government-wide contracts with commercial firms that provide access to millions of commercial products and services at volume discount pricing.

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

For tribes, local governments, and their instrumentalities that purchase off of a GSA schedule, this will satisfy the federal requirements for full and open competition provided that the recipient follows the GSA ordering procedures; however, tribes, local governments, and their instrumentalities will still need to follow the other rules under 2 C.F.R. §§ 200.317 – 200.327, such as solicitation of minority businesses, women's business enterprises, small businesses, or labor surplus area firms (§ 200.321), domestic preferences (§ 200.322), contract cost and price (§ 200.324), and required contract provisions (§ 200.327 and Appendix II).

**II. OTHER SUPPLY SCHEDULES AND PROGRAMS**

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

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

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

**d. *Procurement Documentation***

Per 2 C.F.R. § 200.318(i), non-federal entities other than states and territories are required to maintain and retain records sufficient to detail the history of procurement covering at least

the rationale for the procurement method, selection of contract type, contractor selection or rejection, and the basis for the contract price. States and territories are encouraged to maintain and retain this information as well and are reminded that in order for any cost to be allowable, it must be adequately documented per 2 C.F.R. § 200.403(g).

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

- Solicitation documentation, such as requests for quotes, invitations for bids, or requests for proposals;
- Responses to solicitations, such as quotes, bids, or proposals;
- Pre-solicitation independent cost estimates and post-solicitation cost/price analyses on file for review by federal personnel, if applicable;
- Contract documents and amendments, including required contract provisions; and
- Other documents required by federal regulations applicable at the time a grant is awarded to a recipient.
- Additional information on required procurement records can be found on pages 24-26 of the PDAT Field Manual.

**8. Record Retention**

**a.** ***Record Retention Period***

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

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

- Records for real property and equipment acquired with Federal funds must be retained for **three years after final disposition of the property**. *See* 2 C.F.R. § 200.334(c).
- If any litigation, claim, or audit is started before the expiration of the three-year period, the records **must be retained until** all litigation, claims, or audit findings involving the records **have been resolved and final action taken**. *See* 2 C.F.R. § 200.334(a).
- The **record retention period will be extended if the non-federal entity is notified in writing** of the extension by FEMA, the cognizant or oversight agency for audit, or the cognizant agency for indirect costs, or pass-through entity. *See* 2 C.F.R. § 200.334(b).
- Where FEMA requires recipients to report program income after the period of performance ends, the **program income record retention period begins at the end of the recipient's fiscal year in which program income is earned**. *See* 2 C.F.R. § 200.334(e).
- For indirect cost rate computations and proposals, cost allocation plans, or any similar accounting computations of the rate at which a particular group of costs is chargeable (such as computer usage chargeback rates or composite fringe benefit rates), the start

of the record retention period depends on whether the indirect cost rate documents were submitted for negotiation. If the **indirect cost rate documents were submitted for negotiation, the record retention period begins from the date those documents were submitted** for negotiation. If indirect cost rate documents were **not submitted for negotiation, the record retention period begins at the end of the recipient's fiscal year or other accounting period covered by that indirect cost rate**. *See* 2 C.F.R. § 200.334(f).

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

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

- Specifications;
- Solicitations;
- Competitive quotes or proposals;
- Basis for selection decisions;
- Purchase orders;
- Contracts;
- Invoices; and
- Canceled checks.

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

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

**9. Actions to Address Noncompliance**

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

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

In the event the noncompliance is not able to be corrected by imposing additional conditions or the recipient or subrecipient refuses to correct the matter, FEMA might take other

remedies allowed under 2 C.F.R. § 200.339. These remedies include actions to disallow costs, recover funds, wholly or partly suspend or terminate the award, initiate suspension and debarment proceedings, withhold further federal awards, or take other remedies that may be legally available. For further information on termination due to noncompliance, see the section on Termination Provisions in this notice.

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

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

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

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

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

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

**10. Audits**

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

and the pass-through entity, as well as FEMA in its oversight capacity, have the right to access these records as well. *See* 2 C.F.R. §§ 200.334, 200.337.

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

The objectives of single audits are to:

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

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

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

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

FEMA, the DHS OIG, the GAO, and the pass-through entity (if applicable), as part of monitoring or as part of an audit, may review a non-federal entity's compliance with the

single audit requirements. In cases of continued inability or unwillingness to have an audit conducted in compliance with 2 C.F.R. Part 200, Subpart F, FEMA and the pass-through entity, if applicable, are required to take appropriate remedial action under 2 C.F.R. § 200.339 for noncompliance, pursuant to 2 C.F.R. § 200.505.

## 12. Payment Information

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 SF-1199A, Direct Deposit Form.

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

## 13. Whole Community Preparedness

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

Whole Community includes:

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

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

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

## 14. Appendices

1. Appendix A: Detail of Allowable Direct Costs Under HSPTAP
2. Appendix B: Project Narrative Template
3. Appendix C: Evaluation and Scoring Criteria
4. Appendix D: Budget Detail Worksheet Template

## Appendix A: Detail of Allowable Direct Costs Under HSPTAP

| Direct Cost Type | Description | Allowable Under HSPTAP? |
|---|---|---|
| **Planning** | Planning costs used to support the HSPTAP objectives and projects only as described in this notice is allowable. | **Yes** |
| **Organization** | Organization costs used to support the HSPTAP objectives and projects only as described in this notice is allowable. | **Yes** |
| **Personnel** | Personnel costs used to support the objectives and projects of the HSPTAP only as described in Section D and Appendices C, D, and F of this notice. *Specifically, personnel hiring, overtime, and backfill expenses are permitted under this program to perform allowable HSPTAP planning, training, and exercise activities.* | **Yes** |
| **Fringe Benefits** | Fringe benefits are for personnel and only for the percentage of time devoted to the project. | **Yes** |
| **Consultants / Contractors** | Hiring of full-time or part-time contract planners or consultants to assist with identifying gaps, planning, training, and exercise activities is allowable under this program. Hiring public safety personnel fulfilling traditional public safety duties is an allowable cost under this program. | **Yes** |
| **Supplies** | Materials or supplies are allowable under this program to conduct training activities such as brochures, handouts, and briefings. | **Yes** |
| **Conferences** | Rental of space/locations for conferences, meetings, workshops, and webinars are allowable under this program to perform gap identification, planning, training, and exercise activities in a manner consistent with 2 C.F.R. § 200.432. *Recipients are encouraged to use free public space/locations, whenever available, prior to the rental of space/locations.* | **Yes** |
| **Exercises** | Exercise costs used to support the HSPTAP objectives and projects only as described in this notice is allowable (e.g., planning, coordinating, and executing tabletop, functional, and full-scale exercises). | **Yes** |
| **Training** | Training costs used to support the HSPTAP objectives and projects only as described in this notice is allowable. | **Yes** |
| **Travel** | Travel costs (e.g., airfare, mileage, per diem, hotel) for recipient personnel that support the objectives and projects of the HSPTAP as described in this notice. *Domestic travel costs are allowed under this program, as provided for in this notice. International travel **is not an allowable** cost under this program unless approved in advance by DHS/FEMA* | **Yes** |
| **Equipment** | Equipment costs are **not an allowable cost** under this program. | **No** |
| **Construction / Renovation** | Construction and renovation costs are **not an allowable cost** under this program. | **No** |
| **Maintenance / Sustainment** | Maintenance and sustainment are **not an allowable cost** under this program. | **No** |

## Appendix B: Project Narrative Template

### A. Required Format

FEMA will not review or consider for funding any application that does not conform to the following criteria. Applicants must format the application according to the following guidance.

- Document Type: The Project Narrative must be submitted in Microsoft Word or Adobe Portable Document Format (PDF).
- Typeface:
  - Narrative: Times New Roman, Arial, Calibri, or Cambria; 12 pt. font size
  - Citations (in-text, endnote/footnote): Times New Roman, Arial, Calibri, or Cambria 10, 11, or 12 pt. font sizes
  - Spreadsheet or Table Data Figures, Notes, and Titles: Times New Roman, Arial, Calibri, or Cambria 10, 11, or 12 pt. font sizes
  - Graphics (such as pictures, models, charts, and graphs): Times New Roman, Arial, Calibri, or Cambria 10, 11, or 12 pt. font sizes
- Margins: 1 inch
- Indentation/Tabs: Applicant's discretion
- Page Orientation: Portrait; exception: landscape may be used for spreadsheets and tables
- Maximum number of pages, not including cover, background, budget detail worksheet, and indirect cost rate agreement: **10** (see the Project Narrative Template below for the maximum number of pages for each section).
- Graphics (e.g., pictures, models, charts, and graphs) will be accepted but are not required.
- Primary font color will be black; however, other colors such as red and blue may be used for emphasis as appropriate.
- Bold or italicized font may be used but is not required.
- Spreadsheet or table format is acceptable where appropriate (e.g., timelines and matrices) but not mandatory.

### B. Required Application Contents

Applicants must present the contents of the application using the following arrangement.

| Project Narrative Template | |
|---|---|
| **Section** | **Question** |
| **Background**<br><br>Does not count toward the total page count limitation. | Identify the primary applicant applying for the program and the Points of Contact (POC)s for this project, including the following:<br>• Name of primary applicant<br>• Name and title of the lead POC<br>• POC's full mailing address, telephone number, and email address<br>• Name and title of the single authorizing official, or AOR, for the organization (i.e., the individual authorized to sign a grant award)<br>• Authorizing official's full mailing address, telephone number, and email address |
| **Demonstration of Eligibility**<br><br>Two (2) pages maximum<br><br>**Maximum of 20 Points** | 1. Describe your organization's relationship or partnership with federal, state, local, tribal, and territorial emergency management stakeholders. This narrative must reference the following:<br>• *Number of programs and diversity in size, sector, and governance for programs that your organization engages in the emergency management community.*<br>• *Types of relationships or partnerships your organization has had with these programs.*<br>• *Number of years that your organization has had these relationships.*<br><br>2. Describe your organization's experience and/or ability to build state, local, tribal, and territorial emergency management capabilities. This narrative must reference the following:<br>• *Number and types of written products produced relating to emerging homeland security, emergency management or public safety issues.*<br>• *Number and types of educational seminars, training or workshops delivered for key homeland security and emergency preparedness stakeholders nationwide (i.e., state emergency management directors, state homeland security advisors, and other state, local and tribal officials).* |

| Project Narrative Template | |
|---|---|
| **Section** | **Question** |
| | • *Type and frequency of direct technical assistance, collaborative forums, or professional development provided to key homeland security and emergency preparedness stakeholders* |
| **Project Plan**<br><br>Four (4) Pages maximum<br><br>**Maximum of 30 points** | 1. Describe your organization's plan for meeting the objective of the HSPTAP using Section A: Program Description and Appendix D: Budget Detail Worksheet Template of this notice. Your Project Narrative should address the funding opportunity objective, one of the FY 2022 priority areas, and at least two (2) projects.<br><br>2. Describe the proposed activities of the project, including any planning, organization, training, and/or meetings. |
| **Anticipated Results**<br><br>Two (2) pages maximum<br><br>**Maximum of 30 points** | 1. Describe what results your organization anticipates from its proposed implementation of HSPTAP.<br><br>2. Describe how your organization will collect data on the performance metrics below referenced in Section A: Program Description:<br>• *Number of trainings, seminars, and workshops developed and/or delivered by the recipients to build SLTT capabilities specific to the four priority areas for FY 2022.*<br>• *Results of workshop or event surveys and evaluations.* |
| **Budget**<br><br>Two (2) pages maximum<br><br>**Maximum of 20 points** | 1. Provide a budget narrative and detailed budget worksheet of the project using Appendix D: Budget Detail Worksheet Template. Please include total project dollars in the detailed budget worksheet.<br><br>2. Describe your organization's ability to manage federal grants, such as (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing Federal awards; (4) reports and findings from audits; and (5) ability to implement effectively statutory, regulatory, or other requirements. |

## Appendix C: Evaluation and Scoring Criteria

The review panel will score applications based on specific criteria aligned to the Project Narrative requirements. The table below details the specific criteria aligned to each of the Project Narrative requirements, and the maximum number of points an application can receive for each criterion. Each question will be scored from 0-5 points, 0-10, 0-15, or 0-25 points based on the complexity within the requirement and priority to the program.

| Project Narrative Requirement | Evaluation Criteria | Possible Points |
|---|---|---|
| **Demonstration of Experience and Expertise (0-20 Points Total)** | | |
| 1. Describe your organization's relationship or partnership with state, local, tribal, and territorial emergency management stakeholders. This narrative must reference the following:<br>• *Number of programs and diversity in size, sector, and governance for programs that your organization engages in the emergency management community.*<br>• *Types of relationships or partnerships your organization has had with these programs.*<br>• *Number of years that your organization has had these relationships.* | **How clearly and comprehensively does the applicant describe and demonstrate its qualifications through Question 1?**<br><br>(0-10 points) | **0-10** |
| 2. Describe your organization's experience and/or ability to build state, local, tribal, and territorial emergency management capabilities. This narrative must reference the following:<br>• *Number and types of written products produced relating to emerging homeland security, emergency management or public safety issues.*<br>• *Number and types of educational seminars, training or workshops delivered for key homeland security and emergency preparedness stakeholders nationwide (i.e. state emergency management directors, state homeland security advisors, Governor's HSAs, and other state, local and tribal officials.).*<br>• *Type and frequency of direct technical assistance, collaborative forums, or professional development provided to key homeland security and emergency preparedness stakeholders* | **How clearly and comprehensively does the applicant describe and demonstrate its qualifications through Question 2?**<br><br>(0-10 points) | **0-10** |
| **Project Plan (0-30 Points Total)** | | |

| Project Narrative Requirement | Evaluation Criteria | Possible Points |
|---|---|---|
| 3. Describe your organization's plan for meeting the objective of the HSPTAP using Section A: Program Description and Appendix D: Budget Detail Worksheet Template. Your Project Narrative should address the funding opportunity objective, one of the FY 2022 priority areas, and at least two (2) projects. | **How well does the applicant describe a project plan that is clear, logical, and realistic?** (0-15 points) | **0-15** |
| 4. Describe the proposed activities of the project, including any planning, organization, training, and/or meetings. | **Are the proposed project activities clear, logical, and realistic?** (0-15 points) | **0-15** |
| **Impact (0-30 Points Total)** | | |
| 3. Describe what results your organization anticipates from its proposed implementation of HSPTAP. | **How clearly and comprehensively does the applicant describe their project's results using HSPTAP?** | **0-25** |
| 4. Describe how your organization will collect data on the performance metrics below referenced in Section A: Program Description:<br>• *Number of trainings, seminars, and workshops developed and/or delivered by the recipients to build SLTT capabilities specific to the four priority areas for FY 2022.*<br>• *Results of workshop or event surveys and evaluations* | **How clearly and comprehensively does the applicant describe how they will collect data for the performance metrics defined for this notice?** (0-5 points) | **0-5** |
| **Budget (0-20 Points Total)** | | |
| 5. Provide a budget narrative and detailed budget worksheet of the project using Appendix D: Budget Detail Worksheet Template. Please include total project dollars in the detailed budget worksheet. | **Did the applicant provide a budget narrative and detailed budget worksheet that are clear, logical, and identify reasonable items?** (0-10 points) | **0-10** |
| 6. Describe your organization's ability to manage federal grants, such as (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing Federal awards; (4) reports and findings from audits; and (5) ability to implement effectively statutory, regulatory, or other requirements. | **How clearly and comprehensively does the applicant demonstrate their capacity and ability to manage federal grants?** (0-10 points) | **0-10** |

## Appendix D: Budget Detail Worksheet Template

The Budget Detail Worksheet Template (below) may be used as a guide to assist applicants in the preparation of their Budget Detail Worksheet. Applicants may submit the Budget Detail Worksheet using this template or in the format of their choosing (plain sheets, independently created forms, or a variation of this form). However, applicants must provide all of the requested information identified in the general instructions, as well as the instructions for each section, and categorize it by activity and allowable cost.

### General Instructions

Populate the tables to identify the cost to implement the proposed project.

- The applicant should list and describe all activities and associated costs required to implement the project.
- The applicant should link each cost to the funding opportunity objective and project as defined in **Section A: Program Description**.
- Funds must be aligned to allowable cost categories (e.g., personnel, travel, supplies) of the NOFO objective and projects addressed in the Project Plan.
- A justification of costs for each section, including the identification of any cost savings measures, should be addressed in the Budget portion of the Project Narrative.

| HSPTAP Budget Detail Worksheet | | | |
|---|---|---|---|
| **Direct Costs** | | | |
| **A. Planning**. List planning activities and associated costs for developing and supporting HSPTAP objectives and projects only as described in this notice. | | | |
| **Name / Fee** | **Description of Activities** | **Computation** | **Cost** |
| | | | |
| | | | |
| | | **Total Planning Cost** | |
| **B. Organization**. List organization activities and associated costs for developing and supporting HSPTAP objectives and projects only as described in this notice. | | | |
| **Name / Fee** | **Description of Activities** | **Computation** | **Cost** |
| | | | |
| | | | |
| | | **Total Organization Cost** | |

**C. Personnel.** List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

| Name / Position | Description of Fringe Benefits | Computation | Cost |
|---|---|---|---|
| | | | |
| | | | |
| | | **Total Personnel Cost** | |

**D. Fringe Benefits.** Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project.

| Name / Position | Description of Fringe Benefits | Computation | Cost |
|---|---|---|---|
| | | | |
| | | | |
| | | **Total Fringe Benefits Cost** | |

**E. Consultants / Contractors.** Hiring of full-time or part-time contract planners or consultants to assist with identifying gaps, planning, training, and exercise activities is allowable under this program. List each consultant position by title and name of employee, if available. Show the hourly bill rate and the percentage of time to be devoted to the project.

| Name / Position | Description of Project Work Activities | Computation (Include bill rate) | Cost |
|---|---|---|---|
| | | | |
| | | | |
| | | **Total Consultants Cost** | |

**F. Supplies.** List items by type (office supplies, postage, training materials, brochures, copying paper, and other expendable items such as books, handheld tape recorders) and show the basis for computation. (Note: Organization's own capitalization policy and threshold amount for classification of supplies may be used). Generally, supplies include any materials that are expendable or consumed during the course of the project.

| Item Name / Type | Description of Use / Purpose | Computation (Quantity x per unit cost) | Cost |
|---|---|---|---|
| | | | |
| | | | |
| | | **Total Supplies Cost** | |

**G. Conferences.** List all conference fees / expenses by type (venue rental fees, speaker fees, registration fees, etc.), including number of intended attendees, and location. Show the basis for computation.

| Conference / Fee Name | Location | Description / Purpose and # of Attendees | Computation | Cost |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | **Total Conference Cost** | |

**H. Exercises**. List all exercise costs by type (e.g. planning, coordinating, and executing), including number of intended attendees, and location. Show the basis for computation.

| Exercise Name / Fee | Location | Description / Purpose and # of Attendees | Computation | Cost |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | **Total Exercise Cost** | |

**I. Training.** List all training or workshop fees or expenses by type (venue rental fees, instructor fees, registration fees, etc.), including number of intended attendees, and location. Show the basis for computation.

| Training Name / Fee | Location | Description / Purpose and # of Attendees | Computation | Cost |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | **Total Training Cost** | |

**J. Travel.** Itemize travel expenses of project personnel by purpose (e.g., staff to training, exercise, conference, etc.). Show the basis of computation (e.g., six people to three-day training at $X airfare, $X lodging, $X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

| Fee | Location | Description / Purpose and # of Attendees | Computation | Cost |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | **Total Travel Cost** | |

| | | |
|---|---|---|
| | **Total Direct Costs** | |

| **Indirect Costs** | | | |
|---|---|---|---|
| **K. Indirect Costs.** Indirect costs are allowable only as described in the HSPTAP funding opportunity. | | | |
| **Cognizant Federal Agency** | **Description and Purpose** | **Computation** | **Cost** |
| | | | |
| | | | |
| | | **Total Indirect Cost** | |

| **Budget Category** | **Federal Amount** | **Non-Federal Amount** | **Total** |
|---|---|---|---|
| **A. Planning** | | | |
| **B. Organization** | | | |
| **C. Personnel** | | | |
| **D. Fringe Benefits** | | | |
| **E. Consultants/Contractors** | | | |
| **F. Supplies** | | | |
| **G. Conferences** | | | |
| **H. Exercises** | | | |
| **I. Training** | | | |
| **J. Travel** | | | |
| **K. Indirect Costs** | | | |
| **TOTAL PROJECT COST** | | | |