

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

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)/Resilience/National Preparedness Directorate (NPD)/National Preparedness Assessment Division (NPAD)

Assistance Listings Number (formerly Catalog of Federal Domestic Assistance Number)
97.131

Assistance Listings Title (formerly CFDA Title)
EMBAG

Notice of Funding Opportunity Title
Emergency Management Baseline Assessments Grant (EMBAG)

NOFO Number
DHS-19-NPD-131-00-01

Authorizing Authority for Program
Section 503(b)(2)(G) of the Homeland Security Act of 2002, as amended ([6 U.S.C. § 313\(b\)\(2\)\(G\)](#))

Appropriation Authority for Program
Department of Homeland Security Appropriations Act, 2019 ([Pub. L. No. 116-6](#)), Title III Protection, Preparedness, Response, and Recovery, Federal Emergency Management Agency, Operations and Support

Program Type
New

Program Overview, Objectives, and Priorities

Overview

The Fiscal Year (FY) 2019 Emergency Management Baseline Assessment Grant (EMBAG) Program's purpose is to support the development, maintenance, update, revision, and enhancement of national industry standards for emergency management and the assessment of emergency management programs and professionals against those standards. Specifically, the EMBAG Program supports the development, maintenance, update, revision, and enhancement of national industry standards for emergency preparedness and response that are consensus-driven and established, validated, and revised through peer-review; and related efforts to develop or update American National Standards Institute (ANSI) certification for these standards. The EMBAG also supports the assessment of select state, local, tribal, and territorial emergency management programs and professionals against these national industry standards.

The EMBAG Program helps ensure that jurisdictions have accredited emergency management programs and certified emergency managers in place in advance of an incident. The assessment process for the accreditation and certification processes enables jurisdictions to understand the capacity and shortfalls of their emergency management programs and professionals, which allows them to identify strengths and weaknesses and develop a path to accreditation or certification.

Objective

The FY 19 EMBAG Program provides funding to eligible applicants to develop, maintain, and update national industry standards for emergency management that align to the seven Community Lifelines (Lifelines) of Safety and Security; Food, Water and Sheltering; Health and Medical; Energy (Power and Fuel); Communications; Transportation; and Hazardous Material. Lifelines are a tool that allows for decision makers across the nation to rapidly determine whether an incident is large or complex; prioritize and focus response efforts to maintain or restore the most critical services and infrastructure; ensure limited resources can go toward a common goal that requires involvement across the whole community; and promote a response that fosters better integration and communication through management that transcends public and private sector boundaries. For more information on Lifelines, use the following link: [Community Lifelines Implementation Toolkit](#).

The FY 2019 EMBAG Program plays an important role in the National Preparedness System (the System) to build, sustain, and deliver core capabilities to achieve the National Preparedness Goal (the Goal). The Goal is “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.” The objective of the National Preparedness System is to facilitate an integrated, whole community, risk-informed, capabilities-based approach to preparedness. Complex and far-reaching threats and hazards need the engagement of individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (<http://www.fema.gov/whole-community>). For more information on the System, refer to [Appendix A: Relevant FEMA Doctrine and Policy](#) in this NOFO.

The assessment and accreditation of emergency management programs and professionals against consensus-based and ANSI-certified national standards enables benchmarking and validation of critical functions necessary to build, sustain, and deliver the 32 core capabilities identified in the Goal. Part of DHS/FEMA's (FEMA's) mission is to advance all-hazards preparedness by assessing and communicating the investments, activities, and accomplishments as they relate to national preparedness. This mission is driven and supported by the Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA). The EMBAG Program also supports the Quadrennial Homeland Security Review Mission to Strengthen National Preparedness and Resilience.

By advancing the Goal through ANSI-certified national standards, the EMBAG Program also supports the FEMA 2018-2022 Strategic Plan, specifically through the alignment of its activities and tasks with the following goals and objectives:

- **Goal 1, Objective 1.3** to "Build a Culture of Preparedness and "Help People Prepare for Disasters;"
- **Goal 1, Objective 1.4** to "Build a Culture of Preparedness" and "Better Learn from Past Disasters, Improve Continuously, and Innovate;"
- **Goal 2, Objective 2.1** to "Ready the Nation for Catastrophic Disasters" and "Organize the "BEST" (Build, Empower, Sustain, and Train) scalable and capable incident workforce;"
- **Goal 2, Objective 2.4** to "Ready the Nation for Catastrophic Disasters" and "Improve Continuity and Resilient Communications Capabilities;" and
- **Goal 3, Objective 3.2** to "Reduce the Complexity of FEMA" and "Mature the Disaster Recovery Framework."

Priorities

The FY 2019 EMBAG Community Lifeline Priority Areas

The FY 2019 EMBAG Program targets solutions that address gaps in capabilities and contribute to efforts to reduce risk and support rapid stabilization and restoration of the following Community Lifeline Priority Areas:

Community Lifeline Priority Area	Primary Lifeline Component		
All	Planning	Operational Coordination	Situational Assessment
All seven Community Lifelines [Safety and Security; Food, Water, and Sheltering; Health and Medical; Energy (Power and Fuel); Communications; Transportation; and Hazardous Waste] align with the common core capabilities for Planning, Operational Coordination, and Situational Assessment. Emergency management programs require these capabilities to successfully execute response operations and emergency management professionals require the ability to support emergency management programs in doing so. FEMA invites applicants to submit applications that identify and address solutions for current and emerging gaps in emergency management program accreditation and emergency management professional certification that empower jurisdictions to better address and prepare for disasters.			

Return on Investment

The EMBAG Program is designed and delivered to identify and close critical gaps in emergency management. Jurisdictions can use the results of the assessment and accreditation process to build, sustain, and improve preparedness activities, as well as inform proposed investment justifications under other FEMA preparedness grant programs. For example, the results can inform the development of Stakeholder Preparedness Reviews. The assessments provide jurisdictions with an accounting of current capability levels and gaps that jurisdictions can use to prioritize future resource investments. More information on Stakeholder Preparedness Reviews is located at <https://www.fema.gov/stakeholder-preparedness-review> and within this NOFO document in [Appendix A: Relevant FEMA Doctrine and Policy](#), under the paragraph describing the [Comprehensive Preparedness Guide \(CPG\) 201: Threat and Hazard Identification and Risk Assessment \(THIRA\) and Stakeholder Preparedness Review \(SPR\) Guide, Third Edition](#).

The certification process for emergency managers similarly raises and maintains standards for emergency management professionals. These standards define benchmarks and provide professionals with a tool to document their qualifications and progress towards certification. Using these standards, professionals achieve the skills necessary to effectively manage emergency management programs.

The return on investment of this program is measured by the percent increase in emergency management programs and professionals that achieve national-level accreditation and certification, respectively, as a result of the FY19 EMBAG Program investment. In administering this grant, FEMA uses a systematic, measurable, and capabilities-based approach to optimize accreditation and certification, align resources to address capability gaps through the most effective and efficient means available, and ensure a sound return on investment.

Through this agreement, FEMA requires EMBAG recipients to collect and submit information necessary to calculate metrics on accreditation or certification to determine the effectiveness of the EMBAG grant program, including the following:

- Number of jurisdiction emergency management programs funded through the EMBAG Program that achieve national-level accreditation;
- Number of jurisdiction emergency management programs funded through the EMBAG that report improvement in their program as a result of the accreditation process);
- Number of emergency management professionals funded through the EMBAG that achieve national-level certification as emergency managers.

Performance Metrics

Outcome for Emergency Management Programs:

Jurisdictions' emergency management programs meet a standardized benchmark of critical functions necessary to prepare to manage disasters.

1. *Measure 1*: Number of jurisdictions that reported one or more aspects of their emergency management program “noticeably improved as a part of the accreditation process.”

2. Measure 2: Percent of jurisdictions participating in the assessment process for the current fiscal year that become accredited.

Outcome for Emergency Management Professionals:

Emergency Management Professionals meet a standardized benchmark of critical functions necessary to manage emergency management programs.

3. Measure 1: Number of Emergency Managers certified through the Certification of Emergency Managers Program.

B. Federal Award Information

Award Amounts, Important Dates, and Extensions

Available Funding for the NOFO: \$824,379

Projected number of Awards: 2

Period of Performance: 12 months

Extensions to the period of performance are permitted. Please refer to “[Section H. Additional Information](#), Extension,” which specifies what steps recipients must follow and what information must be included in the justification for such a request to be considered.

Projected Period of Performance Start Date(s): 09/01/2019

Projected Period of Performance End Date(s): 08/31/2020

Funding Instrument

Grant

C. Eligibility Information

Eligible Applicants

FEMA has determined that Emergency Management Accreditation Program (EMAP) and the International Association of Emergency Managers (IAEM) are the only entities capable of effectively developing, maintaining, and updating national-level industry standards for accrediting and certifying emergency management programs and professionals and conducting assessments against them. Specifically, EMAP and IAEM retain the sole administrative rights to administer the EMAP Program and the Certified Emergency Manager (CEM®), respectively, which are both benchmarks for excellence and the most widely adopted models for assessing and accrediting or certifying state, local, tribal, and territorial programs or professionals in the emergency management community. Based on these qualifications, EMAP and IAEM Program are the only entities eligible to apply.

Maintenance of Effort (MOE)

There is no Maintenance of Effort requirement for this program.

Cost Share or Match

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

D. Application and Submission Information

Key Dates and Times

Date Posted to Grants.gov: 6/21/2019

Application Submission Deadline: 7/22/2019 at 11:59:59 PM Eastern Daylight Time (EDT)

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 the full application. **FEMA will not review applications submitted after the deadline or consider them for funding.** FEMA may, however, extend the application deadline, upon request, for any applicant who can demonstrate that good cause exists to justify extending the deadline. Good cause for an extension may include technical problems outside of the applicant's control that prevent submission of the application by the deadline, or other exigent or emergency circumstances. Extensions based on exigent or emergency circumstances will be made on case-by-case basis, with the final determination resting with FEMA. If applicants experience technical issues, they must notify their FEMA program manager referenced in [Section G: DHS Awarding Agency Contact Information](#). If this contact is not available 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.gov, Monday through Friday, 9:00 a.m. – 5:00 p.m. ET.

Anticipated Funding Selection Date: 7/29/19

Anticipated Award Date: 8/9/2019

Other Key Dates

Event	Suggested Deadline for Completion
Obtaining DUNS Number	Four weeks before actual submission deadline: (6/24/2019)
Obtaining a valid EIN	Four weeks before actual submission deadline: (6/24/2019)
Updating SAM registration	Four weeks before actual submission deadline: (6/24/2019)
Starting application in Grants.gov	One week before actual submission deadline: (7/15/2019)
Submit final application in ND Grants	One week before actual submission deadline: (7/15/2019)

Agreeing to Terms and Conditions of the Award

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

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.” To obtain the application package, select “Download a Grant Application Package.” Enter the Assistance Listings (formerly 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.

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.

FEMA will process initial applications through the Grants.gov portal and the complete application through the ND Grants System.

Content and Form of Application Submission

Applying for an award under this program is a multi-step process and requires time to complete. **To ensure that FEMA will consider your application for funding, applicants should start the prerequisite steps required to submit an application well in advance of the submission deadline, leaving enough time to submit an application by the deadline in the event a technical or other issue arises. The registration process can take four weeks or longer to complete. Please review the table above under “Submission Dates and Other Key Dates and Times” for estimated deadlines to complete each of the prerequisite steps listed below.** Failure of an applicant to comply with any of the required steps before the application deadline may disqualify their application from funding.

The following prerequisite steps are required to apply for an award under this program:

1. Applying for, updating, or verifying their DUNS Number
2. Applying for, updating, or verifying their EIN Number
3. Updating or verifying their System for Award Management (SAM) Number
4. Create a user name and password with Grants.gov to become an Authorized Organizational Representative (AOR)
5. Submitting an initial application in Grants.gov, and
6. Submitting the complete application in Non-Disaster Grants.

FEMA will only accept electronic applications. It will not accept hard copy applications.

Unique Entity Identifier and System for Award Management (SAM)

1. Data Universal Number System (DUNS) number.

Instructions for obtaining a DUNS number are available 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.

2. Employer Identification Number (EIN)

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, as 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: <https://www.irs.gov/businesses/small-businesses-self-employed/how-to-apply-for-an-ein>. FEMA cannot assist applicants with questions related to obtaining a current EIN.

3. System for Award Management (SAM)

Step-by-step instructions for registering with SAM can be found at <http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>. Failure to register with SAM will result in the rejection of your application by Grants.gov during the submission process.

4. Authorized Organizational Representative (AOR).

The next step in the registration process is to create a username and password with Grants.gov to become an AOR. AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR. Applicants often miss this step; however, it is crucial for valid submissions. To read more detailed instructions for creating a profile on Grants.gov visit <https://www.grants.gov/web/grants/applicants/registration.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 receiving the POC's approval, the AOR will be able to apply online. To learn more about AOR Authorization, visit <https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>. To track AOR status, visit <https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>.

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 applicants to submit their applications online

through Grants.gov. 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 at support@grants.gov.

The Federal awarding agency will not grant a Federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time 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.

How to Register to Apply through Grants.gov

1. *Instructions:* Read the instructions below about registering to apply for DHS funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

The registration process can take up to four weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required application submission deadlines.

Organizations must have a DUNS Number, active SAM registration, and Grants.gov account to apply for grants.

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

Organization applicants can find complete instructions here:
<https://www.grants.gov/web/grants/applicants/organization-registration.html>.

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

For more detailed instructions for obtaining a DUNS number, refer to <https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>.

3. *Register with SAM:* In addition to having a DUNS number, all organizations applying online through Grants.gov must register with the 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>.

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

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

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

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

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

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

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

8. *Electronic Signature:* When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize individuals who are able to make legally binding commitments on behalf of the organization as an AOR; **this step is often missed, and it is crucial for valid and timely submissions.**

How to Submit an Application to DHS via Grants.gov

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different Webforms within an application. For each Notice of Funding Opportunity, you can create individual instances of a workspace.

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>.

1. *Create a Workspace:* Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
2. *Complete a Workspace:* Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission.
3. *Adobe Reader:* If you decide not to apply by filling out 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>.

4. *Mandatory Fields in Forms:* In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
5. *Complete SF-424 Fields First:* The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.
6. *Submit a Workspace:* An application may be submitted through workspace by clicking the “Sign and Submit” button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package **at least 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.
7. *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.

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

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant for which you are applying.

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 DHS with tracking your issue and understanding background information on the issue.

Submitting an Initial Application in Grants.gov

All applicants must submit their initial application through Grants.gov. If do you not already have a user profile on Grants.gov, you will need to create one by visiting the *Get Registered* section of the Grants.gov website. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Applicants should complete this initial step on-line, which requires completing:

- Standard Form 424 (SF-424), Application for Federal Assistance.

Funding Restrictions

The form is available in the Forms tab under SF-424 Family. The initial application cannot be started or submitted in Grants.gov unless the applicant's registration in SAM is confirmed.

ND Grants will retrieve the information submitted in Grants.gov, which will allow FEMA to determine if an applicant is eligible.

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

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

FEMA will notify eligible applicants after the initial application is submitted in Grants.gov 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.

ND Grants will prompt applicants to submit all 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>.

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form LLL, Disclosure of Lobbying Activities

- Indirect Cost Rate Agreement, if applicable

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

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

Applicants needing assistance registering for the ND Grants system should contact ndgrants@fema.dhs.gov or (800) 865-4076.

Timely Receipt Requirements and Proof of Timely Submission

Online Submissions. All applications must be received by **7/22/2019 at 11:59:59 PM EDT** on the due date established for each program. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When DHS successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role who submitted the application. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by DHS.

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

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/2017/11/SPOC-Feb.-2018.pdf>).

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 award, 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.

Management and Administration (M&A) Costs.

M&A activities are those directly relating to the management and administration of the EMBAG funds, such as financial management and monitoring. Recipients may retain a maximum of 15 percent of EMBAG funds awarded for M&A purposes associated with the EMBAG award.

Indirect Facilities & Administrative (F&A) Costs.

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

Other Submission Requirements

EMBAG-specific application instructions for proposal submission are included in [Appendix C: EMBAG-Specific Application Instructions for Submitted Proposal](#).

Pre-Award Costs

Pre-award costs **are NOT** allowable.

Direct Costs

Please note that [Appendix B: Detail of Allowable Direct Costs Under EMBAG](#) of this NOFO contains additional information on direct costs allowed and not allowed under this program.

Planning

Planning-related costs **are allowed** under this program only as described in this NOFO.

Please refer to [Appendix B: Detail of Allowable Direct Costs Under EMBAG](#) of this NOFO for additional information.

Organization

Organization-related costs **are NOT** allowed under this program.

Equipment

Equipment costs **are NOT** allowed under this program.

Training

Training-related costs **are allowed** under this program only as described in this NOFO.

Please refer to [Appendix B: Detail of Allowable Direct Costs Under EMBAG](#) of this NOFO for additional information.

Exercises

Exercise-related costs **are allowed** under this program only as described in this NOFO. Please refer to [Appendix B: Detail of Allowable Direct Costs Under EMBAG](#) of this NOFO for additional information.

Personnel

Personnel costs **are allowable** under this program only as described in this NOFO. Please refer to [Appendix B: Detail of Allowable Direct Costs Under EMBAG](#) of this NOFO for additional information.

Travel

Domestic travel costs **are allowed** under this program only as described in this NOFO. Please refer to [Appendix B: Detail of Allowable Direct Costs Under EMBAG](#) of this NOFO for additional information.

International travel **is NOT** allowed under this program.

Construction and Renovation

Construction and renovation costs **are NOT** allowed under this program.

Cost Principles

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

E. Application Review Information

Financial Integrity Criteria

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

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

Application Evaluation Criteria

FEMA will review and recommend applications for funding based on the following factors:

- The applicant demonstrates the expertise necessary to fulfill the requirements of the EMBAG Program.
- The applicant meets the Eligibility Criteria in [Section C: Eligibility Information](#) of this NOFO.

- Proposed activities and tasks employ sound concepts and techniques; present realistic timetables; and are deliverable, sustainable, and compatible with the goals and objectives of the EMBAG Program.
- Proposed activities comply with the Application Submission information presented in [Section D: Application and Submission Information](#) and [Appendix C: EMBAG-Specific Instructions for Submitted Proposals](#).
- Proposed costs are complete, reasonable and cost-effective in relation to proposed activities and tasks.

Review and Selection Process

Initial Review

FY 2019 RCPGP applications will receive an initial screening to verify applicant eligibility by FEMA prior to application consideration. FEMA will not process incomplete applications for further review and will not consider them for funding.

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:

- Applicant demonstrates the expertise necessary to fulfill the requirements of the EMBAG Program and is eligible as defined under the Eligible Applicants header of [Section C: Eligibility Information](#) of this NOFO.
- Applicant has submitted all required assurances and standard forms.
- Application complies with the Application Submission information presented in [Section D: Application and Submission Information](#) and [Appendix C: EMBAG-Specific Instructions for Submitted Proposals](#).

Application Review Process

Applications will be reviewed by staff from the applicable FEMA program office at FEMA headquarters. Applicants that do not meet eligibility and application submission requirements will not be reviewed.

Application Selection Process

FEMA will select applications that comply with the Application Submission information presented in [Section D: Application and Submission Information](#) and [Appendix C: EMBAG-Specific Instructions for Submitted Proposals](#) from applicants that conform to the Eligibility Criteria in [Section C: Eligibility Information](#) of this NOFO.

Supplemental Financial Integrity Review

If the anticipated federal share of a federal award will be greater than the simplified acquisition threshold, currently \$250,000 (see Section 805 of the National Defense Authorization Act for Fiscal year 2008, Pub. L. No. 115-91, OMB Memorandum M-18-18 at <https://www.whitehouse.gov/wp-content/uploads/2018/06/M-18-18.pdf>):

- Prior to making a federal award with a total amount of federal share greater than the simplified acquisition threshold, DHS is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).
- 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.
- 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 C.F.R. § 200.205 federal awarding agency review of risk posed by applicants.

F. Federal Award Administration Information

Notice of Award

The ND Grants system will notify applicants of award approval through an automatic electronic mail to the awardee-authorized official listed in the initial application. The “award date” for the FY 2019 EMBAG Program will be the date that FEMA approves the award. The awardee should follow the directions in the notification to confirm acceptance of the award.

Recipients must accept their awards no later than 60 days from the award date. The recipient shall notify the awarding agency of its intent to accept and proceed with work under the award through the ND Grants system. For instructions on how to accept or decline an award in the ND Grants system, please see the *ND Grants Recipient Training Manual*.

Funds will remain on hold until the recipient accepts the award through the ND Grants system and satisfies all other conditions of award, or if the award is otherwise rescinded. Failure to accept the grant award within the 60-day timeframe may result in a loss of funds.

Administrative and National Policy Requirements

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.

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 award acceptance. Future awards and funds drawdown may be withheld if these reports are delinquent.

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 (Federal Financial Report) FFR and final progress report detailing all accomplishments and a summary of the impact of those accomplishments throughout the period of performance, as well as the following documentation:

- 1) Final request for payment, if applicable;
- 2) SF-425 – Final Federal Financial Report;
- 3) Final Performance Progress Report attached in ND Grants;
- 4) Other documents required by program guidance or terms and conditions of the award. See Additional Program Requirements below.

Federal Financial Reporting Requirements

Recipients must report obligations and expenditures on a quarterly basis through the FFR (SF-425) to FEMA. Recipients must file the FFR electronically using the Payment and Reporting System ([PARS](#)). An FFR must be submitted quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. The final FFR is due 90 days after the end of the performance period. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

Recipients may review the FFR at <https://www.gsa.gov/forms-library/Federal-financial-report>.

Financial Reporting Periods and Due Dates

The following reporting periods and due dates apply for the FFR:

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

Financial and Compliance Audit Report

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all Federal funding sources during their fiscal year are required to

submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of Government and Accountability Office's (GAO) Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and the requirements of Subpart F of 2 C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?node=sp2.1.200.f>.

Program Performance Reporting Requirements

Recipients are responsible for providing updated performance reports to FEMA in Microsoft Word document summary on a quarterly basis. The report is due within 30 days after the end of the reporting period. Recipients must submit it as an attachment to the ND Grants system. Performance Progress Reports must include information on those jurisdictions which completed an assessment and the jurisdictions which are planning an assessment for the next reporting period. All reporting, including that described under "Additional Program Requirements" below, must be uploaded as an attachment in ND Grants.

Performance Reporting Periods and Due Dates

The following reporting periods and due dates apply for the quarterly performance reports:

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

Additional Program Requirements

These instructions are relevant to the objectives and tasks outlined in [Appendix C: EMBAG-Specific Instructions for Submitted Proposals](#). Please use this appendix for reference in reviewing the following reporting requirements.

1. Both recipients, in addition to the reporting described above, must do the following:
 - a. Within 10 days of the award, the recipients and FEMA will meet to establish the structure, requirements, milestones, and level of support for establishing and maintaining the deliverables required to meet the program objectives.
 - b. The recipients must each provide a written monthly report to FEMA. The report must include a summary of activities/deliverables completed since the last report, a list of costs incurred, and a schedule of upcoming emergency management program assessments or emergency management professional certifications. Cost breakouts must be organized into assessment, training, and program management categories, and must cover the full list of recipient responsibilities described in this NOFO.
2. For the recipient competent in emergency management program accreditation, the following reporting requirements specifically apply (3. a. - e.):
 - a. At the conclusion of each Baseline Assessment, the recipient must provide a Baseline Assessment Report, which identifies the jurisdiction assessed and reports on the results of each jurisdiction assessed to FEMA. The recipient must provide

these reports to FEMA and the assessed jurisdiction no later than three months after the assessment process is complete.

- b. The recipient must hold monthly conference calls with the FEMA program manager to discuss progress in implementing the requirements listed in this NOFO. During each conference call, the recipient must provide a detailed assessment schedule for the next six months and a list of those jurisdictions that are interested in pursuing an assessment in the next 12 to 18 months.
- c. The recipient must provide an Annual Baseline Assessment Summary Report by December 31, 2020 to FEMA that lists the assessments accomplished, the trends identified in the assessments, and any changes made to improve the efficiency and effectiveness of the assessment process. This report must reflect results of baseline assessments conducted during the period, identify trends, and summarize the state of the nation's preparedness as determined through the application of nationally recognized emergency management standards.
- d. The recipient must submit the results of any annual survey of EMBAG participants as described in [Section A: Program Description](#) and [Section D: Application and Submission Information](#) of this NOFO and [Appendix C: EMBAG-Specific Instructions for Submitted Proposals](#) no later than December 31, 2020.
- e. For Tasks I-V:
 - i. The monthly report mentioned in 1. b. above must address all 3 Objectives and their 16 sub-parts defined in the [Instructions Specific to Applicant Competent in Emergency Management Program Accreditation](#) in [Appendix C: EMBAG-Specific Instructions for Submitted Proposals](#) of this NOFO.
 - 1. In addition to the above, monthly reports must also include a separate break-out of costs for the Tasks I-IV and Task V described in the [Instructions Specific to Applicant Competent in Emergency Management Program Accreditation](#) in [Appendix C: EMBAG-Specific Instructions for Submitted Proposals](#) of this NOFO. Specifically, costs for Tasks I-IV and Task V must be broken out separately from each other and from the other NOFO Objectives.
 - ii. For Tasks I-IV:
 - 1. Within 60 days of the award, the recipient and FEMA will meet to establish the specific data collection form content and process for Tasks I-IV and process for Task V. Data collection forms will be finalized by the recipient based on this meeting and no more than 30 days after this meeting.
 - 2. The recipient must provide informal summary reports to FEMA upon request for single data collection task iterations.
 - 3. By the end of the grant year, the recipient must provide to FEMA a summary report on data collection tasks, described in the [Instructions Specific to Applicant Competent in Emergency Management Program Accreditation](#) in [Appendix C: EMBAG-](#)

[Specific Instructions for Submitted Proposals](#) of this NOFO, that is separate from the Annual Baseline Assessment Report.

iii. For Task V:

1. The recipient must submit to FEMA a summary report of findings and results for the Continuity Assessment Tool task, described in the [Instructions Specific to Applicant Competent in Emergency Management Program Accreditation](#) in [Appendix C: EMBAG-Specific Instructions for Submitted Proposals](#) of this NOFO, no later than 30 days after the assessment takes place.
3. For the recipient competent in emergency management professional certification, the following reporting requirements specifically apply (4. a. - c.):
 - a. In all reporting (monthly or annually) for Objective 2, the recipient must provide to FEMA a summary report on certifications obtained by candidates monthly and annually.
 - b. The recipient must hold monthly conference calls with the FEMA program manager to discuss progress in implementing the requirements listed in this NOFO. During each conference call, the recipient must provide a detailed certification schedule for the next six months and state how many candidates are interested in pursuing certification in the next 12 to 18 months.
 - c. The recipient must provide an Annual Certification Summary Report by December 31 to FEMA that lists the number of candidates that achieved certification, the trends identified in the certifications, and progress made in implementing Objectives 1, 2, 3, and 4, or updates, revisions, and enhancements to the national-level emergency manager certification standards and process. This report must reflect results of certifications conducted during the period, identify trends, and summarize the state of the nation's emergency management professionals' capability as determined through the application of nationally recognized emergency management standards.
 - i. The monthly report mentioned in 1. b. above must address all four objectives and their sub-activities defined in the [Instructions Specific to Applicant Competent in Emergency Manager Certification](#) in [Appendix C: EMBAG-Specific Instructions for Submitted Proposals](#) of this NOFO.
 - ii. In addition to the above, monthly reports must also include separate cost breakouts for each of the four objectives.

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 performance progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance.

If applicable, an inventory of all construction projects that used funds from this program must be reported with the final progress report.

After these 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 deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR, unless a longer period applies, such as due to an audit, litigation, or other circumstances outlined in 2 C.F.R. § 200.333.

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

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 a federal agency, the recipient must notify the federal agency if it knows if any of the recipient's principals under the award fall under one or more of the four criteria listed at [2 C.F.R. § 180.335](#). At any time after accepting the award, if the recipient learns that any of its principals falls under one or more of the criteria listed at [2 C.F.R. § 180.335](#), the recipient must provide immediate written notice to the federal agency in accordance with [2 C.F.R. § 180.335](#).

G. DHS Awarding Agency Contact Information

Contact and Resource Information

For Program Questions:

Sharon Kushnir

FEMA

Tel: 202-786-9451

Cell: 202-368-4469

Email: Sharon.kushnir@fema.dhs.gov

For Financial and Administrative Questions:

DHS/FEMA/GPD Grant Operations Division

GPD's Grant Operations Division Business Office provides support regarding financial matters and budgetary technical assistance. Additional guidance and information can be obtained by contacting the FEMA Call Center via email to ASK-GMD@fema.gov.

For Systems Questions:

Grants.gov

For technical assistance with [Grants.gov](https://www.grants.gov), please call the [Grants.gov](https://www.grants.gov) customer support hotline at (800) 518-4726. Grants.gov Applicant Support is available 24/7 (except federal holidays). For more information: <https://www.grants.gov/web/grants/support.html>.

ND Grants System

For technical assistance with the ND Grants System, please contact the ND Grants Helpdesk at ndgrants@fema.dhs.gov or (800) 865-4076, Monday through Friday, 9 a.m. – 5 p.m. ET.

Payment and Reporting System (PARS)

FEMA uses the DHS/FEMA [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, the recipients must complete a Standard Form 1199A, Direct Deposit Form.

H. Additional Information

Extensions

FEMA will generally not extend the period of performance of an award. FEMA will only grant extensions to an award's period of performance on request for any recipient who can demonstrate good cause exists to justify extending the period of performance. Good cause for an extension may include technical problems outside of the recipient's control that prevent completion of the award by the end of the period of performance, or other exigent or emergency circumstances. Extensions based on exigent or emergency circumstances will be made on case-by-case basis, with the final determination resting with FEMA.

A recipient may request an extension to the initial period of performance identified in the award through a formal written request to FEMA. The request must contain specific and compelling justifications as to why an extension is required. The recipient should coordinate with FEMA as needed when preparing an extension. All extension requests must address the following:

- Grant program, fiscal year, and award number;
- 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;
- Current status of the activity/activities;
- Approved period of performance termination date and new project completion date;
- Amount of funds drawn down to date;
- Remaining available funds, both Federal and non-Federal;
- Budget outlining how remaining Federal and non-Federal funds will be expended;
- Plan for completion including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
- Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work approved by FEMA.

Extension requests will be granted only due to compelling legal, policy, or operational challenges. Extension requests will only be considered for the following reasons:

- Contractual commitments by the grant recipient with vendors or subrecipients prevent completion of the project within the existing period of performance;

- The project must undergo a complex environmental review that cannot be completed within this timeframe;
- Projects are long-term by design, and therefore acceleration would compromise core programmatic goals; and
- Where other special circumstances exist.

Monitoring and Evaluation

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

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

Procurement Integrity

Through audits conducted by DHS Office of Inspector General (OIG) and FEMA grant monitoring, findings have shown that some FEMA recipients have not fully adhered to the proper procurement requirements when spending grant funds. Anything less than full compliance with Federal procurement policies jeopardizes the integrity of the grant as well as the grant program. Noncompliance with the Federal procurement rules may result in FEMA imposing specific conditions as described in 2 C.F.R. § 200.207 or other remedies for noncompliance under 2 C.F.R. § 200.338.

The below highlights the Federal procurement requirements for FEMA recipients when procuring goods and services with Federal grant funds. DHS will include a review of recipients' procurement practices as part of the normal monitoring activities. **All procurement activity must be conducted in accordance with Federal Procurement Standards at 2 C.F.R. §§ 200.317 – 200.326.** Select requirements under these standards are listed below. The recipient must comply with all requirements, even if they are not listed below.

Under 2 C.F.R. § 200.317, when procuring property and services under a Federal award, states must follow the same policies and procedures they use for procurements from their non-Federal funds; additionally, states must follow 2 C.F.R. § 200.322 regarding procurement of recovered materials, and 2 C.F.R. § 200.326 regarding required contract provisions.

All other non-Federal entities, such as tribes, must use their own documented procurement procedures which reflect applicable state, local, territorial and tribal laws and regulations, provided that the procurements conform to applicable Federal law and the standards identified in 2 C.F.R. Part 200. These standards include, but are not limited to, providing for full and open competition consistent with the standards of 2 C.F.R. § 200.319.

Competition and Conflicts of Interest

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

Under this prohibition, unless the non-Federal entity solicits for and awards a contract covering both development and execution of specifications (or similar elements as described above), and this contract was procured in compliance with 2 C.F.R. §§ 200.317 – 200.326, Federal funds cannot be used to pay a contractor to carry out the work if that contractor also worked on the development of such specifications. This rule applies to all contracts funded with Federal grant funds, including pre-award costs, such as grant writer fees, as well as post-award costs, such as grant management fees.

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

- Placing unreasonable requirements on firms 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.
- Any arbitrary action in the procurement process.

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

Pursuant to 2 C.F.R. § 200.318(c)(1), non-Federal entities other than states are required to maintain written standards of conduct covering conflicts of interest and governing the actions of their employees engaged in the selection, award, and administration of contracts. **No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest.** Such conflicts of interest would arise when the employee, officer or agent, any member of his or her

immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract.

The officers, employees, and agents of the non-Federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. However, non-Federal entities may set standards for situations in which the financial interest is not substantial, or the gift is an unsolicited item of nominal value. The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the non-Federal entity.

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

Documentation

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

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

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

1. Specifications
2. Solicitations
3. Competitive quotes or proposals
4. Basis for selection decisions
5. Purchase orders
6. Contracts
7. Invoices
8. Cancelled checks

Non-Federal entities should keep detailed records of all transactions involving the grant. FEMA may at any time request copies of purchasing documentation along with copies of cancelled checks for verification.

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

Appendix A: Relevant FEMA Doctrine and Policy:

- **National Preparedness System (NPS)**

The NPS serves as the instrument the Nation employs to build, sustain, and deliver core capabilities in order to achieve the [National Preparedness Goal](#) (the Goal) of “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.” The Goal defines resilience as the ability to adapt to changing conditions and withstand and rapidly recover from disruption due to emergencies.

Information on the National Preparedness System can be found at <https://www.fema.gov/national-preparedness-system>. Information on the Goal can be found at <https://www.fema.gov/national-preparedness-goal>.

- **National Continuity Policy**

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

Information on National Continuity Programs can be found at <https://www.fema.gov/national-continuity-programs> and the 2018 Continuity Guidance Circular is located at <https://www.fema.gov/media-library/assets/documents/132130>.

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

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

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

NQS supporting documentation is located at <https://www.fema.gov/media-library/assets/documents/151291>.

- **FEMA Public Assistance Program and Policy Guide (PAPPG), v3.1 (April 2018)**

The Public Assistance Program and Policy Guide (PAPPG) combines all Public Assistance (PA) policy into a single volume and provides an overview of the PA Program implementation process with links to other publications and documents that provide additional process details.

Information on aspects of disaster cost recovery referenced in this notice of funding opportunity can be found in the PAPPG, which is located at <https://www.fema.gov/media-library/assets/documents/111781>.

- **National Disaster Recovery Framework (NDRF), Second Edition**

The NDRF establishes a common platform and forum for how the whole community builds, sustains, and coordinates delivery of recovery capabilities through the effective coordination of partners and resources to ensure the continuity of services and support to meet the needs of affected community members. Information on the NDRF can be found at <https://www.fema.gov/national-disaster-recovery-framework>.

- **Pre-Disaster Planning Guide for States (November 2016)**

Information for state, territorial, local, and tribal governments on creating an organizational framework for comprehensive recovery efforts can be found in the Pre-Disaster Recovery Planning Guide for States, which is located at <https://www.fema.gov/media-library/assets/documents/128572>.

- **Comprehensive Preparedness Guide (CPG) 201: Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) Guide, Third Edition**

CPG 201, Third Edition provides guidance for conducting the three-step process for a Threat and Hazard Identification and Risk Assessment (THIRA) and the three-step process for a Stakeholder Preparedness Review (SPR), formerly the State Preparedness Report. CPG 201, Third Edition includes both the THIRA and SPR because they are interconnected processes that, together, communities use to evaluate their preparedness. All types of communities can complete the THIRA/SPR as a way to better understand the risks they face and make important decisions on how to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risks.

For purposes of SHSP and UASI, FEMA requires states, territories, and Urban Areas to complete a Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) (formerly known as the State Preparedness Report) and prioritize grant funding to support closing capability gaps or sustaining capabilities identified in this process.

Information on CPG 201, Third Edition can be found at <https://www.fema.gov/media-library/assets/documents/165308>.

Appendix B: Detail of Allowable Direct Costs Under EMBAG

Direct Cost Type	Description	Allowable Under EMBAG?
Planning	Costs used to address the assessment and the accreditation or certification processes.	Yes
Planning	Costs used to address and carry out the objectives and tasks described in Section D and Appendix C of this NOFO.	Yes
Organization	N/A	No
Equipment	N/A	No
Training	Costs used to address the training needed for assessors to complete the assessment of emergency management programs funded by the EMBAG as part of the accreditation process.	Yes
Training	Costs used to address and carry out the objectives and tasks described in Section D and Appendix C of this NOFO.	Yes
Training	Costs not related to addressing and carrying out the specific objectives and tasks outlined in Section D and Appendix C of this NOFO, such as training for candidates of accreditation and certification not funded by the EMBAG not described in this NOFO.	No
Training	Costs related to state, local, tribal, and territorial student travel to classes at FEMA facilities.	No
Exercises	Costs used to address and carry out the objectives and tasks described in Section D and Appendix C of this NOFO.	Yes
Personnel	Costs used to address and carry out the objectives and tasks described in Section D and Appendix C of this NOFO. Specifically, personnel hiring, overtime, and backfill expenses are permitted under this program to perform allowable EMBAG planning, training, and exercise activities. Under the EMBAG Program, overtime costs are allowable only insofar as they meet the intent of the program.	Yes
Travel - Domestic	Costs for recipient personnel and assessors funded by the EMBAG grant.	Yes
Travel - Domestic	Costs related to state, local, tribal, and territorial student travel to classes at FEMA facilities.	No
Travel - International	N/A	No
Construction and Renovation	N/A	No

Appendix C: EMBAG-Specific Application Instructions for Submitted Proposal

The instructions outlined in this appendix provide a reference for how applications will be evaluated during application review. For more information, please refer to [Section E: Application Review Information](#) of this NOFO.

Instructions Specific to Applicant Competent in Emergency Management Program Accreditation

Overview

The applicant must propose and provide support for the inclusion of the key considerations and practices of the Threat, Hazard, and Risk Identification and Assessment (THIRA) as part of the ANSI national standards for emergency management program accreditation and ensure these standards are also aligned with the following FEMA guidance, also outlined and described in [Appendix A: Relevant FEMA Doctrine and Policy](#):

- [National Preparedness System \(NPS\)](#)
- [National Continuity Policy](#), particularly the [2018 Continuity Guidance Circular](#)
- [National Incident Management System \(NIMS\)](#) and the [National Qualification System \(NQS\)](#)
- [Public Assistance Program and Policy Guide \(PAPPG\), v3.1 \(April 2018\)](#)
- [National Disaster Recovery Framework \(NDRF\), Second Edition \(June 2016\)](#)
- [Pre-Disaster Recovery Planning Guide for States \(November 2016\)](#)
- [Comprehensive Preparedness Guide \(CPG\) 201: Threat and Hazard Identification and Risk Assessment \(THIRA\) and Stakeholder Preparedness Review \(SPR\) Guide, Third Edition](#)

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

1. Emergency Management Program Administration, including Authorities, Oversight, and Strategic Planning;
2. Development and use of a THIRA;
3. Continuity of Government and Continuity of Operations;
4. Incident Management, to include NIMS and NQS Implementation;
5. Emergency Management Finance, including Disaster Cost Recovery;
6. Operations and Procedures;
7. Consequence Analysis;
8. Emergency Planning, including Mutual Aid, Communications, and Warning;
9. Evacuation and Shelter in Place;
10. Mass Care and Sheltering;
11. Resource Management and Logistics;
12. Recovery;
13. Disaster Housing;
14. Hazard Mitigation;

15. Training and Exercises, including Alignment with the Homeland Security Exercise and Evaluation Program (HSEEP); and
16. Public Affairs.

Objectives

The applicant will be responsible for the following Objective requirements (3) and their subparts (16) and will outline how they intend to meet them in their Work Plan. These tasks support developing, updating, revising, and enhancing national-level industry standards for emergency management and the assessment of emergency management programs against those standards. Specifically, these tasks consist of:

1. Maintaining and revising the ANSI-certified standards through continual engagement with emergency management professionals to ensure that the standards meet a consensus-based description of requirements necessary for a successful emergency management program regardless of size, which includes:
 - a. Maintaining ANSI-certified national standards that are consistent with:
 - (1) the NPS; and
 - (2) PPD-40, National Continuity Policy.
 - b. Recommending the inclusion of the key considerations and practices central to the THIRA methodology as part of the ANSI standards.
 - c. Implementing the following supporting activities:
 - (1) Presenting the accreditation process and the emergency management standards and accreditation guidelines at National Emergency Management Association (NEMA) and IAEM annual conferences and providing a copy of the briefing to FEMA 10 days before the conferences to review.
 - (2) Maintaining a web-based portal for jurisdiction self-assessments.
 - (3) Executing a peer-review process for emergency management program accreditation.
 - (4) Conducting a follow-up survey with jurisdictions that have completed baseline assessments requesting feedback on the process. A copy of the survey and the results of the survey should be provided annually to FEMA as described in [Section E: Application Review Information](#) of this NOFO.
 - (5) Providing webinars for training on standards and training on emergency management program standards and the accreditation process.
 - (6) Providing training for assessors.
 - (7) Developing additional emergency preparedness and response standards and peer-assessment and accreditation processes as needed.
 - (8) Providing FEMA a report with an annual trend analyses of common problem areas identified in the self-assessments and peer-review assessments.
2. Assessing emergency management program adherence to the standards with a team of emergency management officials from jurisdiction emergency management programs, including:
 - a. Securing agreements for and completing approximately 10 jurisdictions' assessments against ANSI-approved national standards.

- b. Incorporating a review of the THIRA as part of the assessments if a jurisdiction is required to submit a THIRA and an SPR.
 - c. Incorporating the 2017 NIMS refresh, the Homeland Security Exercise and Evaluation Program (HSEEP), the 2018 Continuity Guidance Circular (CGC); Federal Continuity Directives (FCDs), the PAPPG, the NDRF, and other DHS/FEMA guidance and policy, as appropriate, in its assessments.
 - d. Conducting four separate data collection tasks for at least 10 jurisdictions in tandem with each jurisdiction assessment conducted as part of this program and provide results to FEMA as described in [Section E: Application Review Information](#) of this NOFO. Specific content for the data collection forms used to conduct these data collection efforts will be developed no later than 30 days after the initial FY19 EMBAG kickoff meeting, which will be held no later than 60 days after the FY19 EMBAG is awarded. All tasks review jurisdiction plan and process alignment to FEMA doctrine, which consists of reviewing the alignment of jurisdictions':
 - (1) Continuity Plans to National Continuity Policy;
 - (2) Resource management systems to NIMS/NQS;
 - (3) EOPs and Recovery Plans or their equivalents to PAPPG and NDRF guidance; and
 - (4) Threat and Hazard Identification and Risk Assessment submission to CPG 201.
 - e. Supporting FEMA in conducting six assessments using the Continuity Assessment Tool (CAT) and providing results to FEMA as described in [Section E: Application Review Information](#) of this NOFO.
3. Supporting initial efforts to operationalize the national-level standards used to accredit emergency management programs.

Detailed Instructions for Objectives 2. d. and 2. e.

The applicant is responsible for the following data collection tasks (I-IV) and assessment task (V) as part of Objective 2. above:

- **For Tasks I-IV: The applicant must provide FEMA a final report for each task that covers all assessments conducted using the data collection forms as described in [Section E: Application Review Information](#) of this NOFO.**
 - The applicant will conduct these tasks for at least 10 jurisdiction program on-site assessments supported by the FY19 EMBAG.
 - The applicant will coordinate with relevant FEMA programs through FEMA to develop data collection forms with specific language and guidance materials no later than 30 days after the first kickoff meeting for the grant, which will take place no more than 60 days after the FY 2019 EMBAG grant award date.
 - The applicant should include the name, publication date, and section of the jurisdiction plan (Tasks I, III, IV) or resource management system (Task II) to which the item and any of its subparts align.
 - Where indicated in the data collection forms, the applicant should describe the process for each action, item, and its subparts in a short narrative.

- If a jurisdiction is required to submit a THIRA/SPR, the applicant is encouraged to consider a jurisdiction's THIRA to inform its review for Tasks 1-III and must consider a jurisdiction's THIRA for Task IV.

I. Task I - Continuity Plans:

The applicant should review jurisdiction Continuity Plans during each jurisdiction on-site assessment for alignment to the [2018 Continuity Guidance Circular](#) for all questions in this task to ensure that a jurisdiction can perform its essential functions and provide critical services.

Questions in this task's data collection form will align to areas covered by the [2016 EMAP Standard](#) or its equivalent that apply to jurisdiction Continuity of Operations and Continuity of Government plans. Terminology and phrasing in the data collection form should align to the [2018 Continuity Guidance Circular](#).

II. Task II - Resource Management Systems:

The applicant should review jurisdiction qualification, certification, and credentialing processes and programs during each jurisdiction on-site assessment for alignment to the [NIMS Guideline to the National Qualification System](#) for all questions in this task, specifically as applicable to an incident workforce.

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

Questions in this task's data collection form will align to areas covered by the [2016 EMAP Standard](#) or its equivalent that apply to jurisdiction qualification, certification, and credentialing processes. Terminology and phrasing in the data collection form should align to the [NIMS Guideline to the National Qualification System](#).

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

The applicant should review jurisdiction Emergency Operations Plans (EOPs) and Recovery Plans during each jurisdiction on-site assessment for alignment to the [PAPPG, V3.1 \(April 2018\)](#) for disaster cost recovery related questions, and the June 2016 [NDRF, Second Edition \(June 2016\)](#) and the [Pre-Disaster Recovery Planning Guide for States \(November 2016\)](#) for all questions in this task.

Questions in this task's data collection form will align to areas covered by the [2016 EMAP Standard](#) or its equivalent that align to jurisdiction EOPs and Recovery Plans. Terminology and phrasing in the data collection form should align to the [PAPPG, V3.1 \(April 2018\)](#), [NDRF, Second Edition \(June 2016\)](#) and the [Pre-Disaster Recovery Planning Guide for States \(November 2016\)](#).

IV. Task IV – Threat and Hazard Identification and Risk Assessment:

If a jurisdiction is required to submit a THIRA and a SPR, the applicant should review the jurisdiction's latest submission during each jurisdiction on-site assessment for alignment to the [Comprehensive Preparedness Guide \(CPG\) 201: Threat and Hazard Identification and Risk Assessment \(THIRA\) and Stakeholder Preparedness Review \(SPR\) Guide, Third Edition](#) for all questions in this task.

Questions in this task's data collection form will align to areas covered by the [2016 EMAP Standard](#) or its equivalent that align to hazard identification and risk assessment. Terminology and phrasing in the data collection form should align to the [Comprehensive Preparedness Guide \(CPG\) 201: Threat and Hazard Identification and Risk Assessment \(THIRA\) and Stakeholder Preparedness Review \(SPR\) Guide, Third Edition](#).

V. Task V - Continuity Assessment Tool:

The applicant should review jurisdiction Continuity Plans and Programs for the Emergency Management Agencies and Office of the Governor using the Continuity Assessment Tool (CAT) as a baseline and methodology for the [FEMA 2018-2022 Strategic Plan](#) Objective 2.4, *Improve Continuity and Resilient Communications Capabilities*, which includes the associated performance measure, “Increase the percentage of states and territories with comprehensive continuity plans and programs for state agencies and emergency operations centers that align with the Continuity Guidance Circular (CGC)” to ensure the continuation of their essential functions under all conditions.

FEMA and the applicant will coordinate to determine the six states with whom FEMA and the applicant propose to assess. Coordination with identified states will occur through the FEMA Regions. Upon agreement, the state and the applicant will coordinate to identify mutually agreeable dates for the assessment. FEMA and the applicant will focus on the informational elements of the CAT.

- **For Task V:** The applicant must also provide FEMA a final summary report for each assessment conducted as part of Task IV no more than 30 days after it has occurred.

This task will include:

1. Using the CAT as the baseline criteria for assessing whether a jurisdictional continuity plan and program aligns with the CGC.
2. Using the continuity assessment, either in coordination with or separate from a scheduled baseline assessment, with six states or territories in FY 2020.
3. Providing a summary report of findings to FEMA within 30 days following each assessment. The summary report will include:
 - a. CAT summary scores by CGC chapter; planning, organization, equipment, training, and exercise (POETE) solution area; and POETE solution area by CGC chapter;

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

Instructions Specific to Applicant Competent in Emergency Manager Certification

Overview

The applicant must ensure that the national-level standards for emergency manager certification are aligned with the following FEMA guidance, also outlined in [Appendix A: Relevant FEMA Doctrine and Policy](#):

- [National Preparedness System \(NPS\)](#)
- [National Incident Management System \(NIMS\)](#) and the [National Qualification System \(NQS\)](#)

The assessment and certification process supported by the applicant must include a review of the following areas (16) for emergency management professionals:

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

Objectives

The applicant will be responsible for the following Objective requirements (4) and their sub-parts (13) and will outline how they intend to meet them in their Work Plan. These tasks support developing, updating, revising, and enhancing national-level certification standards for emergency management professionals and their assessment. Specifically, these tasks consist of:

- 1) Ensuring the general sustainability of the state, local, emergency management workforce by:
 - a. Maintaining the current national-level process for certification through:
 - i. Creating, maintaining, and publishing a communication plan for candidates engaged in the certification application process;

- ii. Overseeing the application procedures;
 - iii. Maintaining the certification exam;
 - iv. Coordinating the certification reviews on a bi-monthly basis;
 - v. Engaging in marketing efforts; and
 - vi. Maintaining records on candidate information.
 - b. Developing and revising guiding policy;
 - c. Updating and upgrading the national-level certification application through making updates to the certification online application portal as needed to reflect requirement changes or improvements to the platform, including upgrades to the technology and development of new features to better assist candidates, commissioners and staff in the application review process.
 - d. Improving customer experience through:
 - i. Ensuring communications inform candidates of important deadlines, changes to the requirements, and helpful tips in the application process;
 - ii. Ensuring adequate staff support to answer questions via phone and email;
- 2) Increasing personnel professional capacity nationwide, including supporting at least 25 state, local, tribal, and territorial emergency managers' certification application and associated fees;
 - 3) Conducting the initial phase of an updated job analysis to verify the knowledge, skills, and abilities (KSAs) of the national-level certification program by:
 - a. Collecting input from emergency management practitioners who have experience in dealing with all types of hazards, every size of jurisdiction, and all disciplines related to emergency management and reviewing and synthesizing this input to ensure the certification requirements align and accurately reflect the most common duties of emergency managers; and
 - 4) Conducting the initial phase of the ANSI Accreditation according to [ISO/IEC 17024:2012](#), or the ANSI standard for bodies operating certification of persons. Initiating ANSI Accreditation of this national-level certification program for emergency managers will first occur by editing the Certification Manual to refine the documented policies in preparation for satisfying ANSI requirements. ANSI accreditation is recognized both nationally and internationally and would serve as an independent evaluation confirming the quality of these national-level certification standards.