

**The Department of Homeland Security (DHS)
Notice of Funding Opportunity (NOFO)
Earthquake Consortium and State Support (ECSS)
Direct State Assistance**

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

A. Program Description

Issued By

U.S. Department of Homeland Security (DHS), - Federal Emergency
Management Agency (FEMA), - Federal Insurance and Mitigation
Administration, - Risk Management Directorate, - Planning, Safety and Building
Sciences Division

Catalog of Federal Domestic Assistance (CFDA) Number

97.082

CFDA Title

Earthquake Consortium and State Support (ECSS)

Notice of Funding Opportunity Title

Fiscal Year 2017 Earthquake Consortium and State Support (ECSS) Direct State
Assistance

NOFO Number

FEMA Region 4	DHS-17-MT-082-04-01
FEMA Region 6	DHS-17-MT-082-06-01
FEMA Region 8	DHS-17-MT-082-08-01
FEMA Region 9	DHS-17-MT-082-09-01
FEMA Region 10	DHS-17-MT-082-10-01

Authorizing Authority for Program

The authority for FEMA's National Earthquake Hazards Reduction Program (NEHRP) to implement and operate a program of assistance to states to become more resilient to earthquake hazards comes from 42 U.S. Code 7704 (b) (2) (B)

National Earthquake Hazards Reduction Program. Specific details are provided below.

The specific authority to implement the Direct State Assistance funding opportunity through the use of Cooperative Agreements comes from 42 U.S. Code 7704 (b) ((2) (A) (ix). National Earthquake Hazards Reduction Program

Appropriation Authority for Program

The Department of Homeland Security Appropriations Act, 2017, Public Law No. 115-31.

Program Type

New

Program Overview, Priorities and Eligible Activities

Program Overview

The NEHRP seeks to mitigate earthquake losses in the United States through basic and directed research and implementation activities in the fields of earthquake science and engineering. The NEHRP program supports the mission area of the DHS Quadrennial Homeland Security Review titled “Strengthen National Preparedness and Resilience,” and supports the mitigation mission area in the National Preparedness System and National Preparedness Goal.

Program Priorities

The program prioritizes reducing the risks to life and property from future earthquakes in the United States through the establishment and maintenance of an effective earthquake hazards reduction program.

Eligible Activities for Funding under this NOFO

- 1. Develop seismic mitigation plans
- 2. Prepare inventories and conduct seismic safety inspections of critical structures and lifelines
- 3. Update building codes, zoning codes, and ordinances to enhance seismic safety
- 4. Increase earthquake awareness and education
- 5. Encourage the development of multi-State groups for such purposes

For detailed information on the five (5) eligible activities in support of the NEHRP objectives, refer to Appendix C, NEHRP Eligible Activities.

B. Federal Award Information

Award Amounts, Important Dates, and Extensions

Available Funding for the NOFO: \$714,540.00.

Projected number of Awards: 13

Period of Performance: 12 Months

Extensions to the period of performance are allowable; refer to Section H for additional information on the process for an extension.

Projected Period of Performance Start Date(s): 10/01/2017

Projected Period of Performance End Date(s): 09/30/2018

Funding Instrument

Cooperative Agreement

Under cooperative agreements, FEMA Regional Earthquake Program Managers will provide direct oversight of recipients' activities to ensure that they serve to reduce the risks to life and property from future earthquakes in the United States and enable the establishment of an effective earthquake hazards reduction program.

There will be substantial FEMA involvement in the activities of the recipient throughout the period of performance. FEMA's involvement in post-award activity will be to provide ongoing programmatic and technical guidance and support to the recipients, to ensure that the programmatic goals are achieved.

FEMA Regional Earthquake Program Managers will provide technical assistance to potential recipients during the development of the Work Plan to ensure compliance with Agency requirements and procedures.

FEMA will provide technical expertise and creative outreach ideas for at-risk communities within each eligible State and Territory to include QuakeSmart, building codes education, and other regional and national earthquake and community education activities. FEMA will provide technical expertise in developing materials and delivering joint messaging for State, Local and Tribal governments, as well as for private industry and local citizens.

FEMA will approve changes in key personnel and new sub-award arrangements to ensure compliance with program priorities and agency requirements and procedures.

FEMA will provide assistance as required with the coordination of multi-State or national initiatives that require collaboration with State officials and other federal agencies and partners.

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/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with

Federal EHP regulations, laws and Executive Orders as applicable. FEMA has prepared a Record of Environmental Consideration dated 5/30/2017 that documents EHP compliance for the range of activities eligible for funding under this NOFO pursuant to FEMA's Instructions on Implementation of the Environmental Planning and Historic Preservation Responsibilities and Program requirements, [FEMA Instruction 108-1-1](#). For additional information regarding EHP please email Ms. Portia Ross at Portia.Ross@fema.dhs.gov

C. Eligibility Information

Eligible Applicants

The following States are eligible to apply for ECSS awards:

Alabama	Nevada
Arizona	North Carolina
California	Oklahoma
Colorado	Oregon
Georgia	Tennessee
Kentucky	Utah
Mississippi	

Eligibility Criteria

States and Territories that are a) determined to be at a moderate to very high risk of earthquakes, and b) have declared that they can provide the statutory 50% non-Federal cost match for this funding opportunity (as specified below), are eligible to apply for ECSS awards.

Other Eligibility Criteria

Determination of Risk. This funding opportunity is provided to those States and Territories that have been determined to be at a moderate to very high risk of earthquakes. This determination is made and published annually by FEMA as the State Assistance Target Allocation Plan. The plan is based on the Seismic Design Category (SDC) per American Society of Civil Engineers and Structural Engineering Institute ASCE/SEI 7-10 Minimum Design Loads for Buildings and Other Structures and the 2012 International Residential Code (IRC) SDC maps. States with moderate earthquake risk (SDC C), are eligible for a baseline amount. A state with high earthquake risk (SDC D or above), will be eligible for the same baseline amount plus an additional award amount.

The additional amount is in proportion to the State's Annualized Earthquake Loss (AEL), which is from the FEMA 366 HAZUS-MH Estimated Annualized Earthquake Losses for the United States.

Maintenance of Effort (MOE)

There is no maintenance of effort required.

Cost Share or Match

Fifty Percent Cost Match Requirement. Eligibility for this funding opportunity is further limited by 44 C.F.R. § 361.4 to those States and Territories that can provide the required 50 percent cash match.

“In-kind” matching is no longer acceptable.

FEMA must adhere to the following authorities and guidelines in administering NEHRP:

- The [Earthquake Hazards Reduction Act of 1977 \(Public Law 95–124\)](#)
- The [National Earthquake Hazards Reduction Program \(NEHRP\) Reauthorization Act of 2004 \(Public Law 108–360\)](#),
- [Code of Federal Regulations \(CFR\) Title 44, Part 361 - National Earthquake Hazards Reduction Assistance to State and Local Governments, Subpart A – Earthquake Hazards Reduction Assistance Program](#),
- Code of Federal Regulations [Title 2 - Subtitle A - Chapter II - Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#) (Note: CFR – Title 2, Subtitle A, Chapter II, Part 200 replaces regulations that apply to federal financial assistance that streamlines the language from eight previous OMB circulars into one consolidated set of guidance in the Code of Federal Regulations. OMB Circulars replaced by this include A-21, A-87, A-89, A-102, A-110, A-122, and A-133.)

FEMA will use 44 C.F.R. § 361, National Earthquake Hazards Reduction Assistance to State and Local Governments, as the principal guidance for the administration of the ECSS Direct State Assistance funding opportunity.

This funding opportunity must follow FEMA regulations, CFR Title 44, Section 361.4 (b)(4) – *Matching Contributions*, which states “For the fourth and subsequent fiscal years, full cost sharing will be implemented, requiring a minimum of a 50 percent non-Federal contribution to a State program, with this share required to be cash. In-kind matching will no longer be acceptable. Thus, every dollar FEMA provides to a State must be matched by one dollar from the State.”

States and Territories that wish to participate in the ECSS, Direct Funded State Assistance funding opportunity shall follow criteria outlined in 44 CFR 361.5 – *Criteria for Program Assistance, Matching Contributions, and Return of Program Assistance*.

CFR Title 44, Chapter I, Subchapter F, Section 361.5 (a)(3)(i-ii) contains instructions which the State or Territory’s Governor or designee must follow in certifying the actions the State or Territory will take to meet the 50% cash contribution commitment.

It reads, “The Governor of the newly participating State must certify to the FEMA Regional Administrator the State will take steps to meet the 50 percent cash contribution requirement after the third year of funding. The **specific steps** to be taken will be outlined in the certification which must be submitted prior to the State receiving program funds. The Governor must certify the State’s continued commitment in the second and third years of funding. The certification will describe the progress made on the steps contained in the previous year’s certification and steps to be taken in the future. The certification must be submitted to the Regional Administrator before the State will receive program funds.”

The Governor’s designee may be the signer of the certification, and the certification from the Governor’s designee must be submitted as a part of the application for this funding opportunity.

FEMA will follow CFR Title 44, Section 361.7 – *General Eligible Expenditures*, for determination of eligible expenditures in both direct and indirect costs for use as part of the 50 percent cash match cost share from the States and Territories.

Having submitted the certification in response to this NOFO, the State will have met its obligation under CFR Title 44, Section 361.5.

D. **Application and Submission Information**

Key Dates and Times

Date Posted to Grants.gov:	07/21/2017
Application Submission Deadline:	08/28/2017 at 12:00 AM EDT
Anticipated Funding Selection Date:	09/25/2017
Anticipated Award Date:	09/29/2017

Applications that are not submitted within the stated Application Submission Deadline will not be reviewed or considered for funding. System issues with the Grants.gov or ND Grants system and/or other unforeseeable circumstances that are out of the applicants control will be taken into consideration with regards to the stated Application Submission Deadline of this NOFO.

Other Key Dates

Event	Suggested Deadline For Completion
Obtaining DUNS Number	Four weeks before actual submission deadline
Obtaining a valid EIN	Four weeks before actual submission deadline
Updating SAM registration	Four weeks before actual submission deadline
Starting application in Grants.gov	One week before actual submission deadline
Submitting complete application in ND Grants System	One week before actual submission deadline

Address to Request Application Package

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Applicants” then “Apply for Grants,” read the registration requirements and register if necessary (**Allow up to 7-10 business days after you submit before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information**). In order to obtain the application package select “Download a Grant Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this NOFO, select “Download Package,” and then follow the prompts to download the application package.

If you need assistance applying through Grants.gov, please go to <http://www.grants.gov/web/grants/applicants/grant-application-process.html>, contact support@grants.gov, or call 800-518-4726. FEMA cannot assist applicants with questions related to registering with Grants.gov.

For a hardcopy of the full NOFO, please write or email a request to the appropriate FEMA Regional Point of Contact as indicated in Section G of this NOFO

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

Initial applications will be processed through the Grants.gov portal and final and complete application submission will be processed through ND Grants.

Eligible applicants will be notified by FEMA and asked to proceed with submitting their complete application package in ND Grants located <https://portal.fema.gov>. Applicants can register early with ND Grants and are encouraged to begin their ND Grants registration at the time of this announcement. Early registration will allow applicants to have adequate time to start and complete their application.

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

Content and Form of Application Submission

Applying for an award under this program is a multi-step process and requires time to complete. To ensure that an application is submitted on time applicants are advised to start the required steps well in advance of their submission. **Please review the table above under “Submission Dates and Other Key Dates and Times” for estimated deadlines to complete each of the steps listed below.**

Failure of an applicant to comply with any of the required steps before the deadline for submitting their application will automatically disqualify their application from funding.

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

1. Applying for, updating or verifying their DUNS Number
2. Applying for, updating or verifying their EIN Number
3. Updating or verifying their SAM Number
4. Submitting an initial application in Grants.gov, and
5. Submitting the complete application in ND Grants

Hard copy applications will not be accepted.

Before you can apply for a DHS grant at grants.gov, you must have a DUNS number, be registered in SAM, and be approved as an Authorized Organizational Representative (AOR).

As stated in Part C, Eligibility Information, in the section titled Cost Match or Share, CFR Title 44, Chapter I, Subchapter F, Section 361.5 (a)(3)(i-ii) contains instructions which the State or Territory’s Governor or designee must follow in certifying the actions the State or Territory will take to meet the 50% cash contribution commitment.

The certification must be submitted to the Regional Administrator before the State will receive program funds. This certification needs to include a budget that describes how the cash match funding will be met by the State.

Unique Entity Identifier and System for Award Management (SAM)

Before you can apply for a DHS grant at grants.gov, you must have a DUNS number, be registered in SAM, and be approved as an Authorized Organizational Representative (AOR).

Applicants are encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines.

DUNS Number.

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

System for Award Management.

In addition to having a DUNS number, applicants applying electronically through Grants.gov must register with SAM. Step-by-step instructions for registering with SAM can be found here:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>. Failure to register with SAM will result in your application being rejected by Grants.gov during the submissions process.

Authorized Organizational Representative.

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

<http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>.

AOR Authorization.

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

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

<http://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html>.

Electronic Signature.

Applications submitted through Grants.gov constitute a submission as electronically signed applications. When you submit the application through Grants.gov, the name of your AOR on file will be inserted into the signature line of the application.

If you experience difficulties accessing information or have any questions please call the grants.gov customer support hotline at (800) 518-4726 or email [grants.gov](mailto:support@grants.gov) at <mailto:support@grants.gov>.

The Federal awarding agency may not make a Federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

Employer Identification Number (EIN)

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

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

Submitting an Initial Application in Grants.gov

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

- Application for Federal Assistance Standard Form 424 (SF-424);

The SF-424 is available online at the [Grants.gov](https://grants.gov) website. The form can be accessed by clicking on the Forms Tab and then selecting the [SF-424 Family](#). The initial application cannot be started or submitted in Grants.gov until the applicant's registration in SAM is confirmed.

Submitting the Complete Application in Non-Disaster Grants System (ND Grants).

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. Early registration will allow applicants to have adequate time to start and complete their application.

In ND Grants, applicants will be prompted to submit all of the information contained in the following forms. Applicants should review these forms before applying to ensure they include all required information. Forms are located at <http://www.grants.gov/web/grants/forms/sf-424-mandatory-family.html#sortby=1>.

- Budget Information for Non-Construction Programs (SF-424A);
- Assurances for Non-Construction Programs (SF-424B);
- Disclosure of Lobbying Activities (SF-LLL);
- Indirect Cost Rate Agreement, if applicable

In addition, applicants must submit the following in ND Grants:

Work Plan

A summary (narrative) of an applicant's **Work Plan** for cooperative agreement funding that identifies the strategies, goals, and proposed activities and elements demonstrating enhanced seismic safety must be submitted. Work Plans must include expected products and measurable improvements associated with proposed activities, as identified below. Appendix A provides a template.

1. A separate one page **Master Schedule** of planned activities/projects with milestones and expected dates for completion shall be included.
2. A **Deliverable Table** shall be included to identify planned deliverables (i.e. people trained, publications distributed, conferences/workshops/drills held, policies made, website improvements, etc.).

(Master Schedule/Deliverable Table – A sample table that combines both of these is found in Appendix B. This one document will suffice for both requirements of a Master Schedule and a Deliverable Table.)

3. A **Cooperative Agreement Budget** Using Earned Value Management methodology shall be included. To prepare the Cooperative Agreement Budget, the grantee must use Earned Value Management methodology to report the Budgeted Cost of Work Scheduled (Projected Costs), and the Actual Cost of Work Performed. The Cooperative Agreement Budget shall be prepared with Work Breakdown Structure cost categories. Tasks and sub-tasks will be categorized in terms of discrete effort and shall correlate directly with the work plan master schedule and deliverables identified in the work plan delivery table. Use a monthly spreadsheet approved by the appropriate FEMA Regional Earthquake Program Manager (See Appendix F, SAMPLE Cooperative Agreement Budget). The budget should be broken down by tasks.

Provide summary amounts per task, and proposed sub-tasks. Note: The budget described in this paragraph is one that provides information regarding the State/Territory Work Plan and is different than the “Detailed Budget” described in the following paragraph.

Detailed Budget

The applicant must provide a Detailed Budget for the funds requested. The Detailed Budget must be submitted with the grant application as a file attachment within the ND Grants system at <https://portal.fema.gov>. **The budget must be complete, reasonable, and cost-effective in relation to the proposed project.** The budget should provide the basis of computation of all project-related costs, any appropriate narrative, and a detailed justification of Management and Administrative (M&A) costs.

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

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

Applicants will also be required to assure compliance with all Standard and Special Terms and Conditions before being eligible to receive an award under this program.

Governor’s Certification of Cost Match

States and Territories who wish to participate in the ECSS, Direct State Assistance funding opportunity shall follow criteria outlined in 44 CFR 361.5 – *Criteria for Program Assistance, Matching Contributions, and Return of Program Assistance*.

CFR Title 44, Chapter I, Subchapter F, Section 361.5 (a)(3)(i-ii) contains instructions which the State or Territory’s Governor or designee must follow in certifying the actions the State or Territory will take to meet the 50% cash contribution commitment.

It reads, “The Governor of the newly participating State must certify to the FEMA Regional Administrator the State will take steps to meet the 50 percent cash contribution requirement after the third year of funding. The specific steps to be taken will be outlined in the certification which must be submitted prior to the State receiving program funds.

Submission of the Governor's Certification of Cost Match as part of the ND Grants application will meet the requirements stated in CFR Title 44, that the certification be submitted to the Regional Administrator before the State will receive program funds. The certification must be addressed to the Regional Administrator, and must be signed by the Governor or the Governor's designee.

Intergovernmental Review

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

Funding Restrictions

Federal funds made available through this award may only be used for the purpose set forth in this award and must be consistent with the statutory authority for the award. Award funds may not be used for matching funds for any 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.

General eligible and ineligible expenditures.

General eligible and ineligible expenditures for this Notice of Funding Opportunity are cited in CFR Title 44, Sections 361.7 and 361.8 respectively.

Management and Administration (M&A) Costs.

FEMA has determined that Management and Administration costs ARE allowed under this program. Management and Administration costs are activities directly related to implementing the award. Funding levels for M&A costs, if proposed will be negotiated on a per-applicant basis.

Indirect Facilities & Administrative (F&A) Costs.

General eligible expenditures (indirect costs) are described in 44 C.F.R. § 361.7. This section also states that items which do not appear in 44 C.F.R. § 361.7, will be considered on a case-by case basis for policy determinations, based on criteria set forth in 44 C.F.R. § 361.5. Ineligible expenditures are described in 44 C.F.R. § 361.8

Indirect costs are those that have been incurred for common or joint purposes. These costs benefit more than one cost objective and cannot be readily identified with a particular final cost objective.

Pre-Award Costs

Pre Award Costs are NOT allowed under this program.

Direct Costs

- Planning related costs are allowed under this program.
- Training related costs are allowed under this program.
- Exercise related costs are not allowed under this program.
- Equipment costs are NOT allowed under this program.
- Domestic travel costs are allowed under this program.
- International travel is not an allowable cost under this program unless approved in advance otherwise by FEMA.
- Construction and renovation costs are NOT allowed under this program.
- Earth Science related costs are NOT allowed under this program.

Other Submission Requirements

None.

E. Application Review Information Application Evaluation Criteria

Prior to making a Federal award, FEMA is required by 31 U.S.C. 3321 and 41 U.S.C. 2313 to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information. Therefore application evaluation criteria may include the following risk based considerations of the applicant: (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing federal award; (4) reports and findings from audits; and (5) ability to effectively implement statutory, regulatory, or other requirements.

Review and Selection Process

FEMA Regional staff, professionally and technically qualified in the National Earthquake Hazards Reduction Program will evaluate and select applications for funding. Applicants will be evaluated for funding based on the following:

- The applicant demonstrates the expertise necessary (Education, training and/or experience of project staff) to develop and implement activities proposed in support of the goals and objectives of the National Earthquake Hazards Reduction Program.
- The applicant's proposed work plan employs realistic timetables; proposed projects are deliverable, sustainable and consistent with the goals and objectives of the National Earthquake Hazards Reduction Program.
- The applicant proposes costs that are allowable, reasonable and cost-effective in relation to proposed projects and tasks.

Applications are also reviewed by qualified FEMA Regional grants management staff to ensure compliance with grants management principles, such as administrative requirements and cost principles. Applicants/applications that do not meet eligibility or submission requirements are removed from consideration.

For those awards greater than the simplified acquisition threshold, currently \$150,000 (see 2 CFR §200.88), the following requirements apply:

- i. DHS will review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).
- ii. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.
- iii. DHS will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR §200.205 Federal awarding agency review of risk posed by applicants.

Anticipated Announcement and Federal Award Dates

Awards will be announced no later than September 29, 2017.

F. Federal Award Administration Information Notice of Award

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

Recipients must accept their awards no later than 90 days from the award date. The recipient shall notify the awarding agency of its intent to accept and proceed with work under the award, 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 pages 40 – 43 in the [ND Grants Grantee Training Manual](#). Funds will remain on hold until the recipient accepts the award through the ND Grants system and all other conditions of award have been satisfied, or the

award is otherwise rescinded. Failure to accept the grant award within the 90 day timeframe may result in a loss of funds.

The amount of funds stated in the Award Letter may be withdrawn as needed through PARS, with the submission of the SF-425.

Administrative and National Policy Requirements

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

[DHS Standard Terms and Conditions](#)

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

Before accepting the award the AOR should carefully read the award package for instructions on administering the grant award and the terms and conditions associated with responsibilities under Federal Awards. Recipients must accept all conditions in this NOFO as well as any Special Terms and Conditions in the Notice of Award to receive an award under this program.

Reporting

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

Financial and Compliance Audit Report:

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of GAO's Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and the requirements of Subpart F of 2 C.F.R. Part 200, located [here](#).

Federal Financial Reporting Requirements.

The Federal Financial Reporting Form (FFR) is available online at: <https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortby=1>

FEMA utilizes the Payment and Reporting System (PARS) for financial reporting, invoicing and tracking payments. DHS/FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to Recipients.

To enroll in the DD/EFT, the Recipient must complete a Standard Form 1199A, Direct Deposit Form found at <http://www.gsa.gov/portal/forms/download/115702>.

Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425) and must be filed electronically using PARS. An FFR report must be submitted quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. Future awards and fund drawdowns may be withheld if these reports are: delinquent, demonstrate lack of progress, and/or are insufficient in detail.

Program Performance Reporting Requirements.

See Appendix E for complete reporting requirements.

Reporting Due Dates

The following reporting periods and due dates apply

Reporting Period	Report Due Date
October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30

Close Out Reporting Requirements.

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

After these reports have been reviewed and approved by FEMA a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR.

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

G. DHS Awarding Agency Contact Information

Contact and Resource Information

GPD's Grant Operations Division Business Office and the Grants Management Divisions within Regional offices provide financial support and technical assistance, including password resets and registration requests, questions

regarding period of performance reporting, payment status, amendments, closeouts, and tracking de-obligation and award amounts. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 via e-mail to ASK-GMD@dhs.gov.

Grants Management Specialist within each FEMA awarding office manage, administer and conduct application budget review, create the award package, approve, amend and close out awards, as well as conduct cash analysis, financial monitoring, and audit resolution for this program.

FEMA Headquarters Program Office Contacts:

David Javier
FEMA/NEHRP Sr. Program Specialist
Building Science Branch, Risk Management Directorate
DHS/FEMA Federal Insurance and Mitigation Administration
400 C Street SW, Suite 313
Washington, DC 20472-3020
Email: gabriele.javier@fema.dhs.gov
Office: 202-646-4037

Wendy Phillips
FEMA/NEHRP Emergency Management Specialist
Building Science Branch, Risk management Directorate
DHS/FEMA Federal Insurance and Mitigation Administration
400 C Street SW, Suite 313
Washington, DC 20472-3020
Email: wendy.phillips@fema.dhs.gov
Office: 202-646-2810

FEMA Regional Program Contacts

Region IV (Alabama, Georgia, Kentucky, Mississippi, North Carolina, Tennessee)

Noriko Boston
3003 Chamblee-Tucker Road
Atlanta, Georgia 30341
Email: Noriko.boston@fema.dhs.gov
Office: 770-220-8870

Region VI (Oklahoma)

Bart Moore
800 North Loop 288
Denton, Texas 76209
Email: bart.moore@fema.dhs.gov
Office: 940-898-5363

Region VIII (Colorado, Utah)

Sean McGowan
Denver Federal Center, Building 710A
Denver, Colorado 80225
Email: sean.mcgowan@fema.dhs.gov
Office: 303-235-4681

Region IX (Arizona, California, Nevada)

Michael Hornick
1111 Broadway
Oakland, California 94607
Email: michael.hornick@fema.dhs.gov
Office: 510-627-7260

Region X (Oregon)

Gala Gulascik
130 228th Street, SW
Bothell, Washington 98021
Email: gala.gulacsik@fema.dhs.gov
Office: (425) 487-4573

FEMA Office of Environmental Planning and Historic Preservation (OEHP)

OEHP provides guidance and information about the EHP review process to FEMA programs and its recipients and sub-recipients. All inquiries and communications about EHP compliance for FEMA grant projects or the EHP review process should be sent to Portia.Ross@fema.dhs.gov.

H. Additional Information

See Appendices for additional application, performance reporting information, and templates.

- A. NEHRP Cooperative Agreement Statement of Work
- B. Combined Master Schedule/Deliverable Table
- C. NEHRP Eligible Activities
- D. NEHRP FY17 State Funding Allocations
- E. Performance Report Template
- F. SAMPLE, Detailed Budget

Payment

FEMA utilizes the Payment and Reporting System (PARS) for financial reporting, invoicing and tracking payments. Additional information can be obtained at <https://isource.fema.gov/sf269/execute/LogIn?sawContentMessage=true> .

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

Monitoring

Grant Award recipients will be monitored programmatically and financially by the appropriate FEMA Region on an annual and as needed basis by FEMA staff to ensure that the activities and project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

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

Modifications/Extensions

Extensions to this program will be considered and allowability determined on a case-by-case basis.

Extensions to the initial period of performance identified in the award will be considered only through formal, written requests to the grantee's respective FEMA Regional Earthquake Program Manager and must contain specific and compelling justifications as to why an extension is required. Grantees are advised to coordinate with their FEMA Regional representative as needed, when preparing an extension. Extension requests should be made 60-90 days in advance of the end of the Period of Performance. All extension requests must address the following:

1. Grant Program, Fiscal Year, and award number;
2. Reason for delay – this must include details of the legal, policy, or operational challenges being experienced that prevent the final outlay of awarded funds by the applicable deadline;
3. Current status of the activity/activities;
4. Approved period of performance termination date and new project completion date;
5. Amount of funds drawn down to date;
6. Remaining available funds, both Federal and non-Federal;
7. Budget outlining how remaining Federal and non-Federal funds will be expended;
8. Plan for completion including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and

9. Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work approved by FEMA.

Conflict of Interest

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

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

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

Appendix A. – NEHRP Cooperative Agreement Statement of Work

FY 18 WORK PLAN

[Insert Organizational Name]

Earthquake Consortium and State Support (ECSS) CFDA Number 97.082

DHS NOFO Number

Date

Narrative Description

I. Organizational Information

Insert description of the organization's mission and structure, goals and targeted outcomes, (including summary introduction/overview of project(s), successes, and capacity, to include how organization can support the requirements detailed in Part A, Program Overview, Objectives and Priorities section of the NOFO.

II. Project Proposals and associated Goal(s)

Insert a detailed narrative description of each proposed project and its associated goal(s) in alignment with the eligible activities detailed in Appendix C and the period of performance and funding terms in Part B of the NOFO.

III. Tasks, Schedule, & Deliverables Table:

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

Project Management Strategy:

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

Contact Information;

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

Appendix B. – Combined Master Schedule/Deliverable Table Example

Projects & Tasks	Schedule	Budget	Measurable Deliverable
Task 1: Prepare Inventory of Critical Structures			
Sub-Task 1: Prepare Inventory Plan	Nov 2017	\$xx,xxx	Approved State Plan & Timeline
Sub-Task 2: Conduct and Document Inventory	Apr 2018	\$xx,xxx	Inventory conducted
Sub-Task 3: Prepare and Publish Final Inventory Document	Jun 2018	\$xx,xxx	Final Inventory published
Task 2: Develop Seismic Mitigation Plans			
Sub-Task 1: Develop Draft Plan	Sep 2017	\$xx,xxx	Draft Plan reviewed/approved by State EM Dir.
Sub-Task 2: Incorporate Critical Inventory information and finalize Plan	Jun 2018	\$xx,xxx	Plan updated and reviewed/approved by State EM Dir.
Sub-Task 3: Publish Plan (Print and online versions)	Aug 2018	\$xx,xxx	Plan reviewed/approved by State EM Dir.
Sub-Task 4: Incorporate seismic plan in State Multi-Hazard Mitigation Plan	Sep 2018	\$xx,xxx	State Multi-Hazard Mitigation Plan updated to reflect new seismic mitigation plan
Task 3: Increase Earthquake Awareness (Great ShakeOut Participation)			
Sub-Task 1: Developed and Distribute Flyers and Web content	Jan 2018	\$xx,xxx	# of publications printed and distributed/Websites updated
Sub-Task 2: Host planning workshop	Mar 2018	\$xx,xxx	# of participants attending training
Sub-Task 3: Conduct ShakeOut event	Oct 2018	\$xx,xxx	# of participants (individuals and organizations)
Sub-Task 4: Develop Lessons Learned Report	Oct 2018	\$xx,xxx	Final Report made available to FEMA

Appendix C. NEHRP Eligible Activities

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

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

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

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

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

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

For more information, visit the International Code Council at www.iccsafe.org.

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

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

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

NOTE: Earth Science activities and earthquake exercises are not eligible for funding under this Notice of Funding Opportunity. Additional FEMA grant resources are available to support and complement other earthquake related activities such as public drills, exercises and Earth Science activities. For more information, visit <https://www.fema.gov/grants>.

Appendix D. – NEHRP State Allocations

Start here

REGION IV	
Alabama	\$30,000.00
Georgia	\$30,000.00
Kentucky	\$33,128.00
Mississippi	\$31,227.00
North Carolina	\$30,000.00
Tennessee	\$37,566.00
REGION VI	
Oklahoma	\$30,942.00
REGION VIII	
Colorado	\$30,000.00
Utah	\$37,153.00
REGION IX	
Arizona	\$31,865.00
California	\$309,854.00
Nevada	\$36,217.00
REGION X	
Oregon	\$46,588.00
OVERALL TOTAL	\$714,540.00

Appendix E. – Performance Report Template

QUARTERLY PERFORMANCE PROGRESS REPORT TEMPLATE

Reporting requirements must be met throughout the life of the NEHRP – Earthquake Consortium and State Support (ECSS) Cooperative Agreement.

Recipients should follow the guidance on performance and financial reporting provided in the link below:

https://www.ecfr.gov/cgi-bin/text-idx?SID=c748ec27d046d388e2ff0b9cf74f6d07&mc=true&node=sq2.1.200_1326.sq4&rqn=div7

Recipients shall submit to ND Grants a Quarterly Report in narrative, and table format. Recipients shall update the Work Plan, Master Schedule, and Deliverable Table, outlining work completed, expected products, and measurable improvements. The Quarterly Report shall capture both training and publication distribution metrics, document and explain missed milestones, and identify any projects at risk, accompanied by a risk mitigation strategy.

The Quarterly Report shall also contain the Cooperative Agreement Budget using Earned Value Management methodology to report the Budgeted Cost of Work Scheduled (Projected Costs), and the Actual Cost of Work Performed.

The Cooperative Agreement Budget shall be prepared with Work Breakdown Structure cost categories (grantees may obtain a sample budget spreadsheet from the FEMA Regional Earthquake Program Manager). Tasks and sub-tasks will be categorized in terms of discrete effort and shall correlate directly with deliverables identified in the Work Plan Deliverable Table.

Reporting is also required on subcontracts, in the same manner as listed above, which based on risk, schedule, or dollar value criticality may potentially impact successful fulfillment of this cooperative agreement.

Quarterly Reports are due by the 30th (or the first working day following, if the 30th falls on a weekend) following the completion of the quarter. See quarterly reporting due dates below:

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

Quarterly reports are critical Program tools to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria as detailed in the awardee's approved Work Plan are being met.

Appendix F. – SAMPLE, Cooperative Agreement Budget

The Detailed Budget must be submitted with the grant application as a file attachment within the ND Grants system at <https://portal.fema.gov>. **The budget must be complete, reasonable, and cost-effective in relation to the proposed project.** The budget should provide the basis of computation of all project-related costs, any appropriate narrative, and a detailed justification of Management and Administrative (M&A) costs. For a copy of the spreadsheet illustrated below, contact your Regional Earthquake Program Manager.

National Earthquake Hazards Reduction Program (NEHRP)																	
Earthquake Consortium and State Support (ECSS)																	
Direct State Assistance Cooperative Agreement																	
SAMPLE Cooperative Agreement Budget																	
Projected Monthly and Quarterly Costs																	
State/Territory: _____ Date Updated: _____																	
Total Federal Funding Amount: _____																	
Total State Match Amount: _____																	
Total Budget: \$0.00																	
ELIGIBLE ACTIVITIES	Oct	Nov	Dec	1st Qtr Totals	Jan	Feb	Mar	2nd Qtr Totals	Apr	May	Jun	3rd Qtr Totals	Jul	Aug	Sep	4th Qtr Totals	Total Cost
Develop Seismic Mitigation				\$0.00				\$0.00				\$0.00				\$0.00	\$0.00
Activity Name																	
Activity Name																	
Activity Name																	
Prepare Inventories and Conduct Seismic Safety Inspections of Critical Structures and Lifelines				\$0.00				\$0.00				\$0.00				\$0.00	\$0.00
Activity Name																	
Activity Name																	
Activity Name																	
Update Building Codes, Zoning Codes, and Ordinances to Enhance Seismic Safety				\$0.00				\$0.00				\$0.00				\$0.00	\$0.00
Activity Name																	
Activity Name																	
Activity Name																	
Increase Earthquake Awareness and Education				\$0.00				\$0.00				\$0.00				\$0.00	\$0.00
Activity Name																	
Activity Name																	
Activity Name																	
Encourage the Development of Multi-State Groups that support local earthquake safety and other eligible activities				\$0.00				\$0.00				\$0.00				\$0.00	\$0.00
Activity Name																	
Activity Name																	
Activity Name																	
TOTALS				1st Quarter Total: \$0.00				2nd Quarter Total: \$0.00				3rd Quarter Total: \$0.00				4th Quarter Total: \$0.00	\$0.00

NOTES:

1. Enter "projected" monthly totals for each Eligible Activity. Quarterly and FY Totals will auto-calculate

2. Enter "Activity Name" under the appropriate Eligible Activity title. Activity Names should be consistent with the Work Plan.