Unit 10 – Manage Allocations and Obligations

Overview

The NEMIS HMGP Manage Allocations and Obligations process allows FEMA Regional and Headquarters staff members to:

- Allocate funds for approved HMGP projects
- Obligate HMGP funds for approved HMGP projects

Table 10-1 provides an overview of the Manage Allocations and Obligations process.

Table 10-1: Manage Allocations and Obligations

ITEM	DESCRIPTION
Purpose	Allocate and obligate funds for approved HMGP project applications
When does it start?	After project applications have been approved by FEMA staff in the Eligibility Determination process
Who does it?	FEMA Regional Mitigation Staff • Mitigation Analyst (MA) Role • Hazard Mitigation Officer (HMO) Role • Division Chief Role ***CAUTION: The same user may not perform both the MA and HMO tasks.***
How is it done?	Execute two processes: **Part 1:** **Allocation** Task 1A: Create Allocation and Submit to HMO Task 1B: Submit Allocation to SAO Financial Services (SFS) **Part 2:** **Obligation** Task 2A: Create Obligation and Submit to HMO Task 2B: Submit Obligation to Emergency Support (SFS) Task 2C: Verify Obligation Task 2D: Notify Grantee of Obligation

ITEM	DESCRIPTION
	Part 3: **Deobligation** **Execute only in the following situations:** • Project has a cost under-run • Grantee withdraws a project after funds have been obligated • Audit results determine that certain project costs are not allowed or were miscalculated previously Task 3A: Create Deobligation and Submit to HMO Task 3B: Submit Deobligation to Emergency Support (SFS) **Part 4:** **Deallocation** ***CAUTION: Execute only if deobligation will be processed in the current fiscal year. Deobligations from previous fiscal years will be automatically deallocated.***

Part 1: Allocation

An allocation does not have to be created in the system for each individual project. Multiple projects can be part of one “Batch” allocation.

After the allocation is processed, an obligation for each individual project **MUST** be created in the system. Another allocation cannot be processed until all projects allocated in the batch allocation are fully obligated.

Figure 10-1 illustrates the Allocation Workflow in NEMIS HMGP.

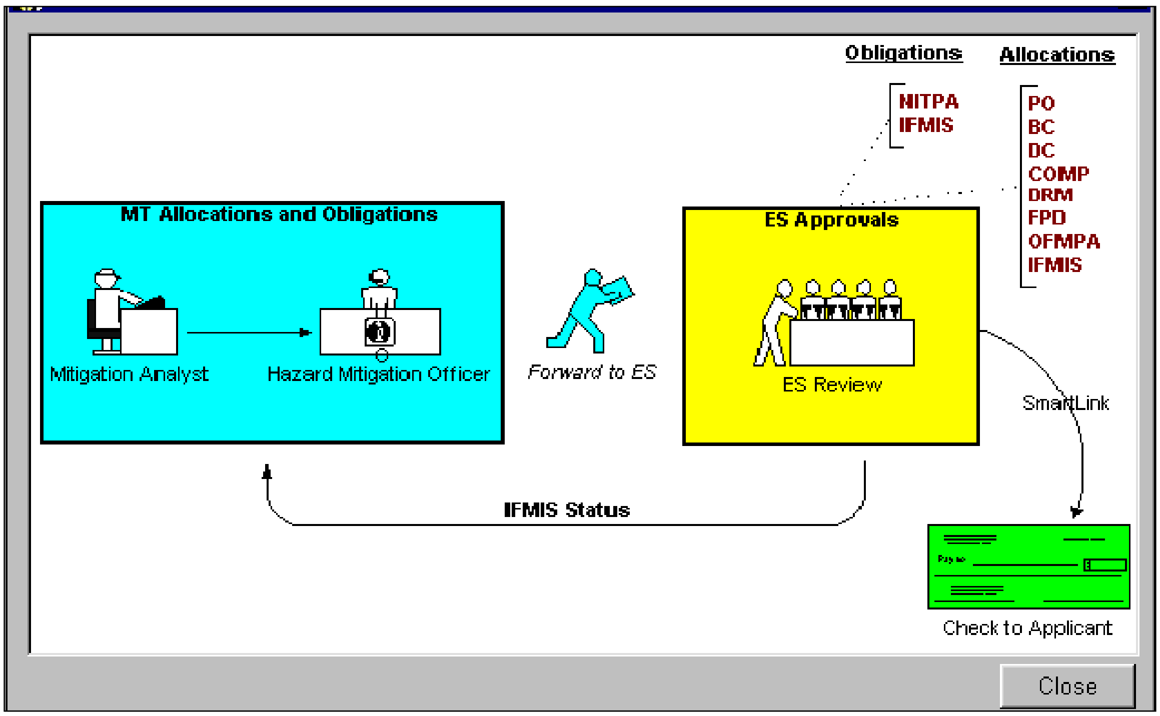

Figure 10-1: NEMIS Allocation Workflow

Task 1A: Create Allocation and Submit to HMO

1. On the NEMIS menu bar, click the Mitigation icon. If prompted, select Group ID and Disaster. On the MITIGATION menu, click Funding → Allocations → New (Figure 10-2).

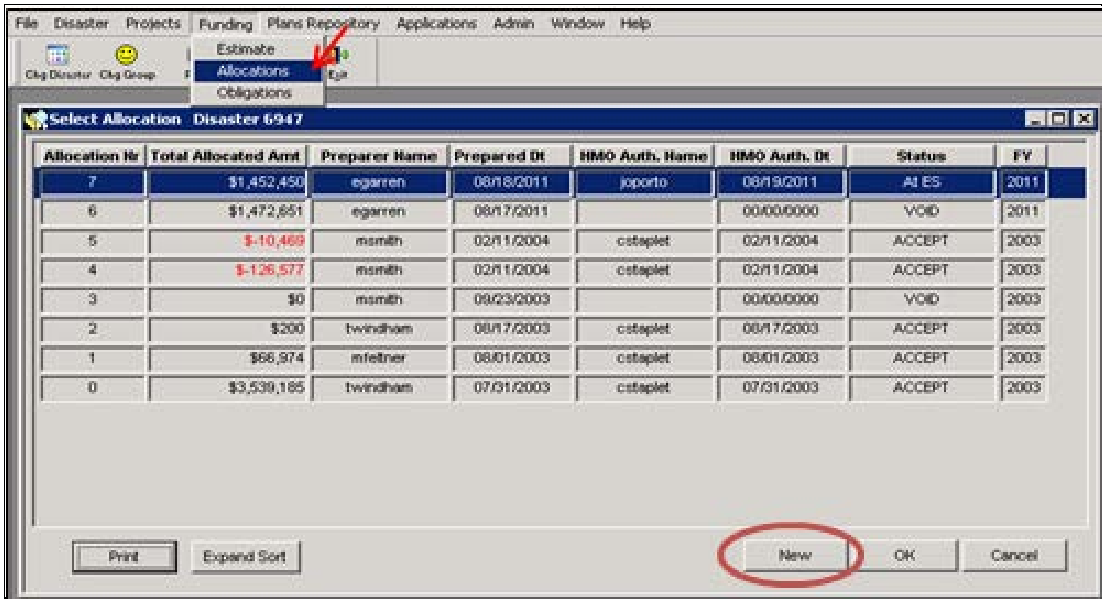

Figure 10-2: Mitigation → Funding → Allocations → New

2. The Create Allocation dialog box is displayed with a system-generated Allocation Nr (Figure 10-3).

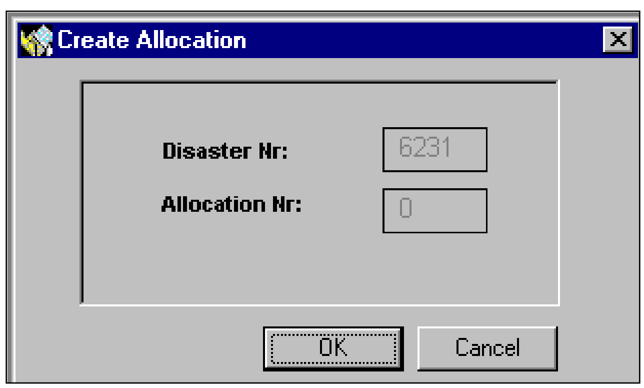

Figure 10-3: Create Allocation Dialog Box

3. Click the OK button. Five tabs with Allocation information are displayed. The **Worksheet** tab is displayed by default (Figure 10-4).

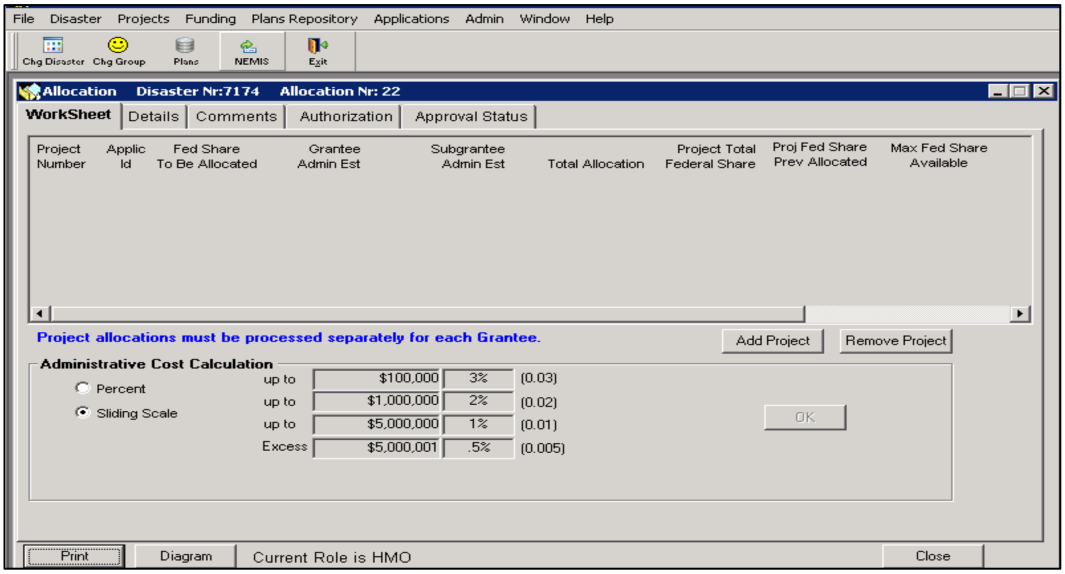

Figure 10-4: Mitigation → Funding → Allocations → Worksheet Tab

4. On the bottom part of the tab, check that your current role is MA.

5. Click the ADD PROJECT button. The Allocations Project List is displayed (Figure 10-5).

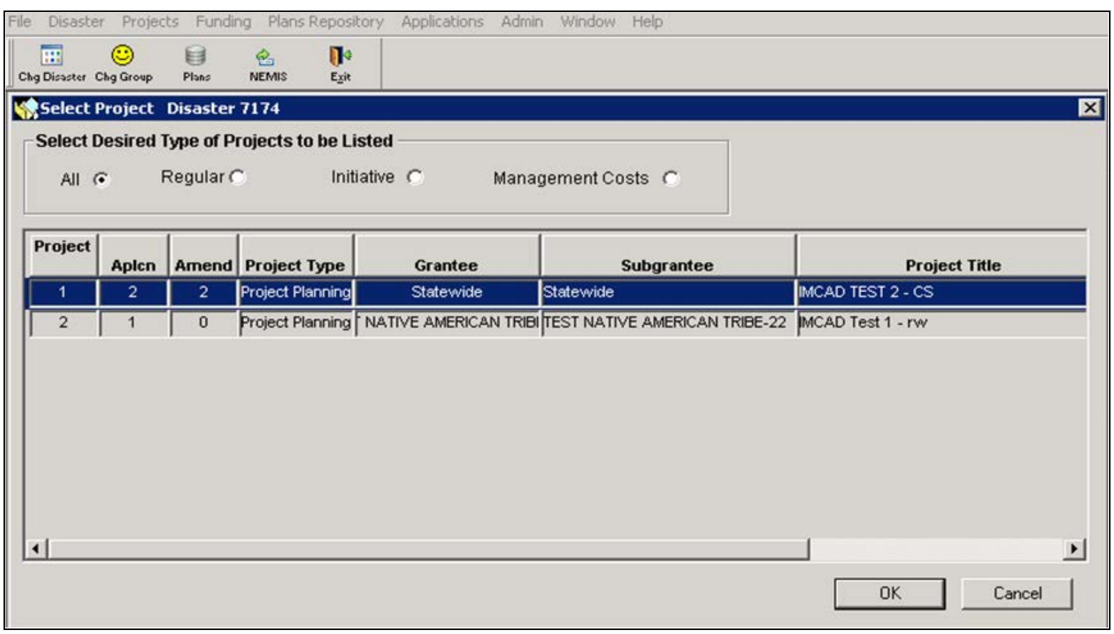

Figure 10-5: Allocations Project List - Left Side

6. Scroll to the right to see the other Allocations Project List data fields (Figure 10-6).

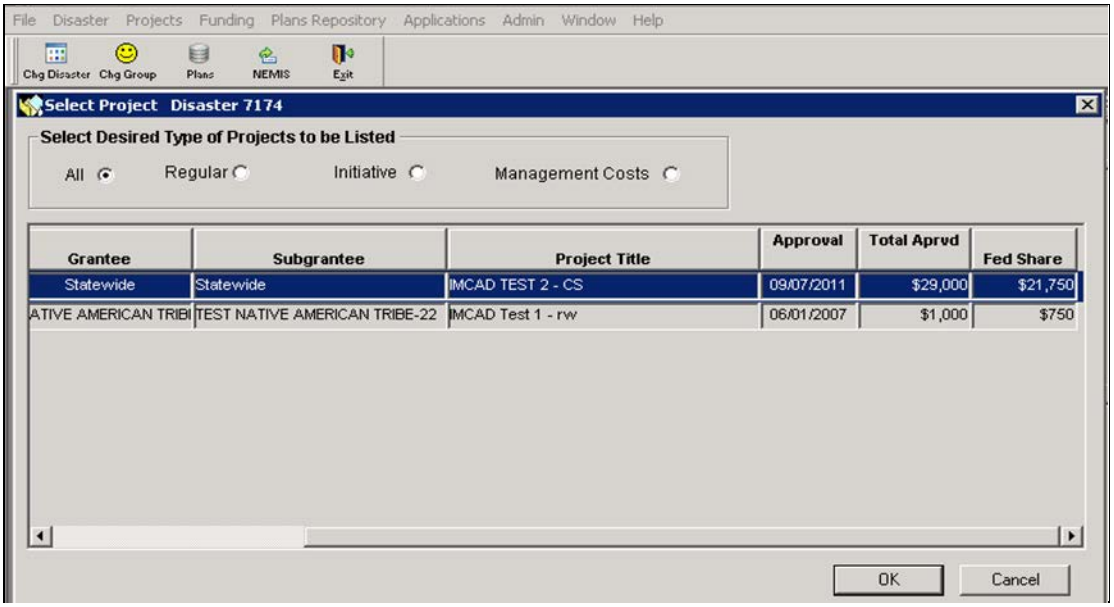

Figure 10-6: Allocations Project List - Right Side

NOTE: The list displays the approved projects associated with the current disaster number. The list may also include projects for which funds have already been partially allocated.

7. Table 10-2 describes the Allocations Project List data fields.

Table 10-2: Allocations Project List Data

DATA FIELD	INFORMATION TO BE REVIEWED/ENTERED
Project Type (Select)	Desired Type of Projects to be Listed. Select one of the following: • All • Regular • Initiative • Management Costs • For Planning Projects, select All
Project	Number assigned by the system to the project application during the Eligibility Determination process; also referred to as FEMA Project Number
Aplcn	System-generated Grantee Application ID number for the project- Number can be overwritten during application development.

DATA FIELD	INFORMATION TO BE REVIEWED/ENTERED
Amend	System-generated number of the amendment (0 is assigned to the initial project application submission, 1 to the first amendment, and so on)
Project Type	Funding Type for the project. Possible values are: • Regular • Initiative • Management Costs • Planning Project
Grantee	Name of grantee
Subgrantee	Name of subgrantee
Project Title	Name given to the project during the application development process
Approval	Date the project application was approved by FEMA
Total Aprvd	Total project cost approved during the Cost Review in the Eligibility Determination process
Federal Share	Portion of the total project cost that will be funded by FEMA

8. Select the project you wish to add to the Allocation. Either double click or click the OK button.

9. The **Worksheet** tab is displayed with the following data fields auto-filled by the system (Figure 10-7).

- Project Total Federal Share
- Max Fed Share Available

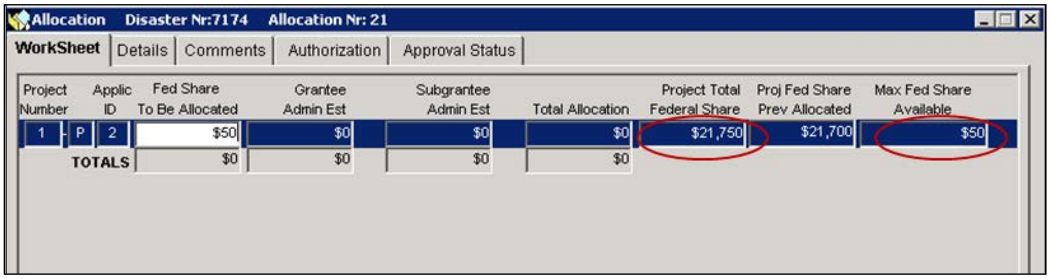

Figure 10-7: Allocations Worksheet Tab - Auto-filled Data Fields

10. If applicable, note the dollar amount in the Proj Fed Share Prev Allocated data field.

11. In the Federal Share To Be Allocated data field, enter the amount to be allocated. The amount entered must be less than, or equal to, the Max Fed Share Available (Figure 10-8). Be sure to account for the leading zero in the field. It must be deleted or made part of your allocation amount.

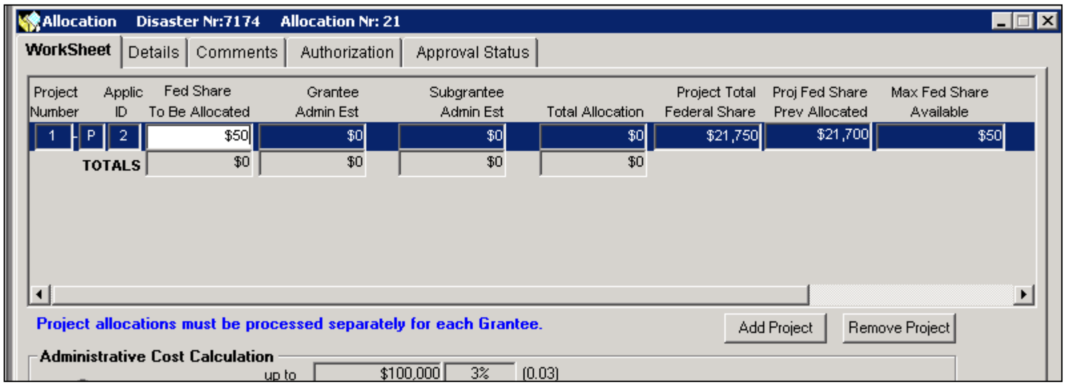

Figure 10-8: Federal Share to be Allocated Data Field

12. Press the Tab key to move to the next field, and the Admin Est and Total Allocation dollar amounts will auto-fill (Figure 10-9).

HINT: For projects covering State Management Costs (projects with an M suffix), enter Grantee and Subgrantee administrative costs as $0.

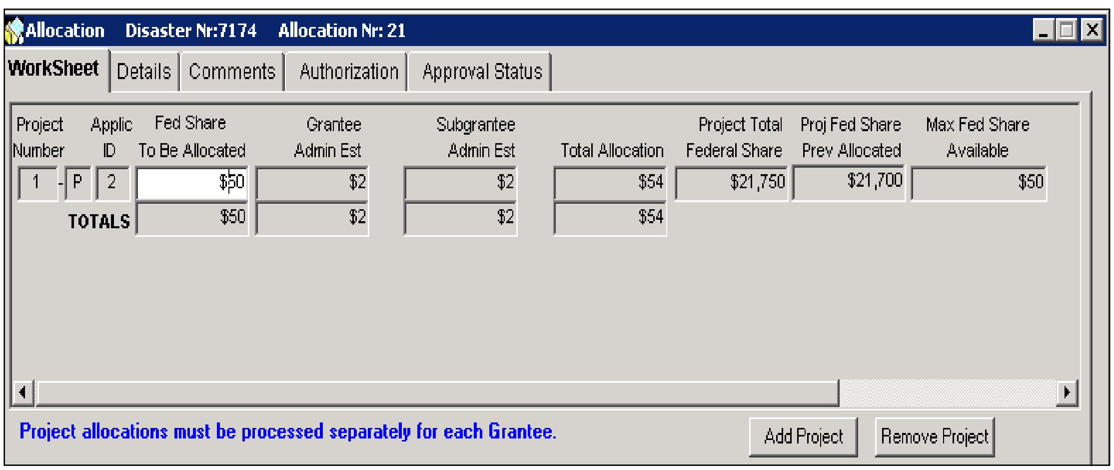

Figure 10-9: Administrative Estimate and Total Allocation Data Fields

13. When allocating project funds as well as Grantee and Subgrantee Administrative funds, always use the sliding scale radio button to ensure the Grantee and Subgrantee Administrative funds are calculated correctly by the system and included in the Total Allocation field along with the Project Amount to be allocated (Figure 10-10).

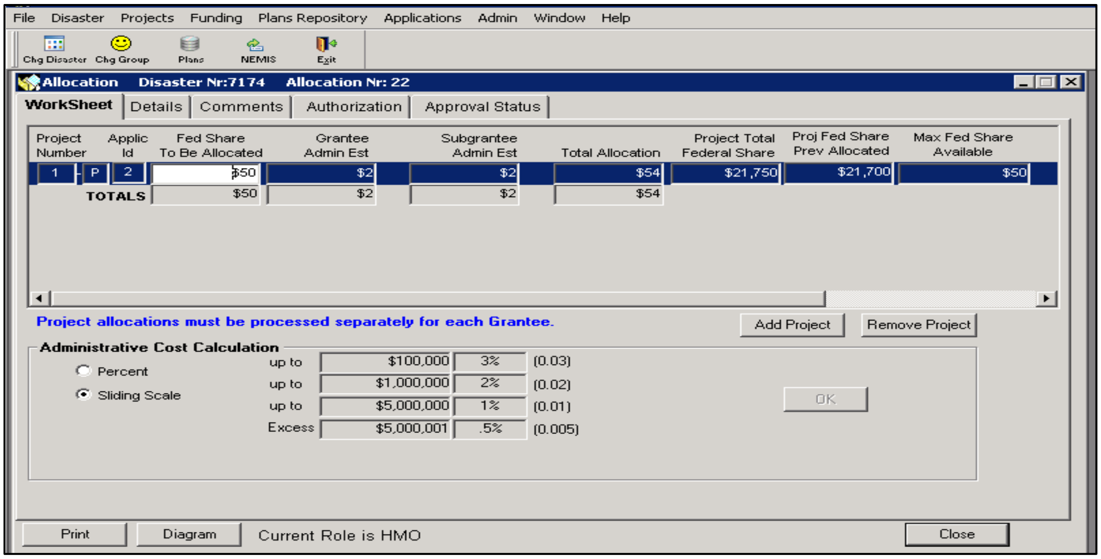

Figure 10-10: Allocation using the Sliding Scale radio button to ensure proper allocation

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NOTE: When encountering the "Project Allocation Amount – You cannot allocate an amount exceeding the current maximum available for this allocation" information message, it will be necessary to adjust the Fed Share To Be Allocated in a manner that brings the allocated total for the project down to a level equal to or less than the amount approved for the project.

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14. If necessary to override the Grantee or Subgrantee Administrative amounts generated by the system, the user will be prompted to acknowledge the continuation of the override (Figure 10-11).

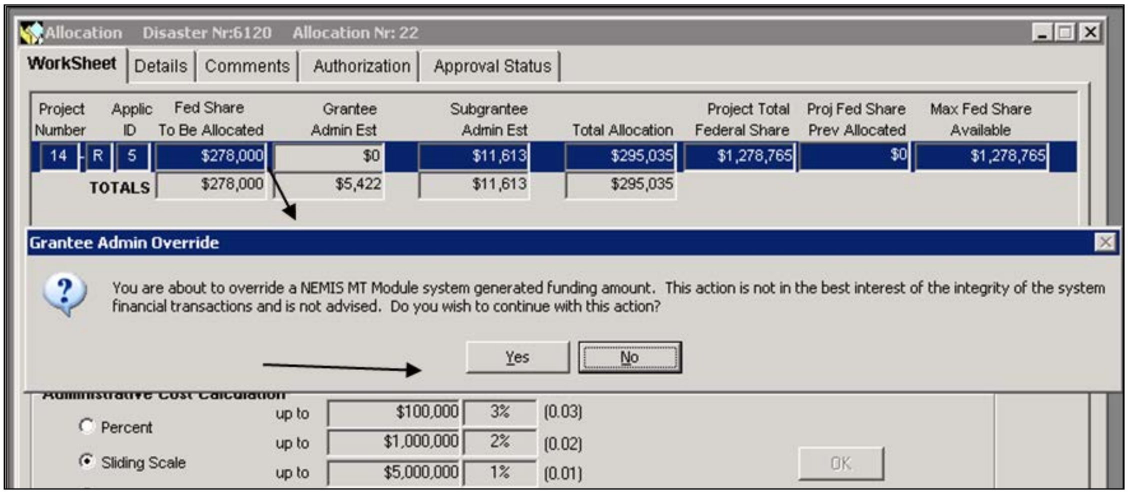


Figure 10-11: Admin Override acknowledgement message

15. Selecting No will return the amount overridden to the previous amount calculated by the system. Selecting Yes will prompt a second acknowledgement confirmation (Figure 10-12).

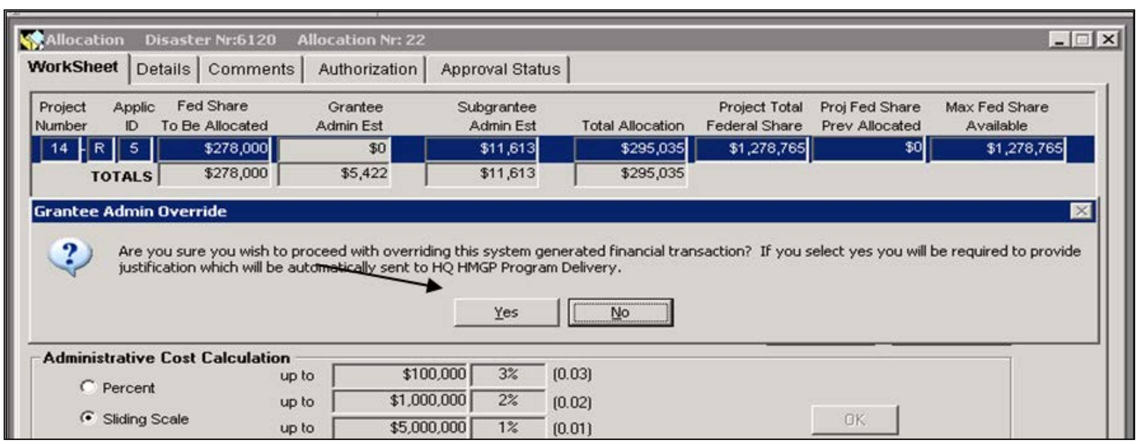


Figure 10-12: Admin Override 2nd acknowledgement message

16. Once again, selecting No will return the amount overridden to the previous amount calculated by the system. Selecting Yes will automatically open the Comment Editor, which requires that a comment be entered justifying the calculation override. This will allow the override, and the user will be able to continue with the allocation.

17. Close the Comment Editor after entering your comment (Figure 10-13).

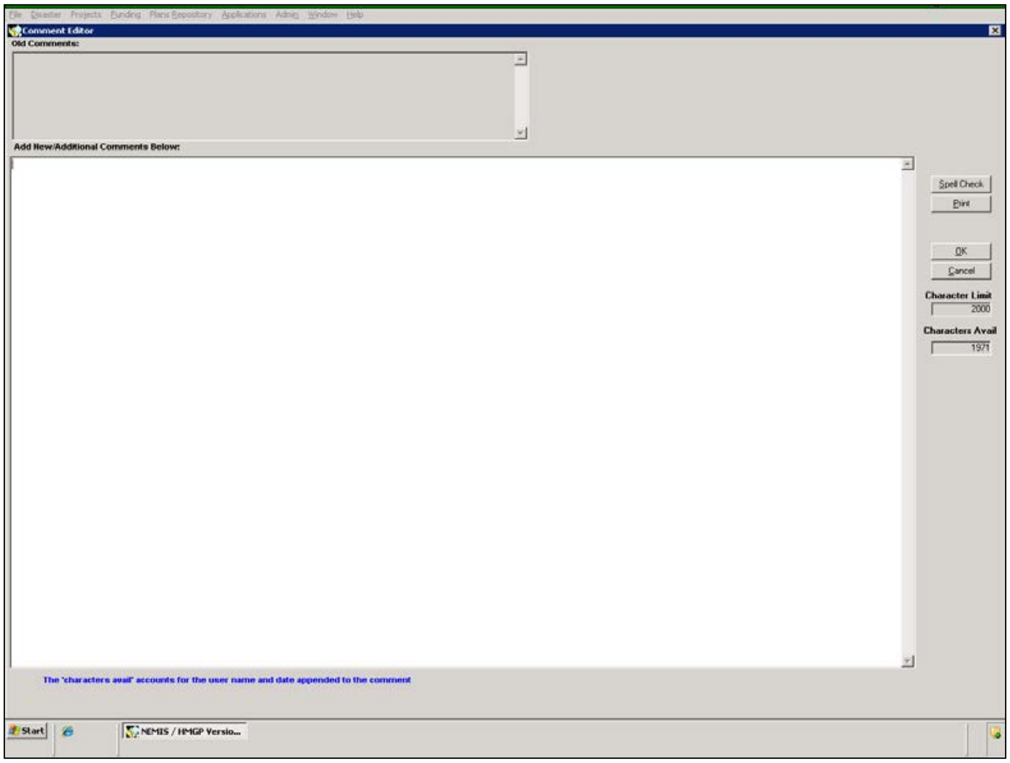


Figure 10-13: The Comment Editor Screen

18. To add more projects to the Allocation request, maximize the Allocations Project List window. Repeat Steps 5–11.

19. Click the **Details** tab. The cumulative Allocations requested thus far are displayed (Figure 10-14).

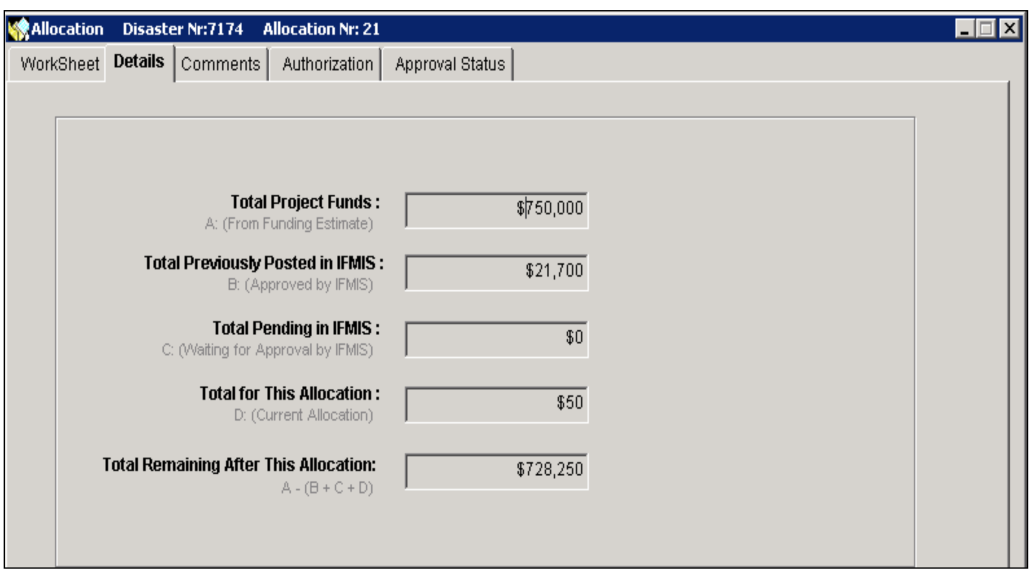


Figure 10-14: Mitigation → Funding → Allocations → Details Tab

20. Click the **Comments** tab (Figure 10-15).

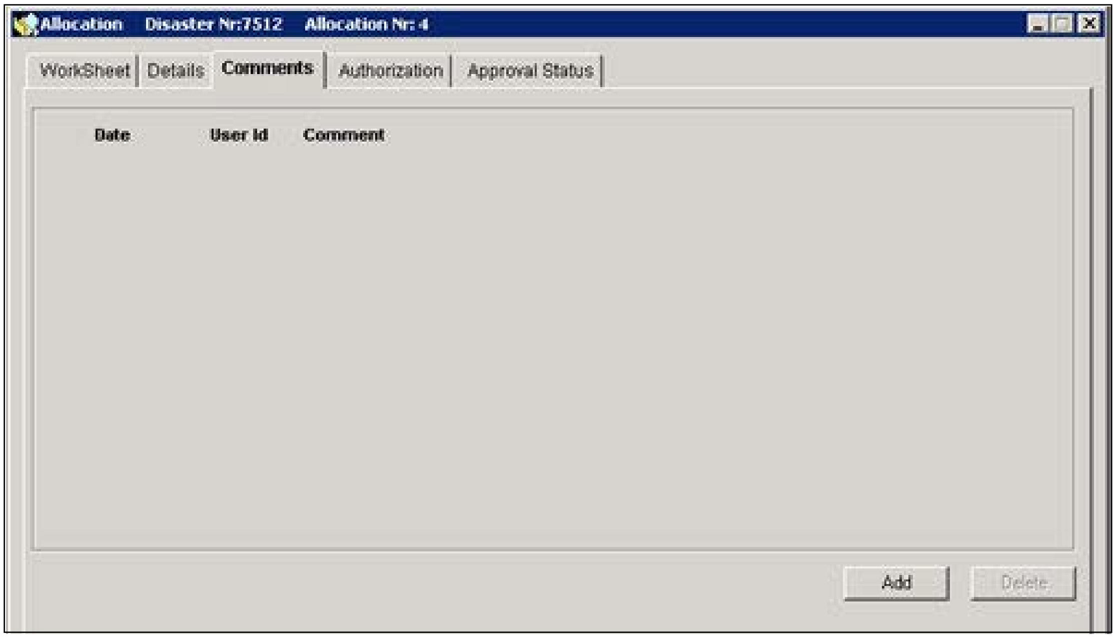


Figure 10-15: Mitigation → Funding → Allocations → Comments Tab

21. Click the ADD button. A new row for adding comments is displayed. The system auto-fills the User Name, the Date, and the Time of the entry (Figure 10-16).

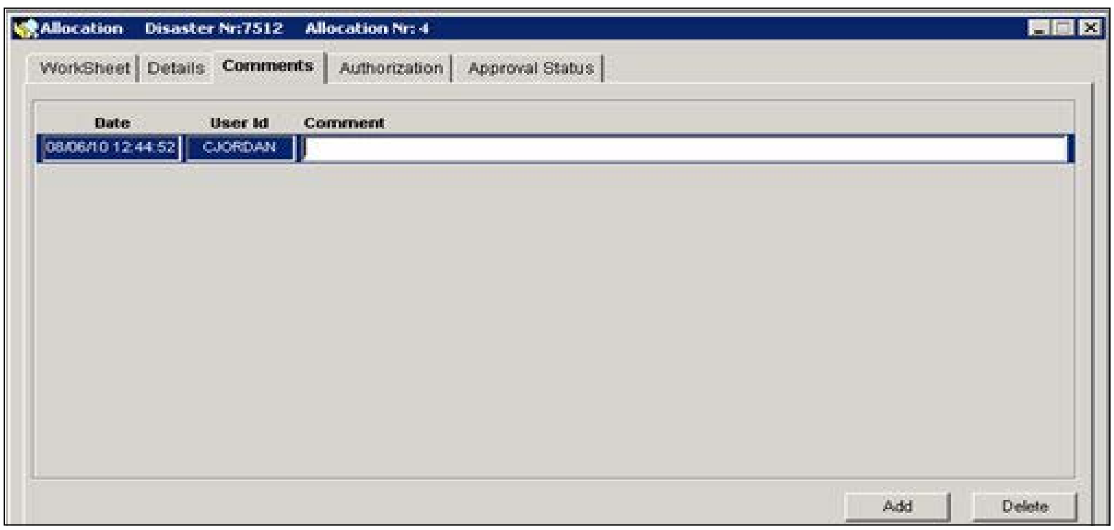


Figure 10-16: Comments Tab with New Row Added

22. Double-click inside the Comment field. The Comment Editor is displayed.

23. In the Comment Editor text area, enter the justification for allocating this project or any additional comments that may help the reviewers and approvers.

24. Click the OK button. The comments you entered are now displayed in the **Comments** tab (Figure 10-17).

Figure 10-17: Comments Added

25. Click the **Authorization** tab (Figure 10-18).

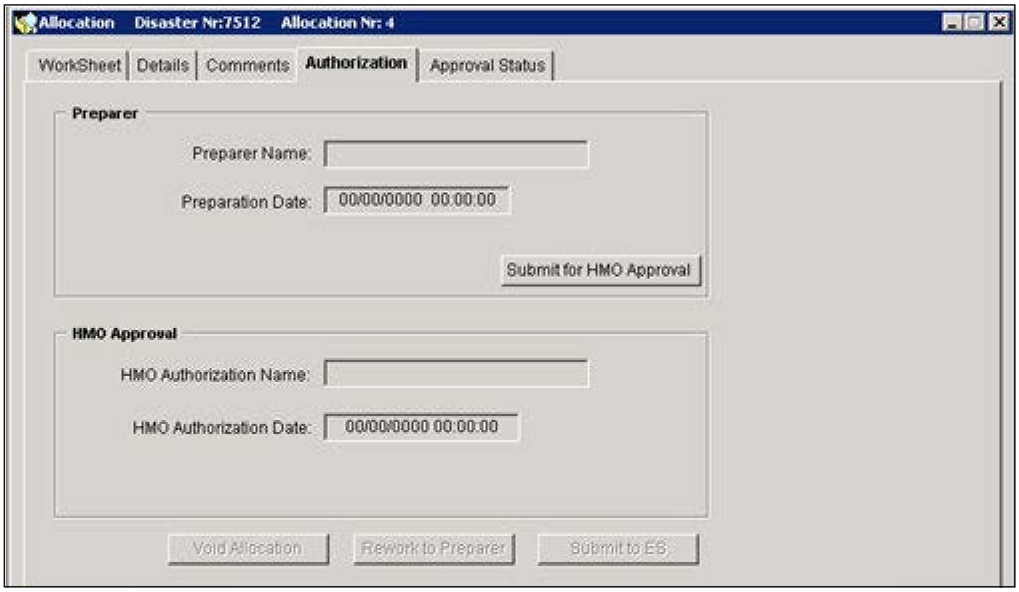


Figure 10-18: Mitigation → Funding → Allocations → Authorization Tab

26. Click the SUBMIT FOR HMO APPROVAL button. The Forward Work Packet to HMO dialog box is displayed (Figure 10-19).

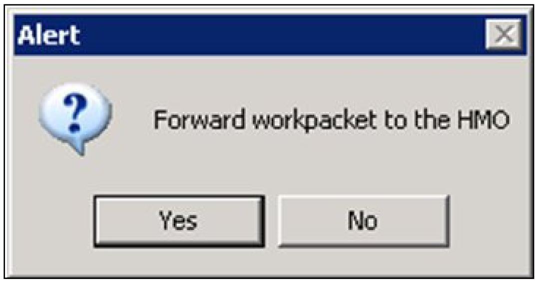


Figure 10-19: Forward Work Packet to HMO Dialog Box

27. Click the YES button. The Work Packet Forwarded to HMO message is displayed (Figure 10-20).

Figure 10-20: Work Packet Forwarded to HMO

28. Click the OK button. The **Authorization** tab now displays the Preparer Name and Preparation Date (Figure 10- 21).

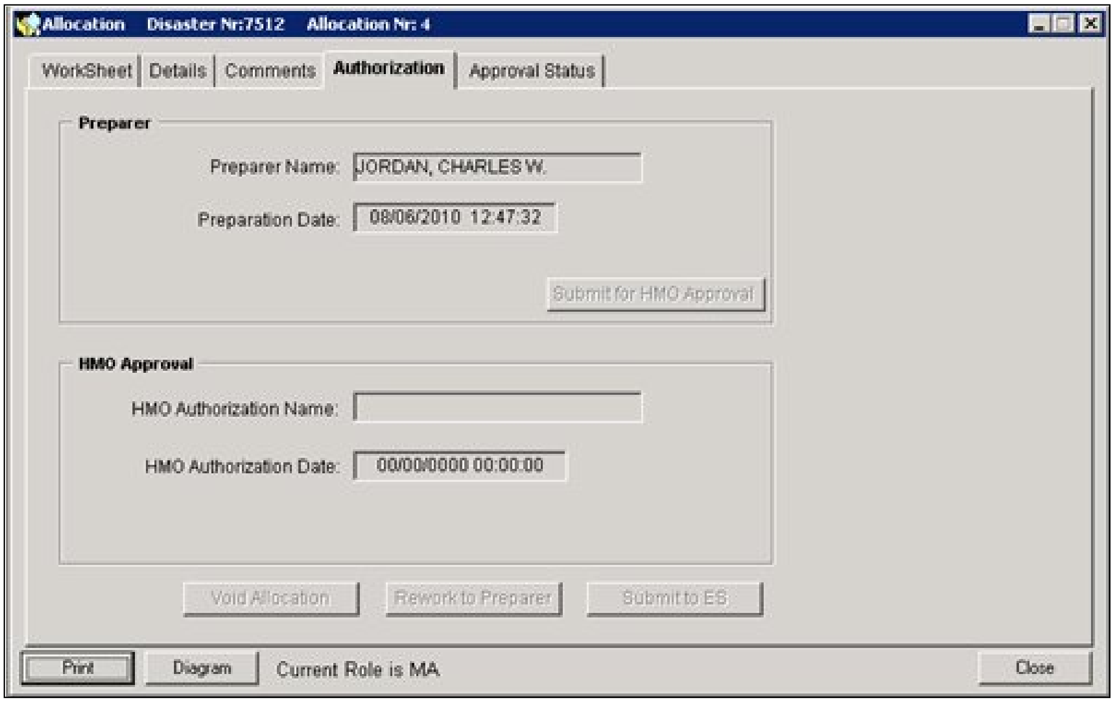


Figure 10-21: Preparer Information Displayed

29. On the bottom right part of the tab, click the CLOSE button.

Task 1B: Submit Allocation to Emergency Support (ES)

1. On the MITIGATION menu, click on Funding → Allocations (Figure 10-22).

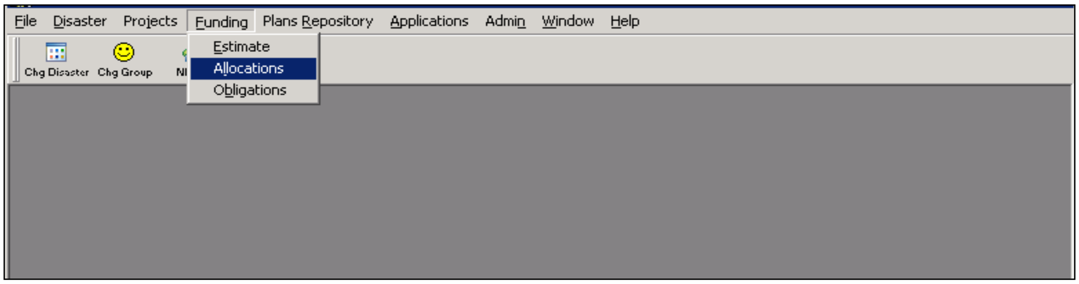


Figure 10-22: Mitigation → Funding → Allocations

2. The Select Allocation list is displayed (Figure 10-23A). Highlight the desired allocation and click OK. The selected allocation is displayed. You should not be the same User who completed Task 1A: [Create Allocation and Submit to HMO](#).

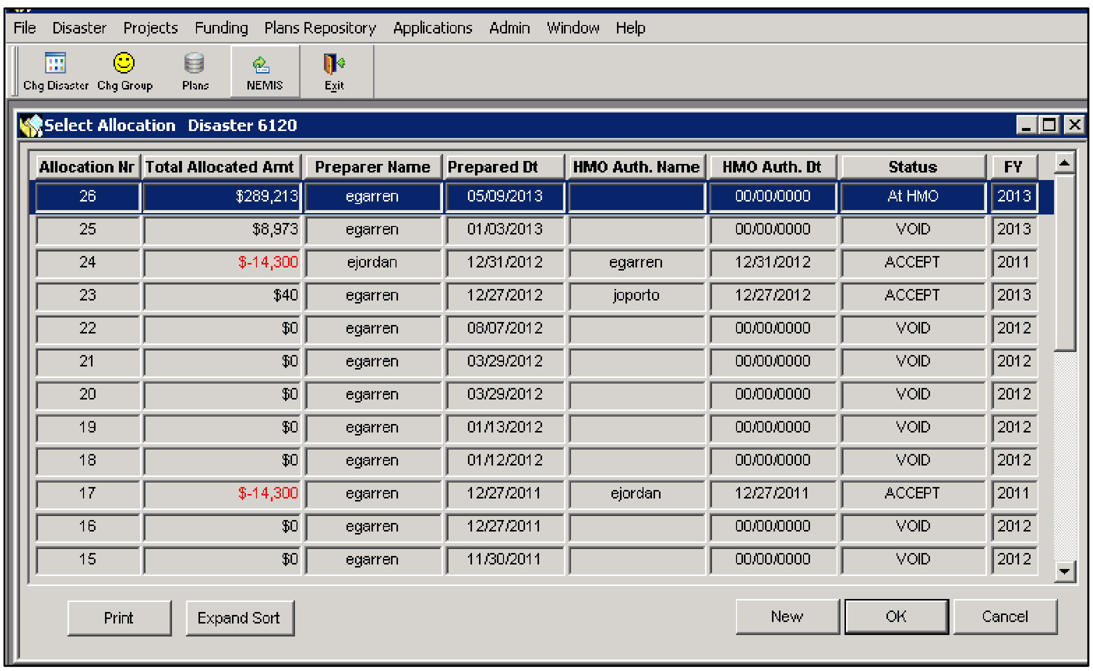


Figure 10-23A: Select Allocation list

3. Table 10-3 describes the Allocation Work Packet List data fields.

Table 10-3: Allocation Work Packet List Data Fields

DATA FIELD	INFORMATION DISPLAYED
Allocation Nr	Number assigned by the system when the Allocation request was created
Total Allocated Amt	Total of all project amounts and administrative estimates

DATA FIELD	INFORMATION DISPLAYED
Preparer Name	NEMIS HMGP User Name of the person who created the allocation
Prepared Dt	Date the allocation was created or the most recent date it was edited
HMO Auth. Name	NEMIS HMGP User Name of the person who authorized the allocation
HMO Auth. Dt	Date the allocation was authorized by the HMO
Status	System-generated indicator of the status of the workflow in the ES Review: At MA = awaiting transmittal to HMO; At HMO = awaiting transmittal to ES module; At ES = awaiting approval in ES module; Accept = accepted by IFMIS; Void = Allocation was voided
FY	Fiscal year for this allocation

4. The Allocation work packet is ready for HMO approval if it displays the following information:
   - Status is At HMO
5. Highlight the work packet. Click the OK button.
6. Five tabs with Allocation information are displayed. The **Worksheet** tab is displayed by default (Figure 10-23B).

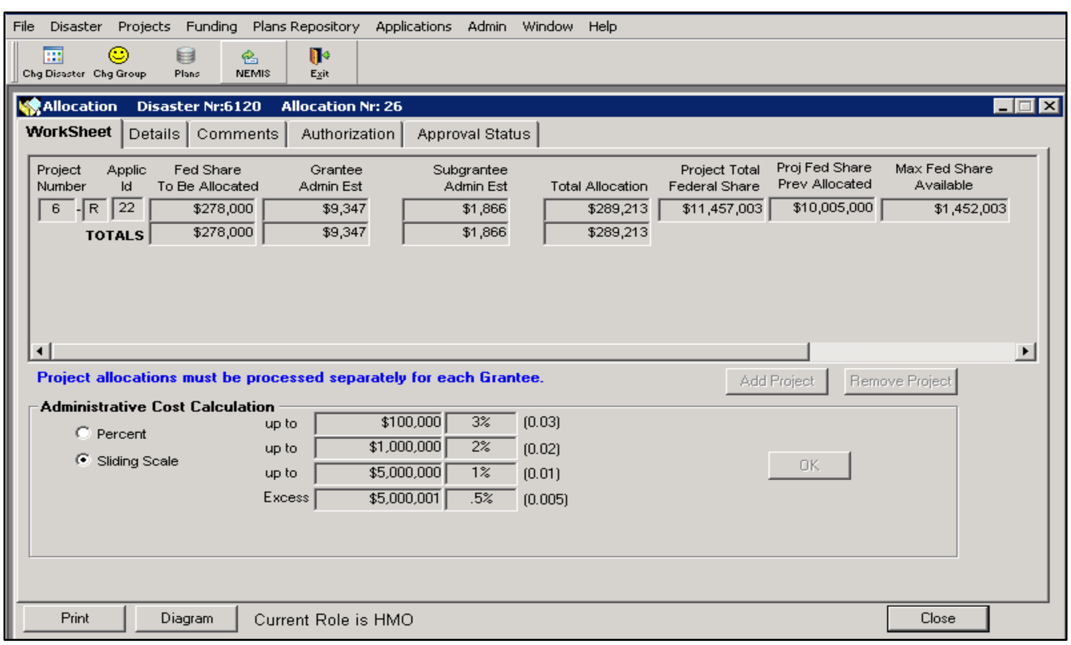


Figure 10-23B: Mitigation → Funding → Allocations → WorkSheet Tab

7. Review the read-only information in the **Worksheet**, **Details**, and **Comments** tabs.

8. Click the **Authorization** tab (Figure 10-24).

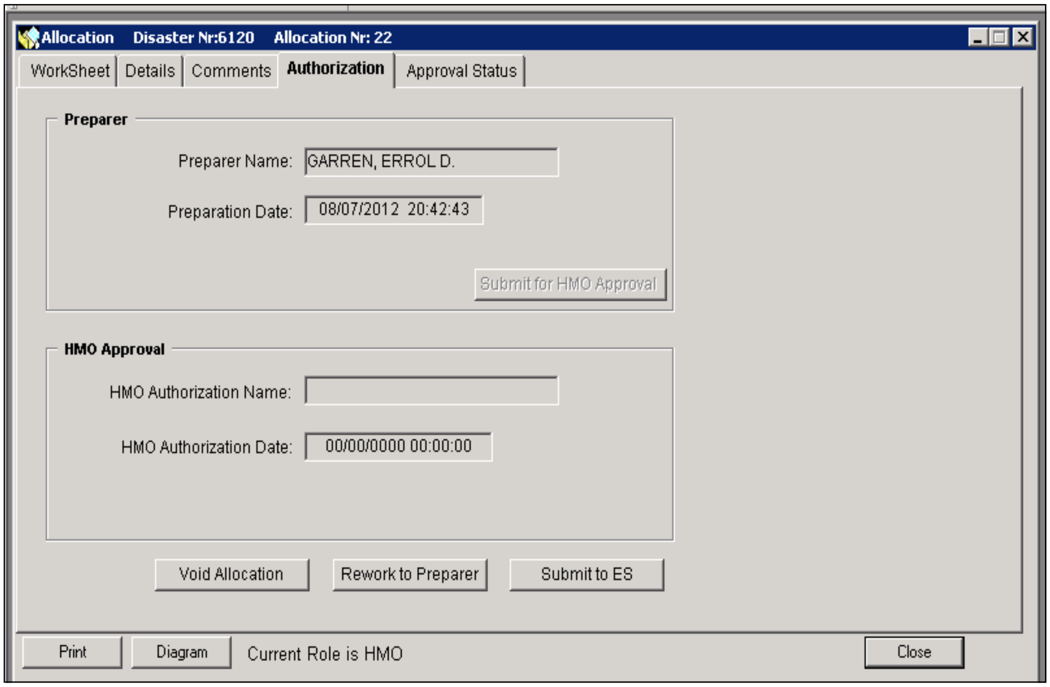


Figure 10-24: Mitigation → Funding → Allocations → Authorization Tab

9. In the bottom half of the tab, the HMO Approval section is displayed.

   a. Click the VOID ALLOCATION button to void the allocation request.

   b. Click the REWORK TO PREPARER button to send the allocation request back to the Mitigation Analyst for rework.

   c. Return to the Comments tab to make any desired comments. If no comments are required proceed to item d. below.

   d. Click the SUBMIT TO ES button if you wish to continue processing the allocation request.

10. If you clicked the SUBMIT TO ES button, the Forward Work Packet dialog box is displayed (Figure 10-25).

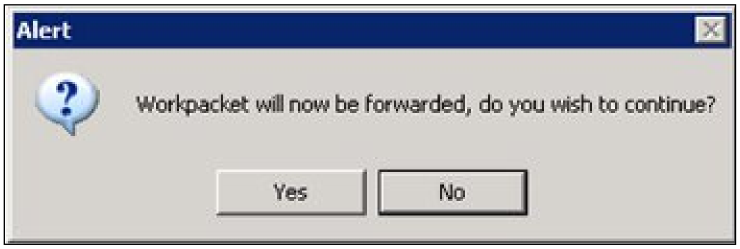


Figure 10-25: Forward Work Packet Dialog Box

11. Click the YES button. The Request for Allocation Advice Worksheet (RAAWS) is displayed with nine tabs. The Salaries tab is displayed by default (Figure 10-26).

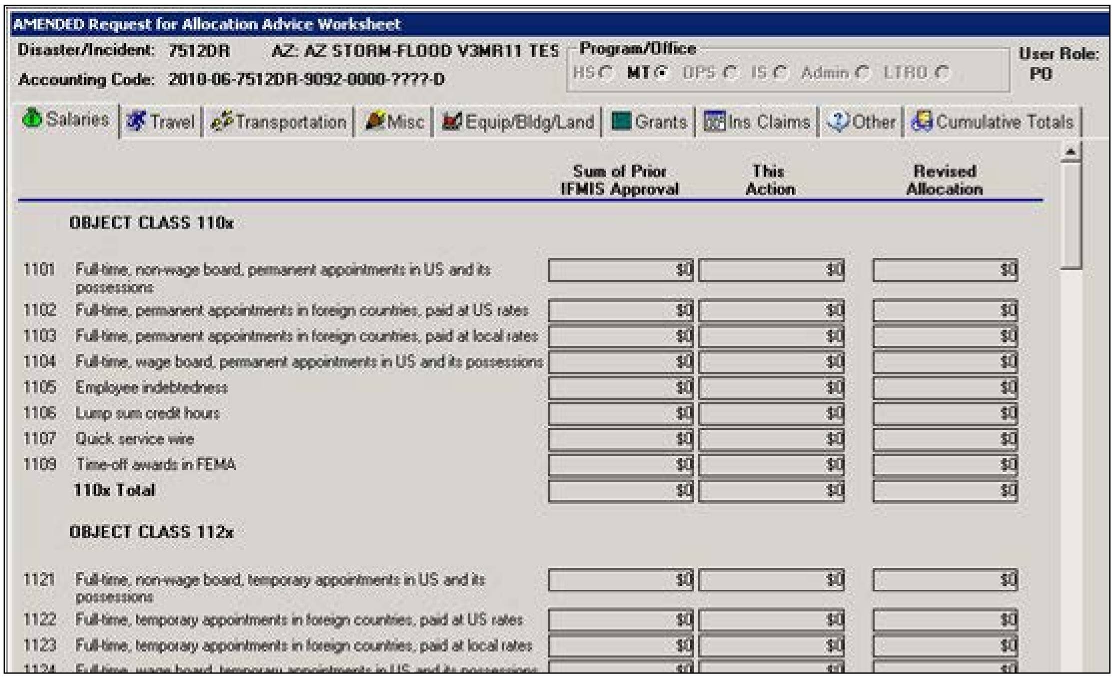


Figure 10-26: Request for Allocation Advice Worksheet (RAAWS)

12. At the top of the worksheet, in the Program/Office section, check that the MT radio button is selected.

13. Note that User Role has changed to PO (Project Officer).

14. Click the **Grants** tab (Figure 10-27).

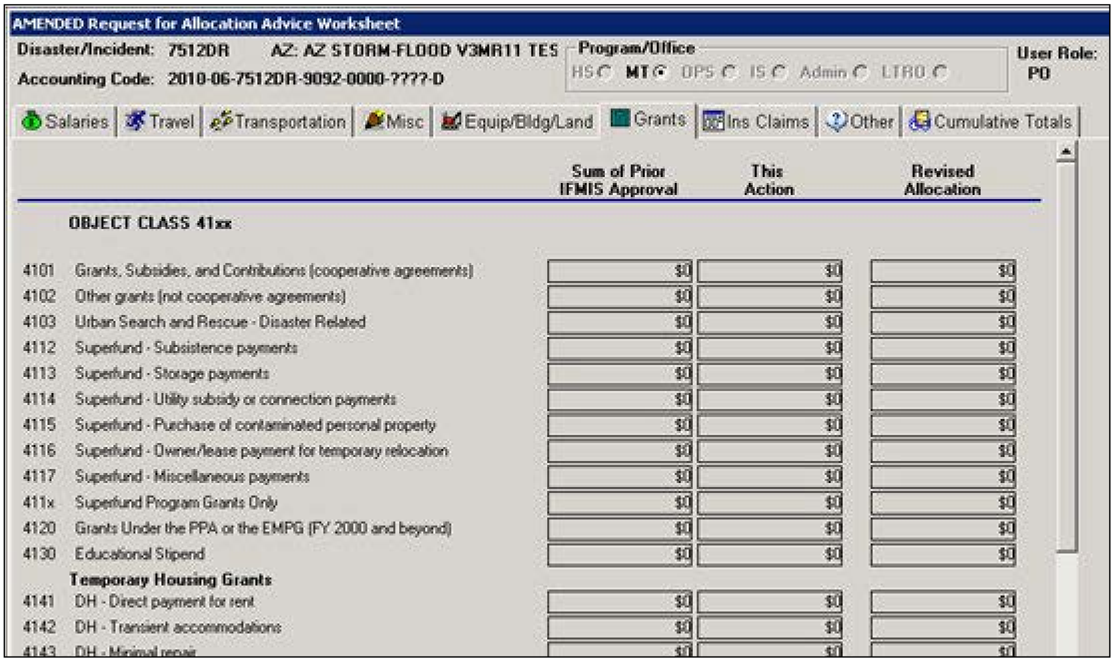


Figure 10-27: RAAWS → Grants Tab - Top

15. Scroll to the bottom of the tab. In the Object Class 4173 – Hazard Mitigation Grant row, under the This Action column, verify that the dollar amount is equal to the Allocation amount requested (Figure 10-28).

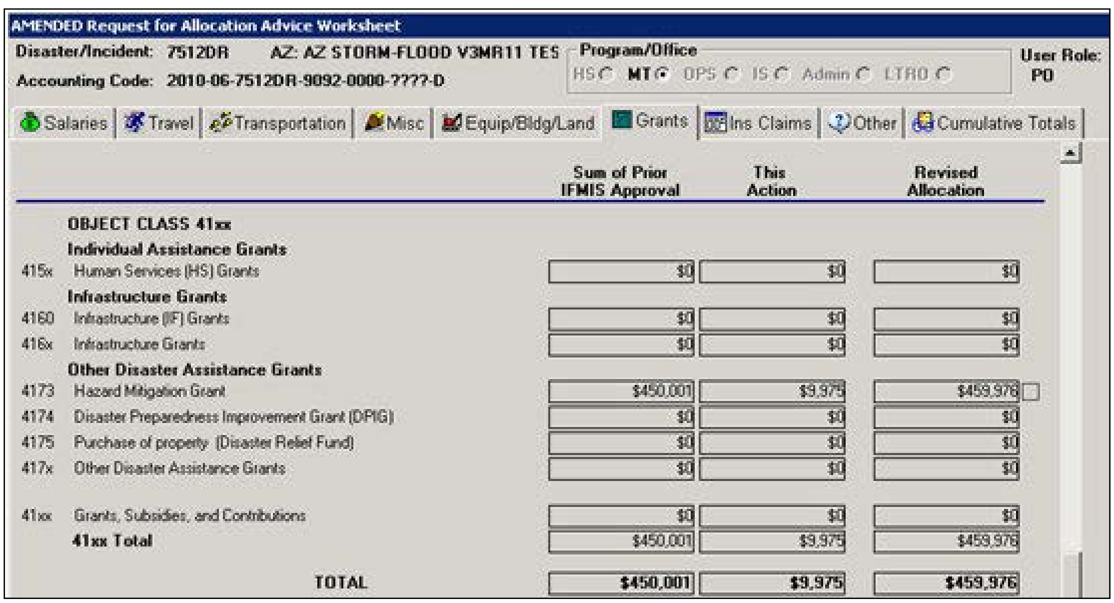


Figure 10-28: RAAWS → Grants Tab - Hazard Mitigation Grant Row

16. On the far right column of the Object Class 4173 – Hazard Mitigation Grant row, click inside the checkbox. The Allocation Comments window is displayed (Figure 10-29).

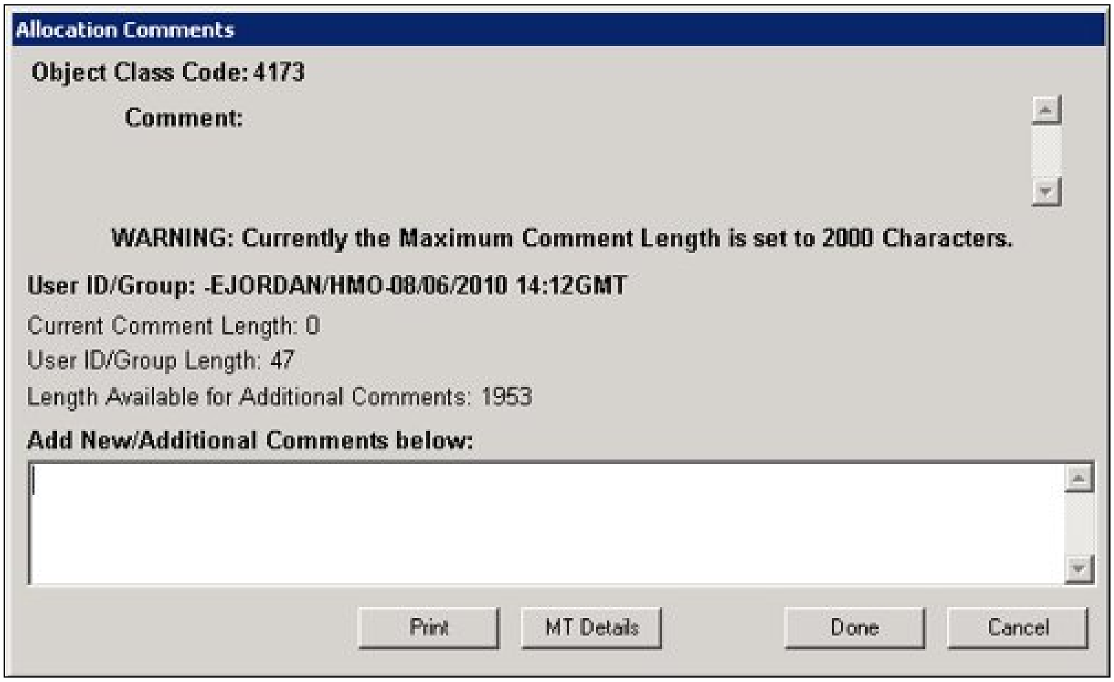


Figure 10-29: Allocation Comments

17. Click the MT DETAILS button. The Mitigation Details window displays the projects to be allocated (Figure 10-30).

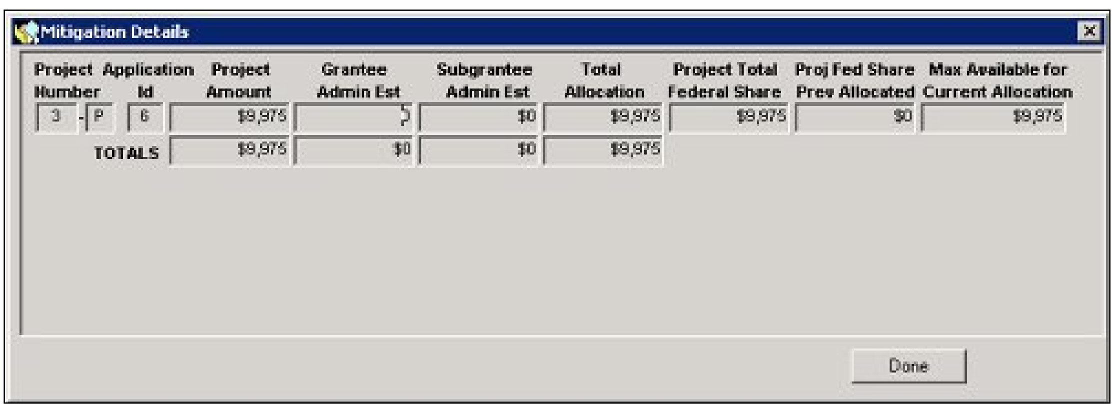


Figure 10-30: Mitigation Details

18. Click the DONE button. The Allocation Comments window is displayed again.

19. On the Allocation Comments window, enter your comments indicating approval (Figure 10-31).

HINT: Include the Disaster Number, projects, and allocation amount in the text. Add the text "Approved by DC."

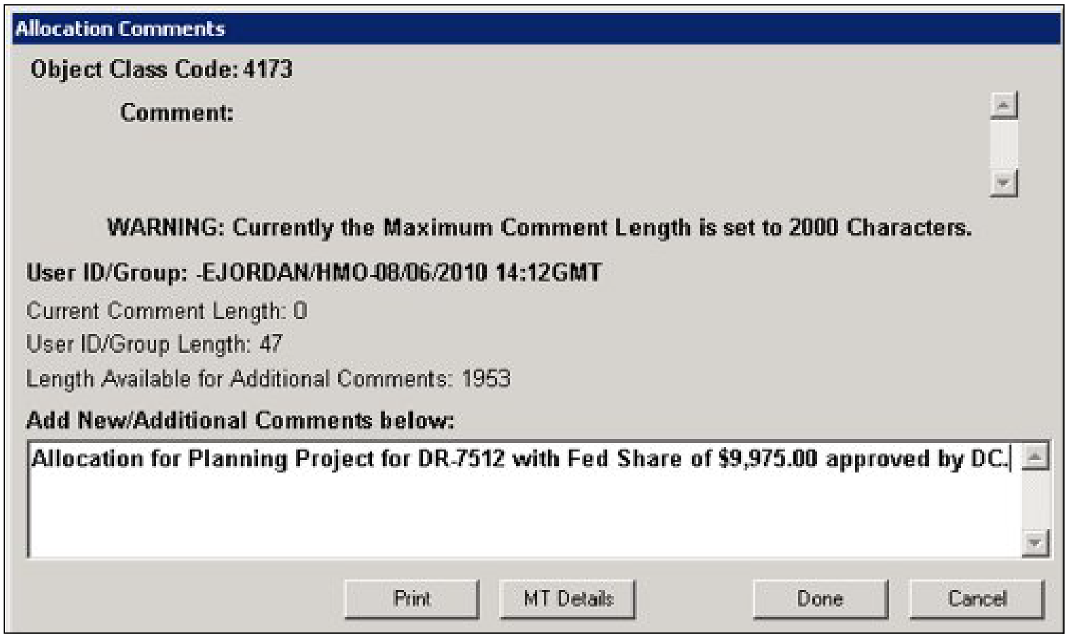


Figure 10-31: Allocation Comments with Approval Text

20. Click the DONE button. The **Grants** tab is displayed. The checkbox on the far right column of the Object Class 4173 – Hazard Mitigation Grant row now has an "X" to indicate that Comments are attached (Figure 10-32).

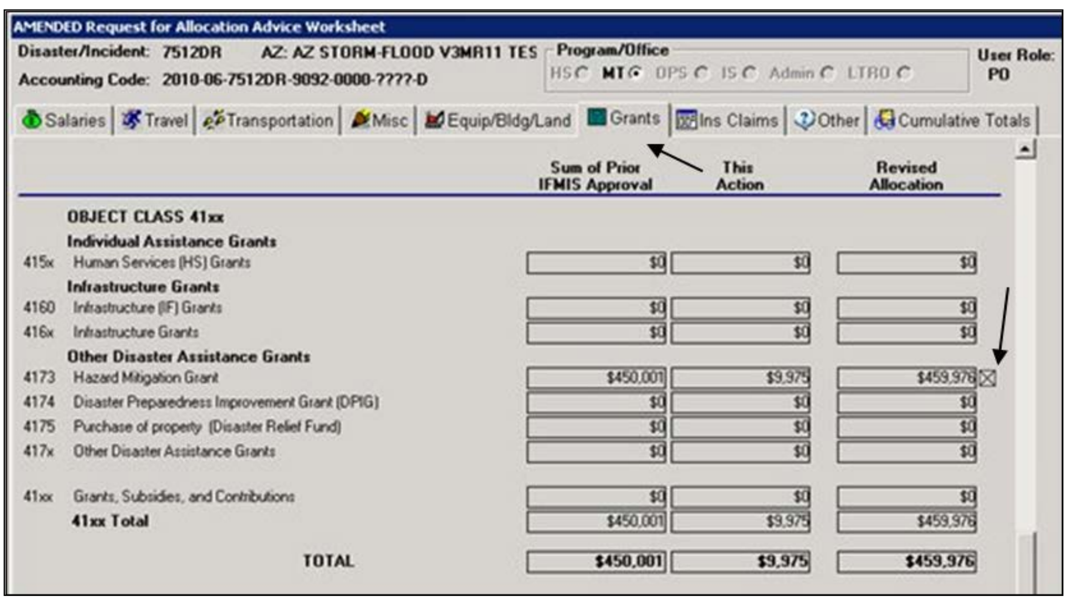


Figure 10-32: Hazard Mitigation Grant Row with X in Checkbox

21. At the bottom of the Grants worksheet, click the ACCEPT button (Figure 10-33).

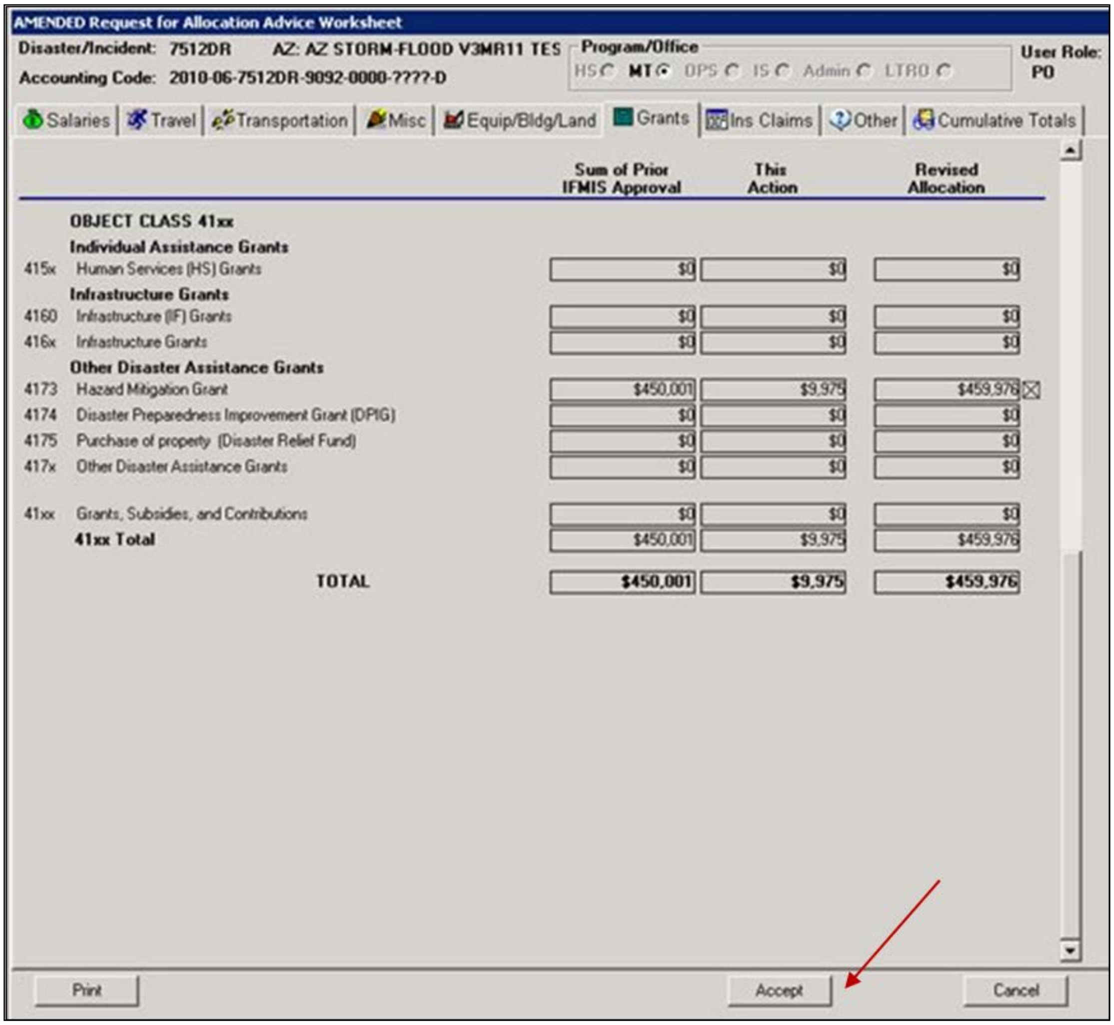


Figure 10-33: RAAWS → Grants Tab - Accept Button

22. The Print Worksheet dialog box is displayed (Figure 10-34).

Figure 10-34: Print RAAWS Dialog Box

23. Click the YES button.

CAUTION: Allocation Worksheets should be printed and placed in project files. This is useful for any future audits of the project.

24. The Print Completed message is displayed. Click the OK button.
25. The Worksheet Forwarded to the COMP Queue message is displayed (Figure 10-35).

Figure 10-35: Forward RAAWS to COMP Dialog Box

26. Click the OK button.

Processing the Allocation Request

The COMP referred to in Step 25 above is the Comptroller. After the Comptroller, the allocation request goes through the following approval levels.

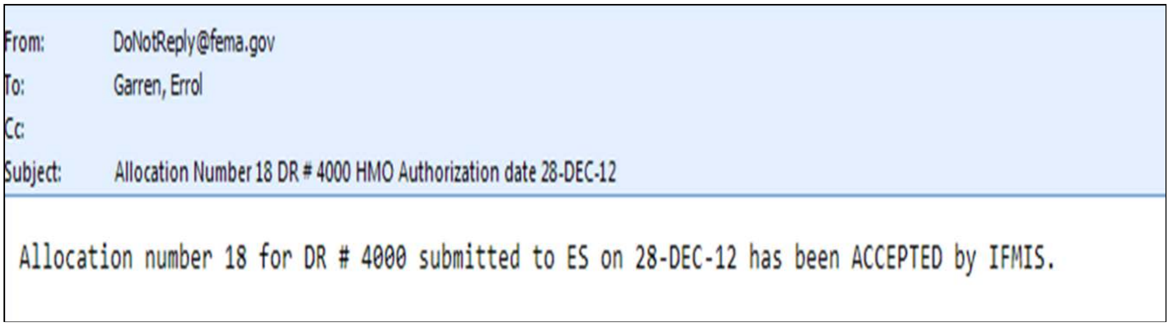
- Disaster Recovery Manager (DRM)
- Financial Policy Division (FPD)
- Office of Financial Management Planning and Analysis (OFMPA)

After the request is approved by OFMPA, the allocation is entered automatically into the Integrated Financial Management Information System (IFMIS).

The allocation request can be rejected at any time during the approval process. If the request is rejected at the HQ Level, it will be rejected back to the Comptroller, who will reject it back to the MT DC. The MT DC then deletes the Allocation work packet and rejects it back to the HMO. The work packet will then display a "REJECT" status in Mitigation → Projects → Management.

Allocation Status

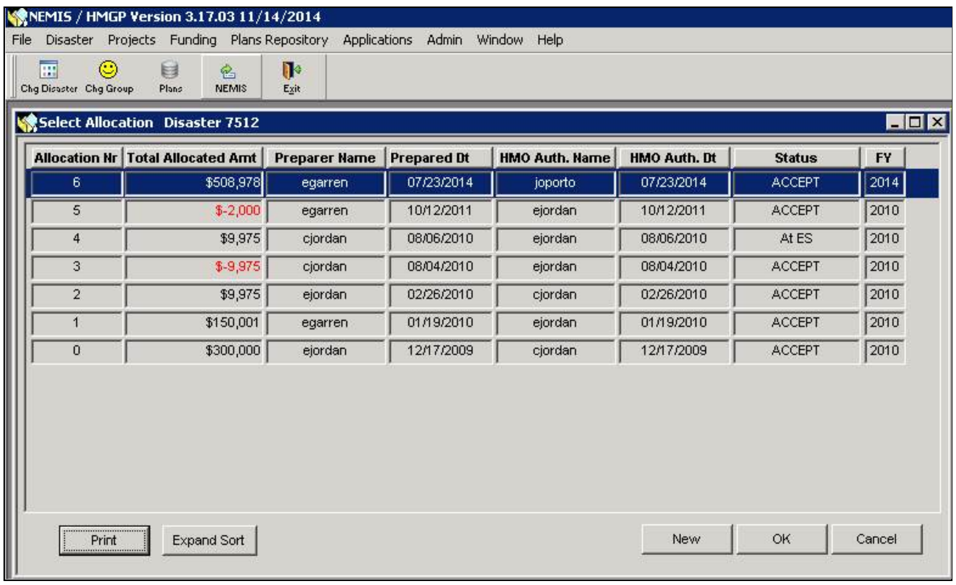
Once the allocation shows “ACCEPT” or “REJECTED” on the Select Allocation screen, an email will be sent to the HMO who submitted the allocation request (Figure 10-36).


From: DoNotReply@fema.gov
To: Garren, Errol
Cc:
Subject: Allocation Number 18 DR # 4000 HMO Authorization date 28-DEC-12

Allocation number 18 for DR # 4000 submitted to ES on 28-DEC-12 has been ACCEPTED by IFMIS.

Figure 10-36: Email notification to the HMO

On the bottom right part of the Select Allocation screen (Figure 10-37), click the CANCEL button. The funds are now available for the Obligation process.



Allocation Nr	Total Allocated Amt	Preparer Name	Prepared Dt	HMO Auth. Name	HMO Auth. Dt	Status	FY
6	$508,978	egarren	07/23/2014	joporto	07/23/2014	ACCEPT	2014
5	$-2,000	egarren	10/12/2011	ejordan	10/12/2011	ACCEPT	2010
4	$9,975	cjordan	08/06/2010	ejordan	08/06/2010	At ES	2010
3	$-9,975	cjordan	08/04/2010	ejordan	08/04/2010	ACCEPT	2010
2	$9,975	ejordan	02/26/2010	cjordan	02/26/2010	ACCEPT	2010
1	$150,001	egarren	01/19/2010	ejordan	01/19/2010	ACCEPT	2010
0	$300,000	ejordan	12/17/2009	cjordan	12/17/2009	ACCEPT	2010

Figure 10-37: Mitigation → Funding → Allocations

Part 2: Obligation

Unlike the allocation process, in which several projects can be grouped together in one allocation request, a single obligation for each individual project **MUST** be created in the system.

All projects included in the batch allocation must be fully obligated before another allocation can be processed.

For disasters declared on or after March 1, 2015, all obligations and deobligations will be made on a project-based basis. This change will add transparency to the drawdown process for both FEMA and the grantee; will provide controls to prevent overdrawing of projects; and will allow FEMA to provide the grantee with reports on a daily, weekly, monthly or quarterly basis by disaster, by project. While the process remains similar to the old process, there is a new look and feel to the obligation screens.

Some of the benefits of this change include:

- **Enhanced controls for both FEMA and the grantee.** Because funds will be obligated and disbursed at the project level, drawdowns for each individual project cannot exceed the amount obligated for that project, therefore eliminating the possibility of overdrawing funds on an individual project.
- **Simplification of data analytics.** Analyzing data to perform payment reviews and other audit sampling will be selected using information contained in FEMA's systems. This new process will provide greater transparency on a nationwide basis, reducing the burden on grantees and FEMA.
- **Streamlined reporting process.** Reports will provide both obligations and draws by project for quarterly reports that grantees can use as the basis of the quarterly reports or as a reconciliation control for their reporting process.

The change will be effective for disasters occurring after the implementation date and will not be applied retroactively to prior disasters. The change was implemented March 1, 2015. For disasters declared after March 1, 2015 the grantee will be required to request funding on a project by project basis. Funds already in the Grantee's account will remain in a lump sum until they are fully drawn down, but new project obligations will begin to display on a project by project basis.

Task 2A: Create Obligation and Submit to HMO

1. On the MITIGATION menu, click Funding → Obligations → New (Figure 10-38).

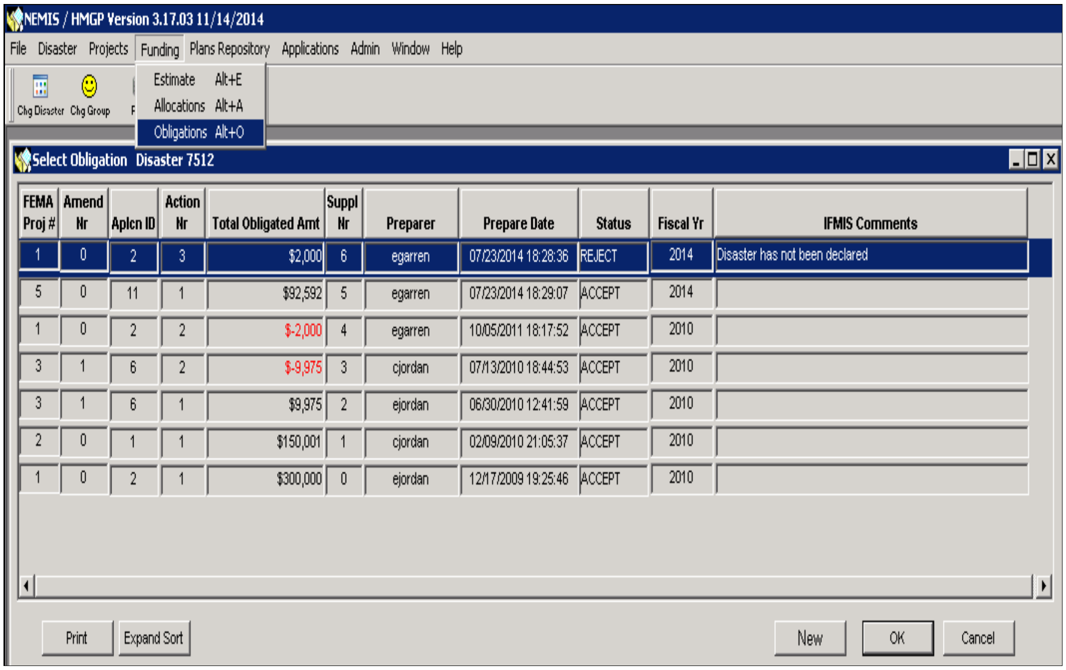


Figure 10-38: Mitigation → Funding → Obligations → NEW

2. The Project List for New Obligation is displayed (Figure 10-39).

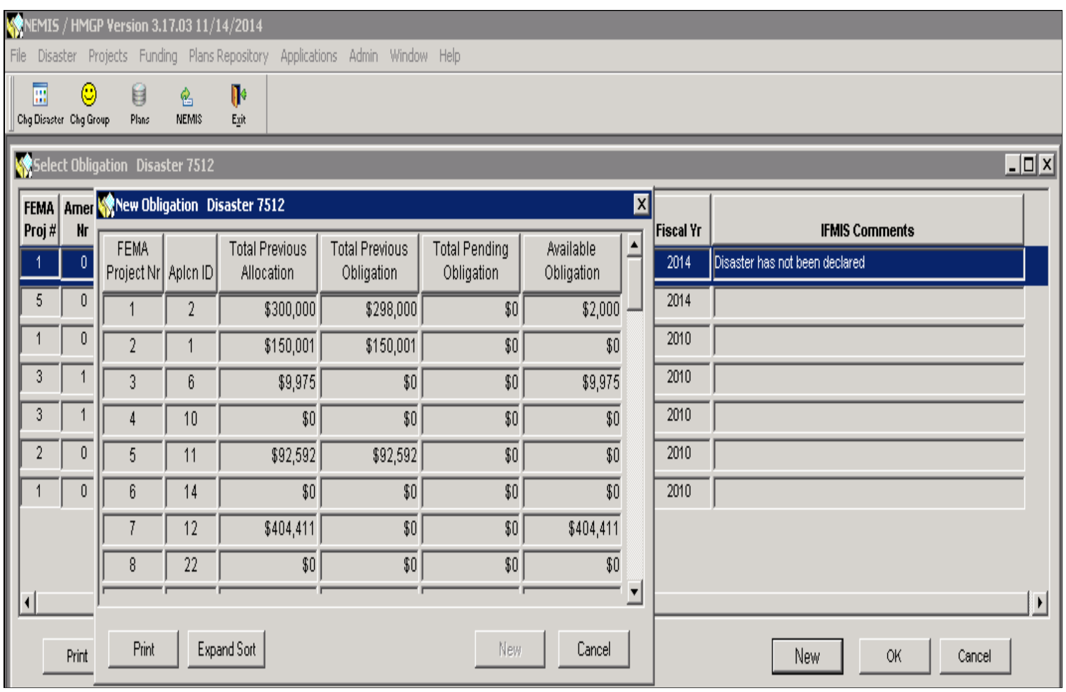


Figure 10-39: Mitigation → Funding → New Obligation

NOTE: The list displays projects that have allocated funds and are associated with the current disaster number. The list also includes projects that have been obligated previously. Obligations are initially sorted by FEMA project number. Each Data Field can be sorted from highest to lowest or vice versa. Disaster Number is now displayed on the blue banner.

3. Table 10-4 describes the Project List for Obligation data fields.

Table 10-4: Project List for Obligation Data Fields

Data Field	Information Displayed
FEMA Project Nr	Number assigned to the project application during the Eligibility Determination process; also referred to as FEMA Project number
Aplcn ID	System-generated Grantee Application ID number for the project
Total Previous Allocation	Project amount ***Amount does not include administrative costs that were included in the total amount of the allocation submitted and approved by ES***
Total Previous Obligation	Amount previously obligated
Total Pending Obligation	Amount that has been obligated but not yet approved by SFS
Available Obligation	Amount that has yet to be obligated for the project

4. Highlight the project for which you wish to obligate funds (Figure 10-40).

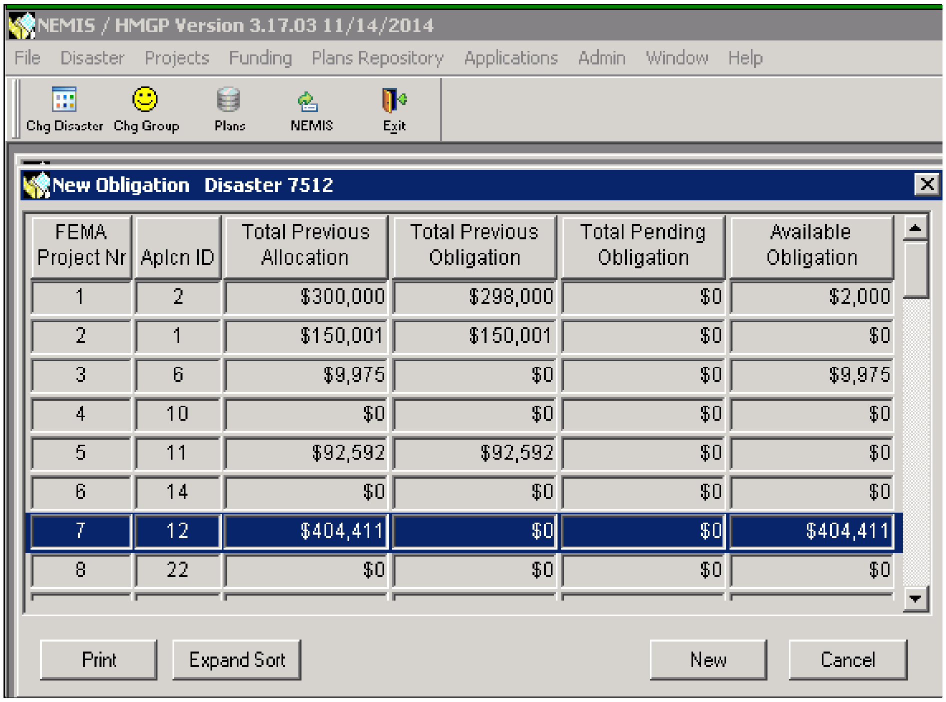


Figure 10-40: Mitigation → Funding → Project List for Obligation

5. On the bottom right part of the Project List, click the NEW button. Three tabs with Obligation information are displayed. The **Worksheet** tab is displayed by default (Figure 10-41).

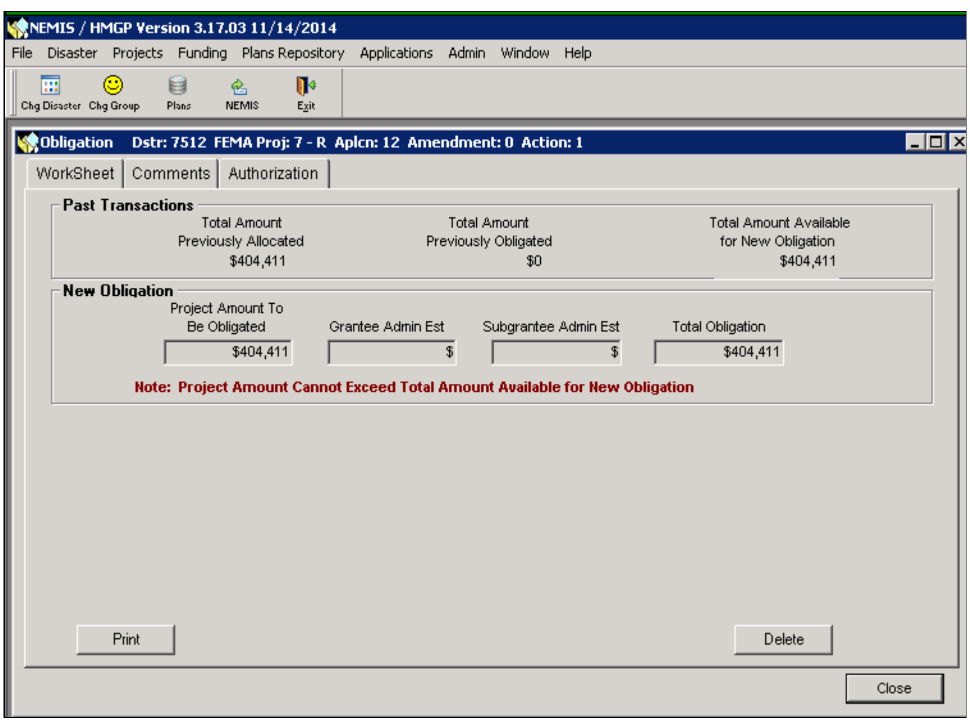


Figure 10-41: Mitigation → Funding → Obligations → Worksheet Tab

6. In the top right part of the Title Bar, note the Action Nr. This is a system-generated sequential number assigned to this obligation unique to the project being obligated.

7. The system auto-fills the Total Obligation dollar amount.

8. Click the **Comments** tab (Figure 10-42).

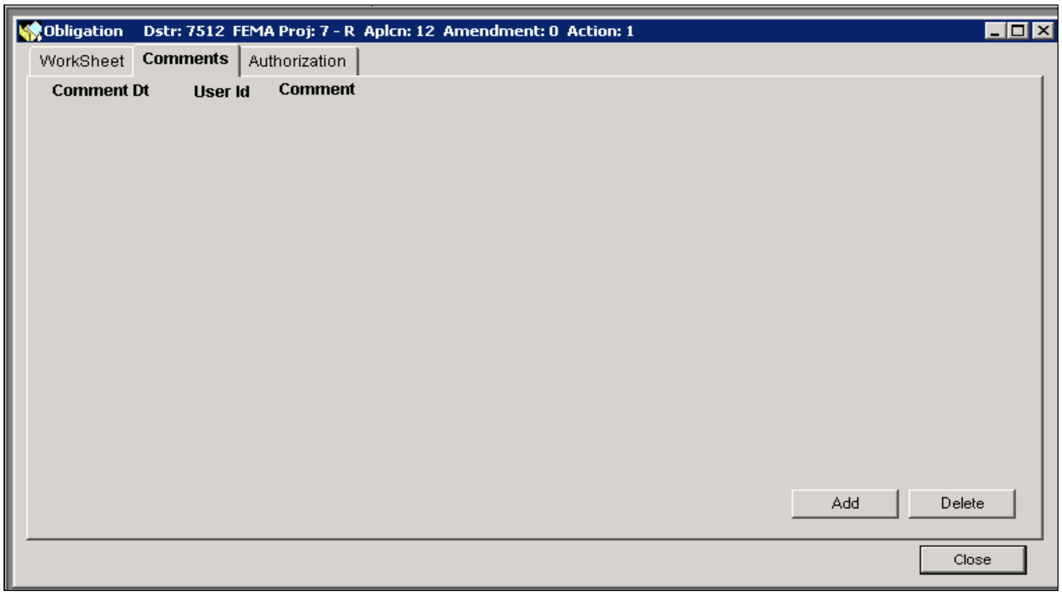


Figure 10-42: Mitigation → Funding → Obligations → Comments Tab

9. Click the ADD button. A new row for adding comments is displayed. The system auto-fills the User Name, the Date, and the Time of the entry (Figure 10-43).

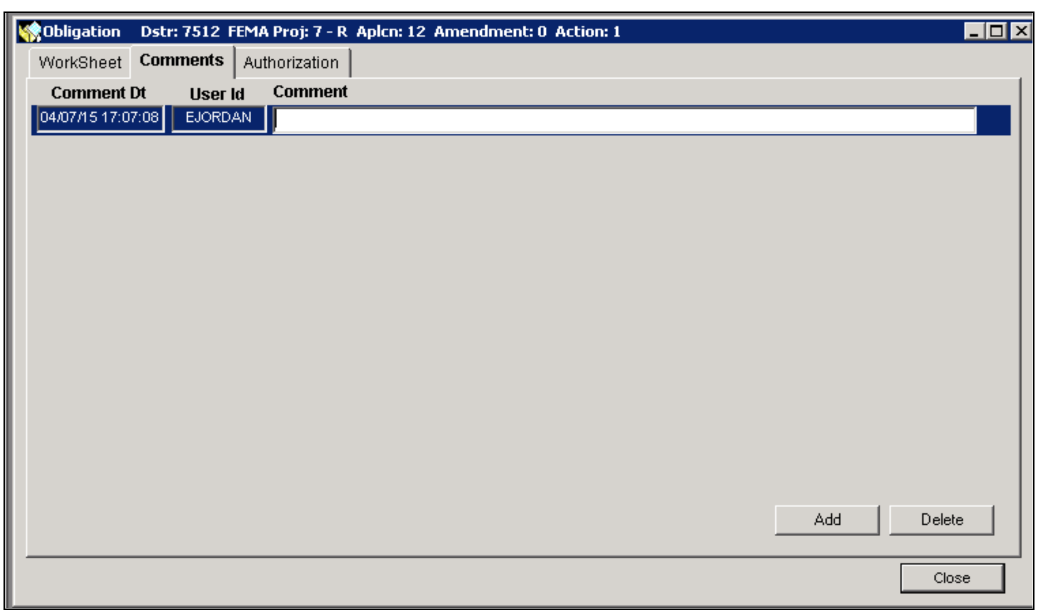


Figure 10-43: Comments Tab with New Row

10. Double-click inside the Comment box. The Comment Editor is displayed.

11. In the Comment Editor text area, enter the justification for obligating this project or any comments that may help the reviewers and approvers.

12. Click the OK button. The comments you entered are now displayed on the **Comments** tab (Figure 10-44).

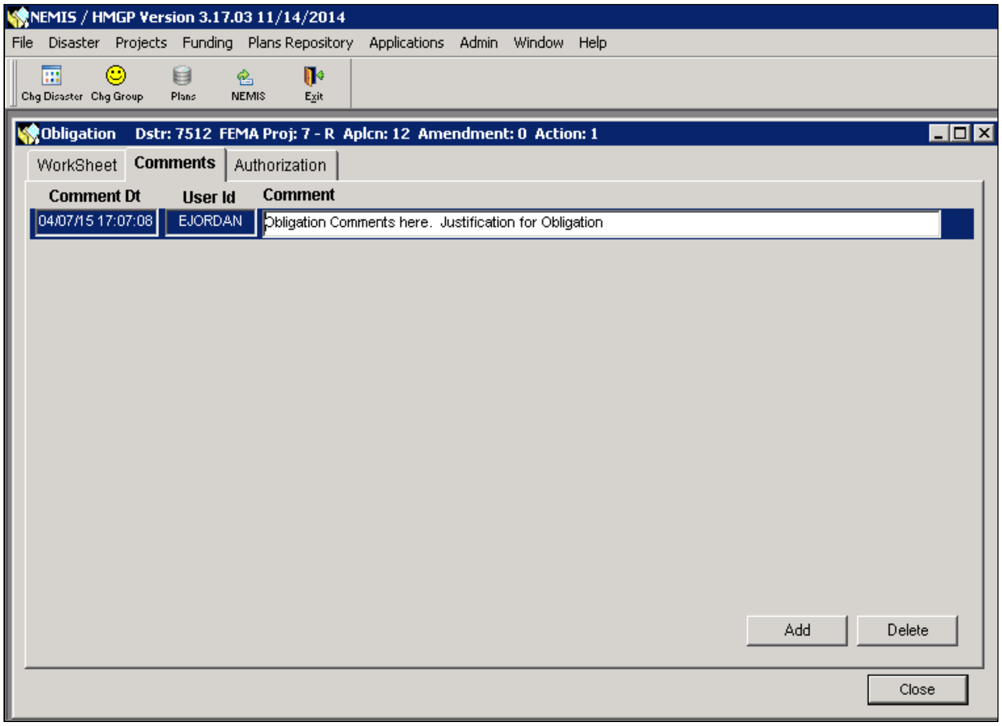


Figure 10-44: Comments Tab with Comments Added

13. Click the **Authorization** tab (Figure 10-45).

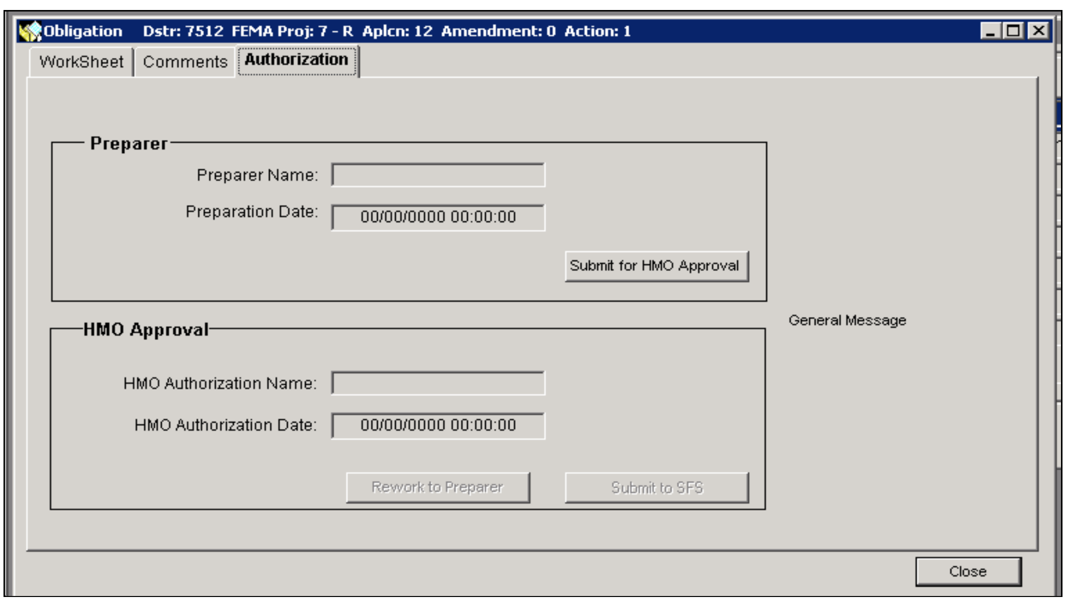


Figure 10-45: Mitigation → Funding → Obligations → Authorization Tab

14. Click the SUBMIT FOR HMO APPROVAL button. The Forward Work Packet dialog box is displayed (Figure 10-46).

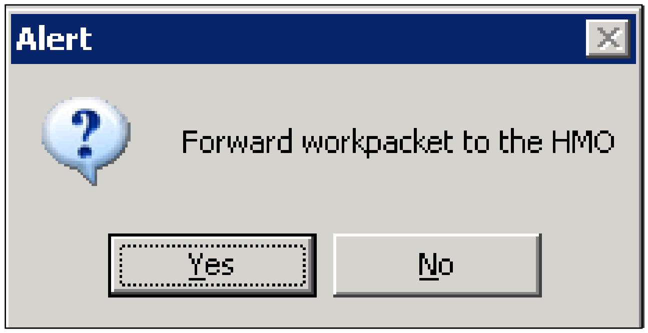


Figure 10-46: Forward Work Packet Dialog Box

15. Click the YES button. The **Authorization** tab now displays the Preparer Name and Preparation Date. These data fields are auto-filled by the system (Figure 10-47).

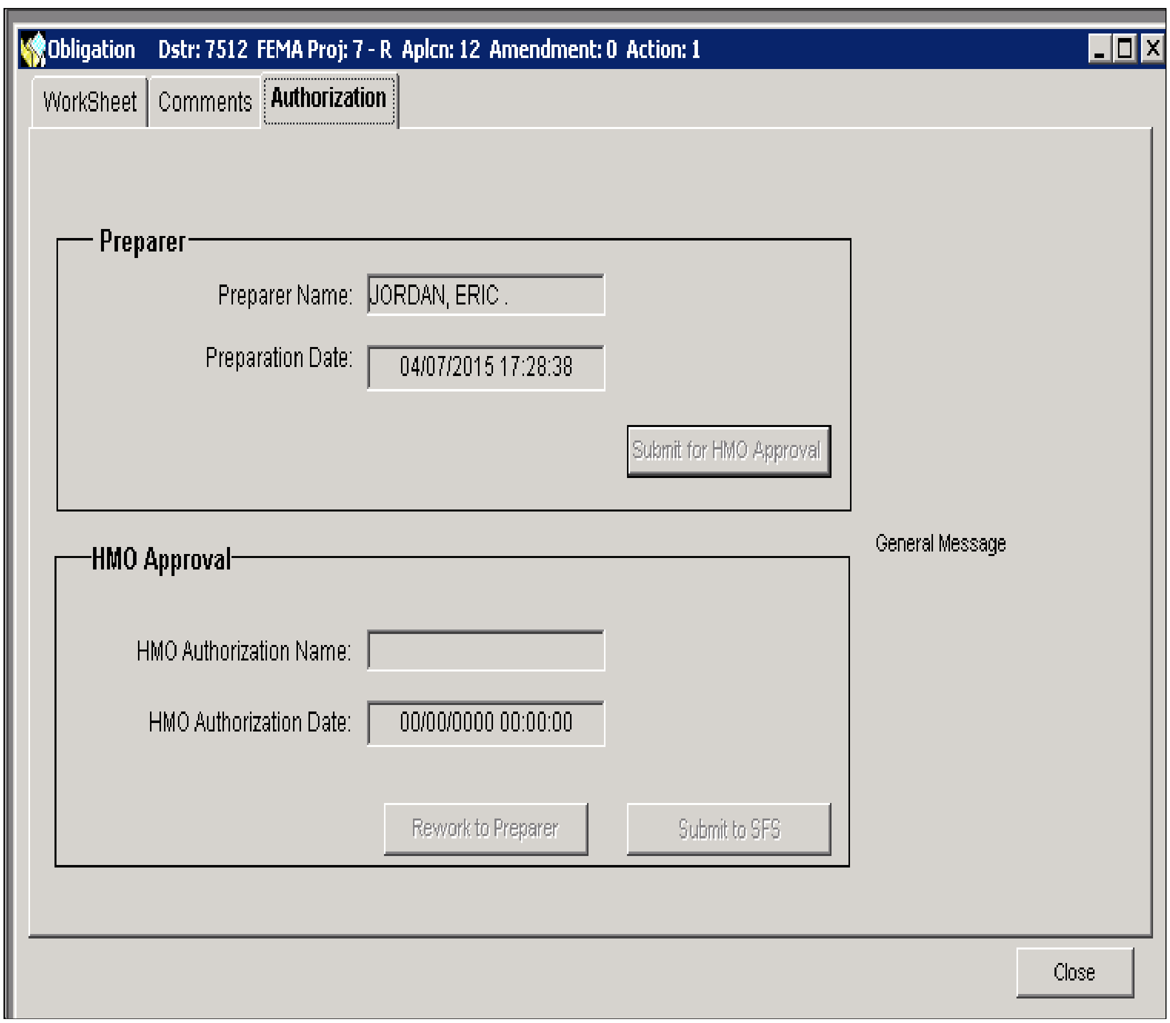


Figure 10-47: Authorization Tab with Preparer Information Added

16. On the bottom right part of the Authorization tab, click the **CLOSE** button.

17. If during the process you wish to delete the obligation without submitting to the HMO, select the Delete button on the Worksheet tab.

Task 2B: Submit Obligation to SAO Financial Services (SFS)

1. On the MITIGATION menu, click on Funding → Obligations (Figure 10-48).

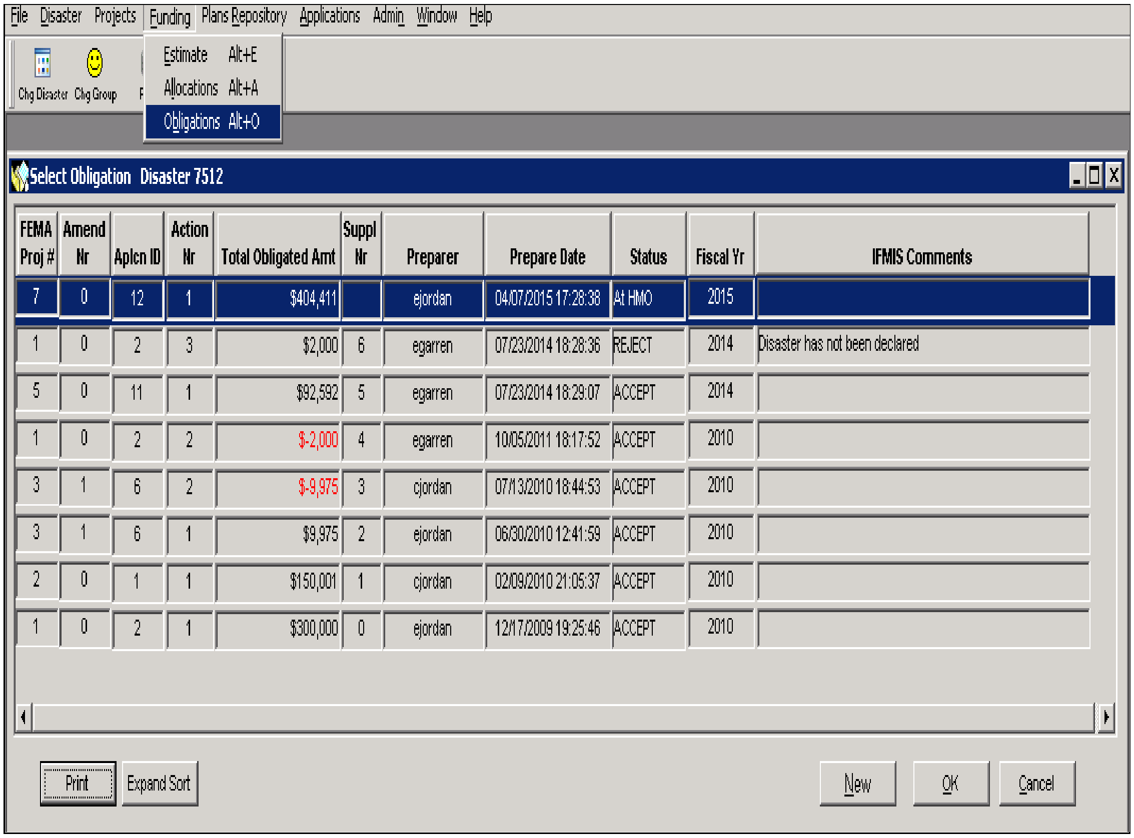


Figure 10-48: Mitigation → Funding → Obligations

2. The list of Obligations for the disaster is displayed. Check that you are logged in with the HMO Group ID. You should not be the same User who completed Task 2A: Create Obligation and Submit to HMO.
3. Table 10-5 describes the Obligation Work Packet List data fields.

Table 10-5: Obligation Work Screen List Data

DATA FIELD	INFORMATION DISPLAYED
FEMA Proj #	Number assigned to the project application during the Eligibility Determination process; also referred to as FEMA Project number
Amend Nr	System-generated number of the amendment (0 is assigned to the initial project application submission, 1 to the first amendment, and so on)
Aplcn ID	System-generated Grantee Application ID number for the project

DATA FIELD	INFORMATION DISPLAYED
Action Nr	System generated obligation number assigned sequentially and unique to the project being obligated
Total Obligated Amt	Total amount of project funds + grantee and sub-grantee amount
Suppl Nr	System generated supplement number for tracking purposes
Preparer	NEMIS HMGP User Name of the person who created the obligation
Prepare Date	Date the obligation was created or the most recent date it was edited
Status	System-generated indicator of the status of the workflow in the ES Review: At MA = awaiting transmittal to HMO; At HMO = awaiting transmittal to SFS module; At SFS = awaiting approval in SFS Module; Accept = accepted by IFMIS; Void = Obligation was voided.
Fiscal Yr	Fiscal year for this obligation
IFMIS Comments	Should the Obligation be REJECTED, comments are provided to explain the cause of the rejection

4. The Obligation work packet is ready for HMO approval if it displays the following information:
    - At HMO
5. Highlight the appropriate obligation. Click the OK button.
6. Three tabs with Obligation information are displayed. The **Worksheet** tab is displayed by default.
7. Review the read-only information in the **Worksheet** and **Comments** tabs.
8. Click the **Authorization** tab. Click the SUBMIT TO SFS button (Figure 10-49).

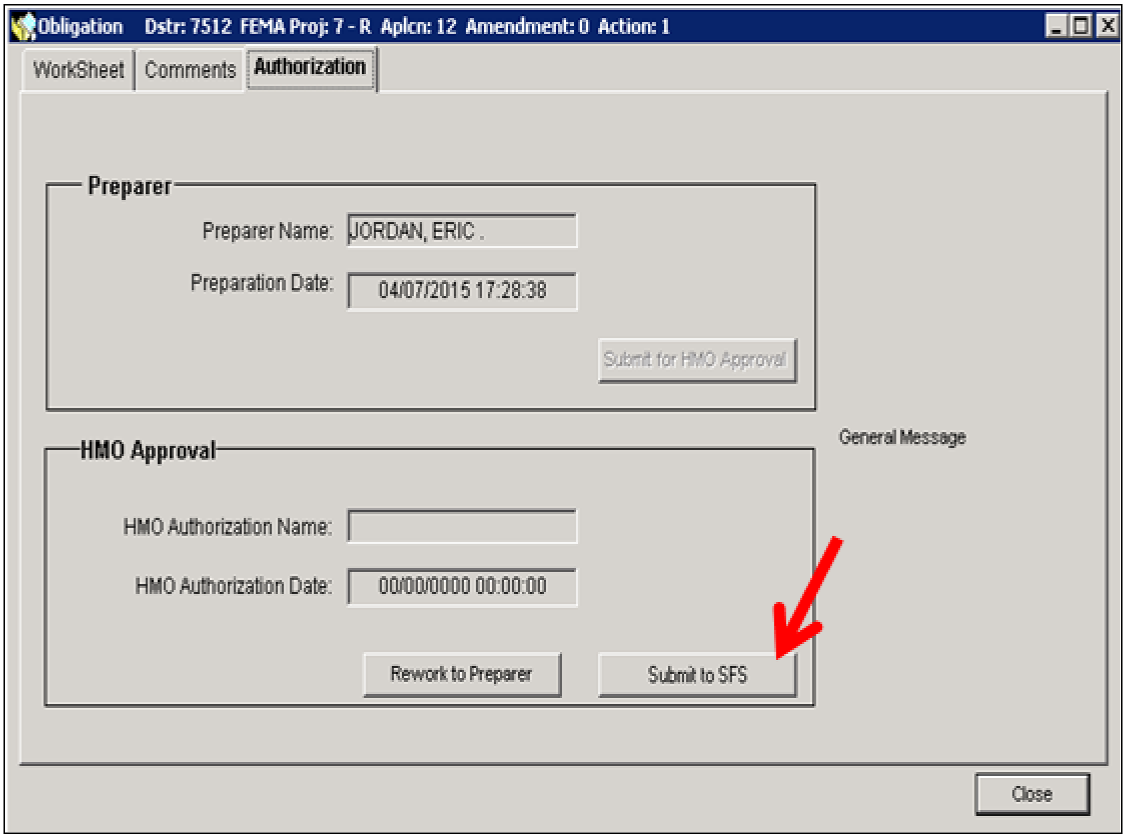


Figure 10-49: Mitigation → Funding → Obligations

HINT: If you created the Obligation request and you are now submitting the request to SFS, the following system error message will be displayed (Figure 10-50). Click the OK button on the error message and exit out of NEMIS. Another user with the HMO role will need to log in and submit the Obligation request to SFS.

Figure 10-50: Preparer Cannot Submit Obligation Message

9. The Forward Work Packet to SFS dialog box is displayed (Figure 10-51).

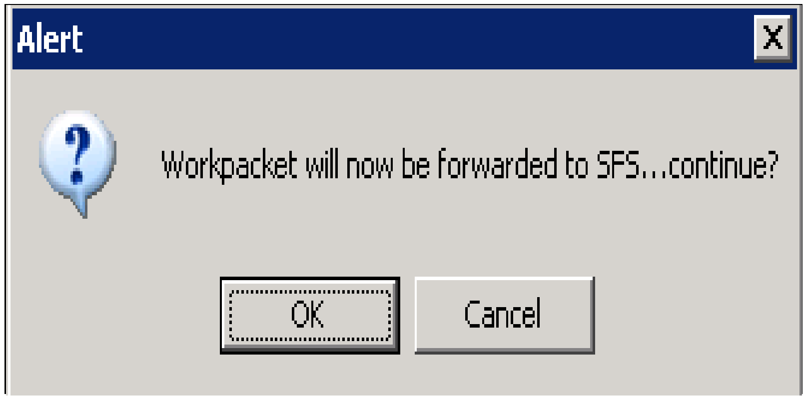


Figure 10-51: Forward Work Packet to SFS Dialog Box

10. Click the OK button.

11. The "Obligation request submission was successfully transmitted to SFS and is pending IFMIS reply”" message is displayed (Figure 10-52).

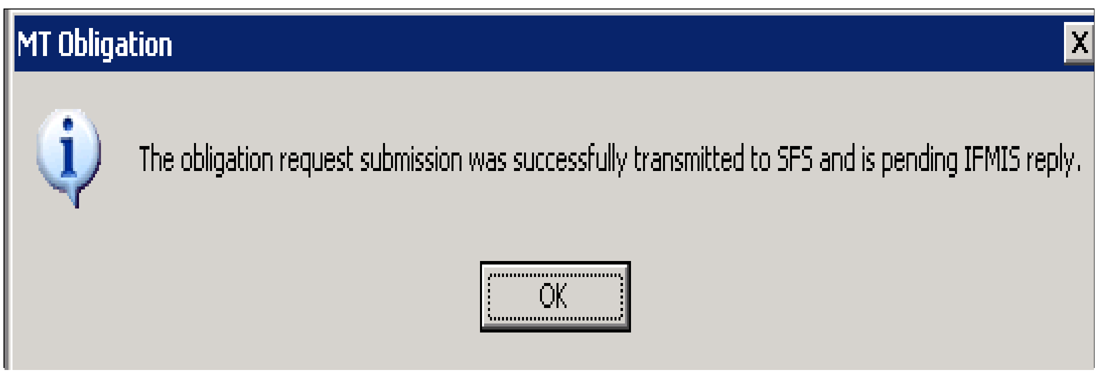


Figure 10-52: Obligation Submitted Message

CAUTION: Do not submit more than one obligation at a time. Wait until the first obligation is processed before submitting another obligation. This process could take from a few minutes to up to an hour but could take longer. In every disaster, the first obligation of a new fiscal year is required to be accepted in IFMIS before another obligation can be submitted.

12. Click the OK button. On the **Authorization** tab, note that the system auto-filled the HMO Approval data fields with your User Name and the current date (Figure 10-53).

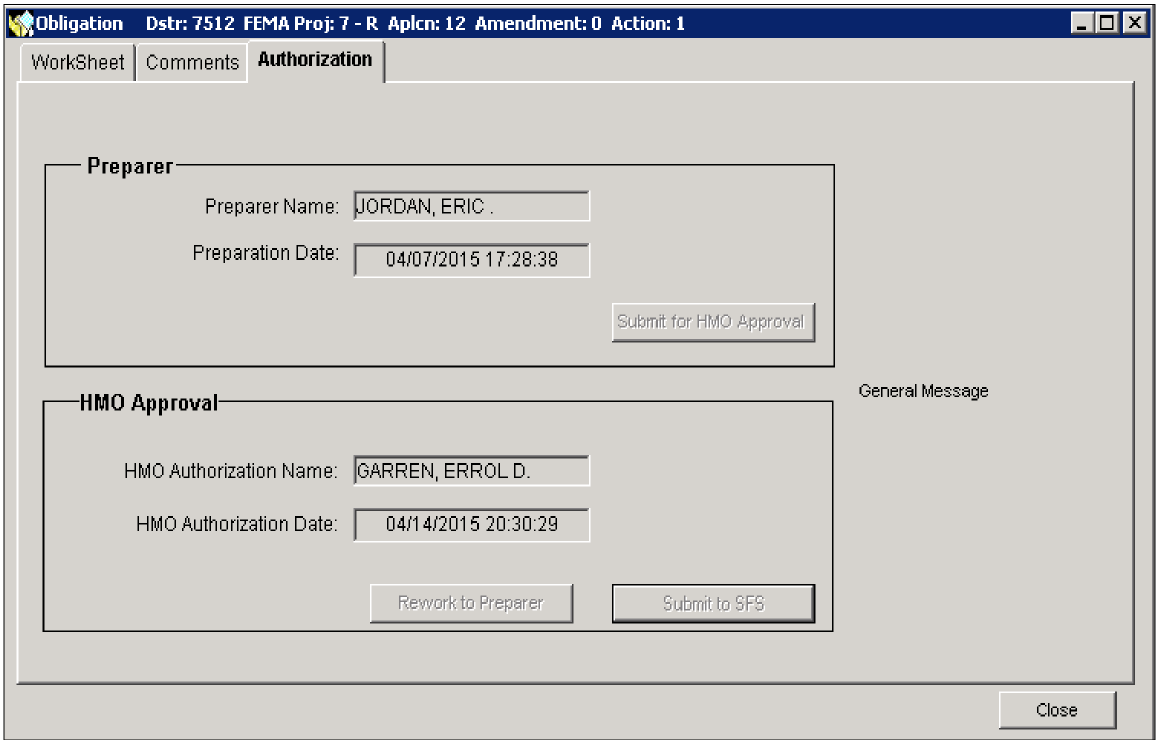


Figure 10-53: Authorization Tab with HMO Approval Information

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Task 2C: Verify Obligation

Obligations submitted in Task 2B are normally processed once an hour. An hour after submission, the MA or the HMO should verify that the obligation was processed. If the obligation is still not processed at the end of a reasonable amount of time, a help desk ticket should be submitted to the FEMA Enterprise Service Desk at FEMA-Enterprise-Service-Desk@DHS.GOV.
This task provides steps on how to verify the obligation in the following NEMIS HMGP functional areas:

- Obligations
- Project Management7512
- Funding Estimate

1. To verify that the obligation has been approved in Obligations, complete Steps 1a–1h.

   a. On the MITIGATION menu, click on Funding → Obligations (Figure 10-54).

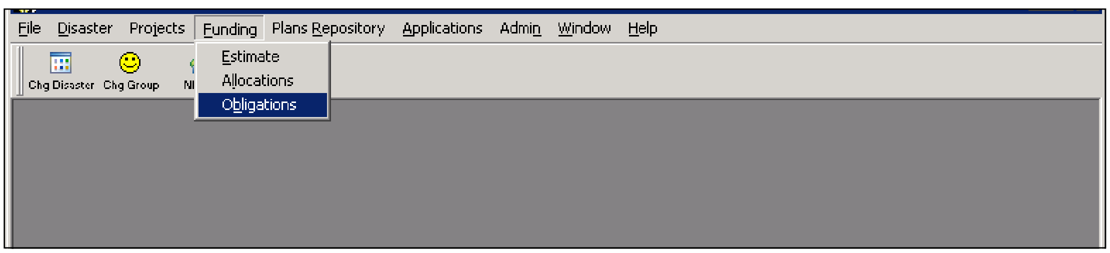


Figure 10-54: Mitigation → Funding → Obligations

2. The Obligation Project List is displayed (Figure 10-55).

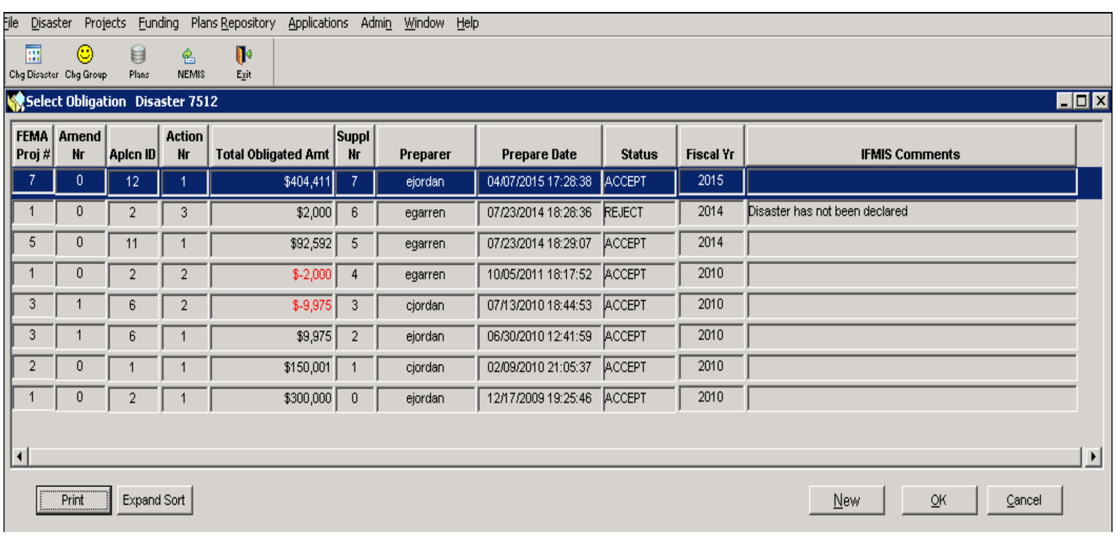


Figure 10-55: Obligation Project List

   a. Table 10-6 describes the information displayed in the Obligation Project List.

Table 10-6: Obligation Project List Data Fields

DATA FIELD	INFORMATION DISPLAYED
FEMA Proj #	Number assigned to the project application during the Eligibility Determination process; also referred to as FEMA Project number
Amend Nr	System-generated number of the amendment (0 is assigned to the initial project application submission, 1 to the first amendment, and so on)
Aplcn ID	System-generated Grantee Application ID number for the project
Action Nr	System-generated obligation number assigned sequentially
Total Obligated Amt	Total amount of project funds + grantee and subgrantee amount
Suppl Nr	System-generated supplement number for tracking purposes
Preparer	NEMIS HMGP User Name of the person who created the obligation
Prepare Date	Date the obligation was created or the most recent date it was edited
Status	System-generated indicator of the status of the workflow in the SFS Review: At MA = awaiting transmittal to HMO; At HMO = awaiting transmittal to SFS module; At SFS = awaiting transmission to SFS Module; Accept = accepted by IFMIS; Void = Obligation was voided
Fiscal Yr	Fiscal year for this obligation
IFMIS Comments	Should the Obligation be REJECTED, comments are provided to explain the cause of the rejection

b. Highlight the row of the obligation you wish to verify.

c. If the status of the obligation is AT SFS you may need to wait for a few minutes—depending on volume—to have the obligation move to the IFMIS module. (Figure 10-56).

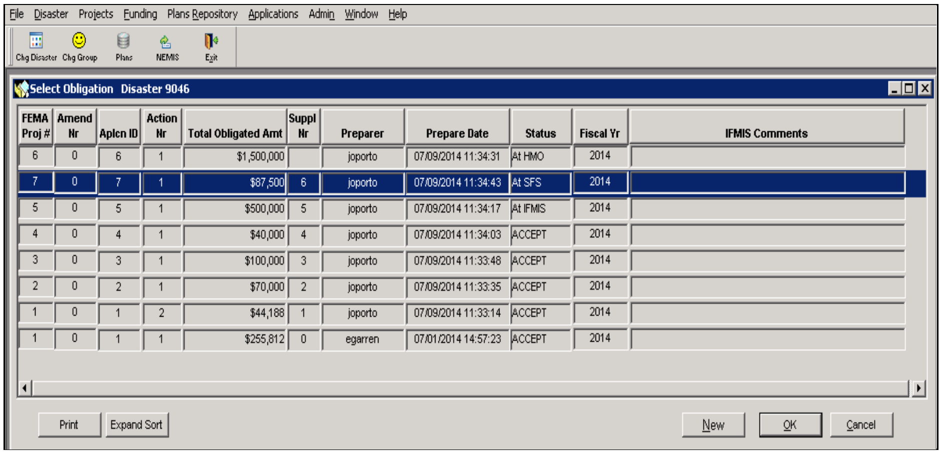


Figure 10-56: Obligation Status at SFS

d. It is required that a previously-submitted obligation be status at IFMIS before a subsequent Obligation can be submitted. Any attempt to submit another obligation prior to the previous obligation being moved from AT SFS to AT IFMIS will result in a message similar or identical to the one below. It is anticipated this process will take up to 3 minutes on average but may take longer in certain extraordinary circumstances, such as high volume or server issues. (Figure 10-57).

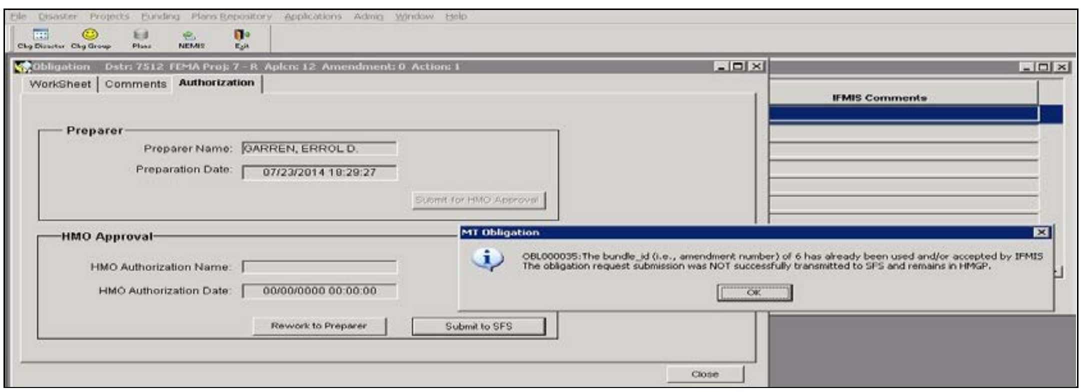


Figure 10-57: Obligation not submitted message due to previous obligation Status at SFS

e. If the IFMIS Status for that project is "ACCEPT," the obligation has been approved.

NOTE: If the IFMIS status is "REJECT," discuss the message in the IFMIS Comments with the system sustainment staff. After resolving any issues, submit a new obligation as described in Task 2A: Create Obligation and Submit to HMO. Be sure to incorporate the changes recommended by the system sustainment staff. A remedy ticket may be required.

3. To verify that the obligation has been approved in Project Management, complete steps 3a–3e.

   a. On the MITIGATION menu, click on Projects → Management (Figure 10-58).

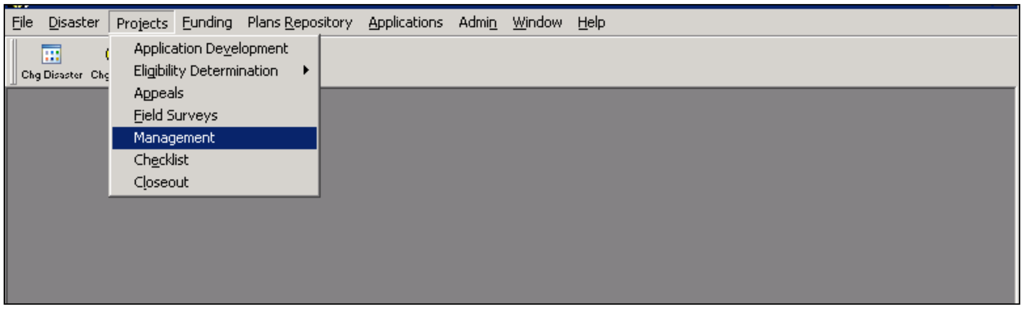


Figure 10-58: Mitigation → Projects → Management

   b. The Project Management Project List is displayed (Figure 10-59).

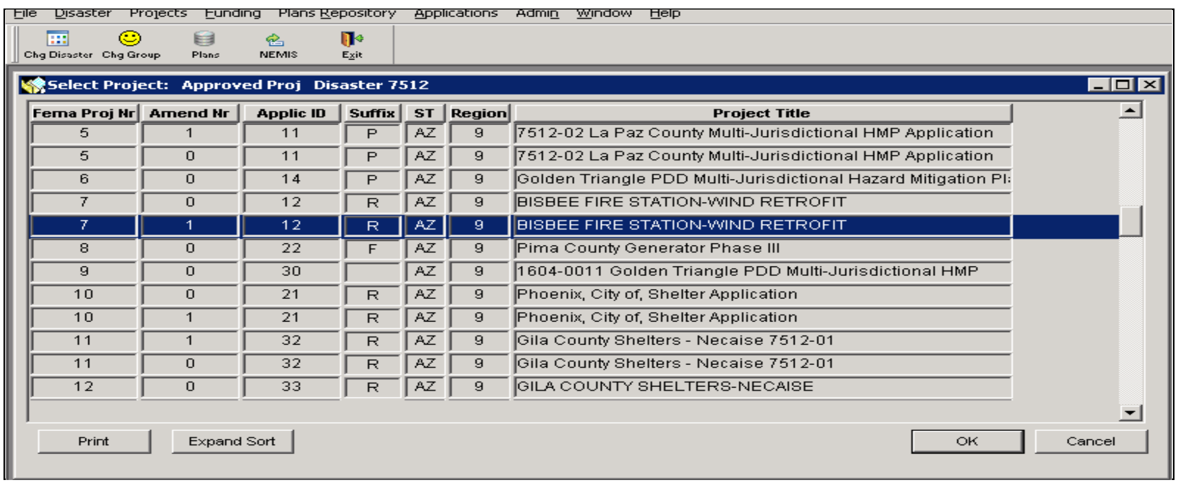


Figure 10-59: Project Management Project List

   c. Select the Project whose obligation you wish to verify. If the project has several rows, select the row with the highest amendment number. Click the OK button.

   d. Two tabs with Project Management information are displayed. The **HMGP Project Management** tab is displayed by default (Figure 10-60).

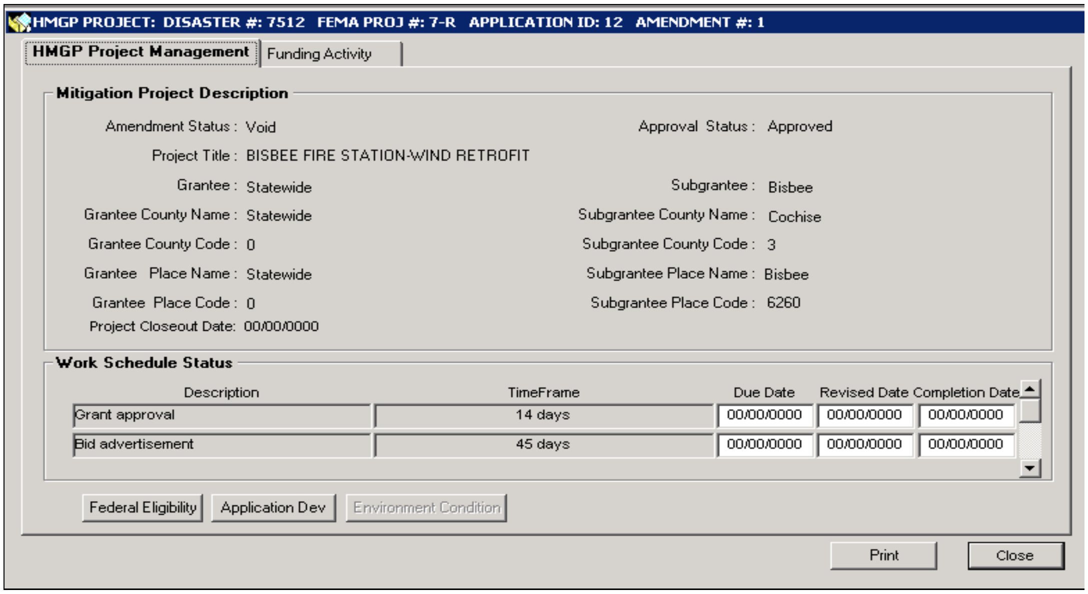


Figure 10-60: Mitigation → Projects → Management → HMGP Project Management Tab

e. Click the **Funding Activity** tab. On the bottom right part of the tab, note the Total Obligated Amount (Figure 10-61).

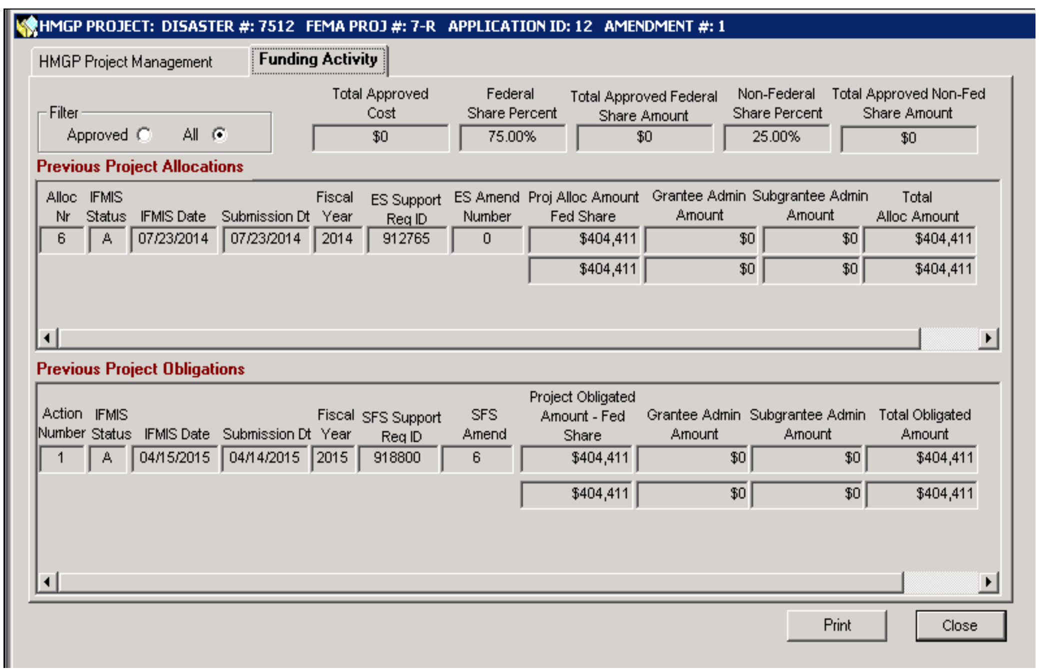


Figure 10-61: Mitigation → Projects → Management → Funding Activity Tab

4. To verify the obligation in Funding Estimate, complete Steps 4a–4e.

   a. On the MITIGATION menu, click on Funding → Estimate (Figure 10-62).

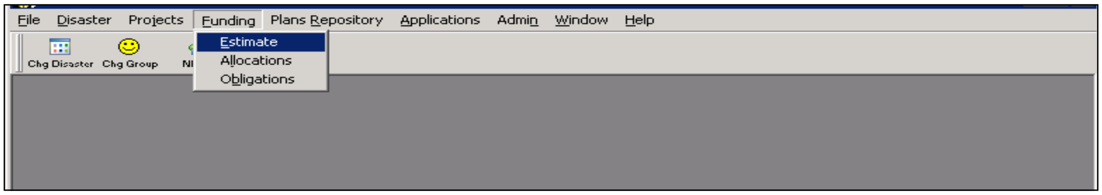


Figure 10-62: Mitigation → Funding → Estimate

   b. The **HMGP Financial Activity** tab is displayed by default.

   c. At the top left part of the tab, select the Grantee from the drop-down list.

   d. The tab displays five columns of data for various funding amounts:

      - Projected A
      - Total Allocated in NEMIS B
      - Available C (A-B)
      - Total Obligated in NEMIS D
      - Available E (amount obligated minus the current estimate or A - D)

   e. Note the Obligated dollar amount in Column D (Figure 10-63). This amount should now include your latest accepted obligation.

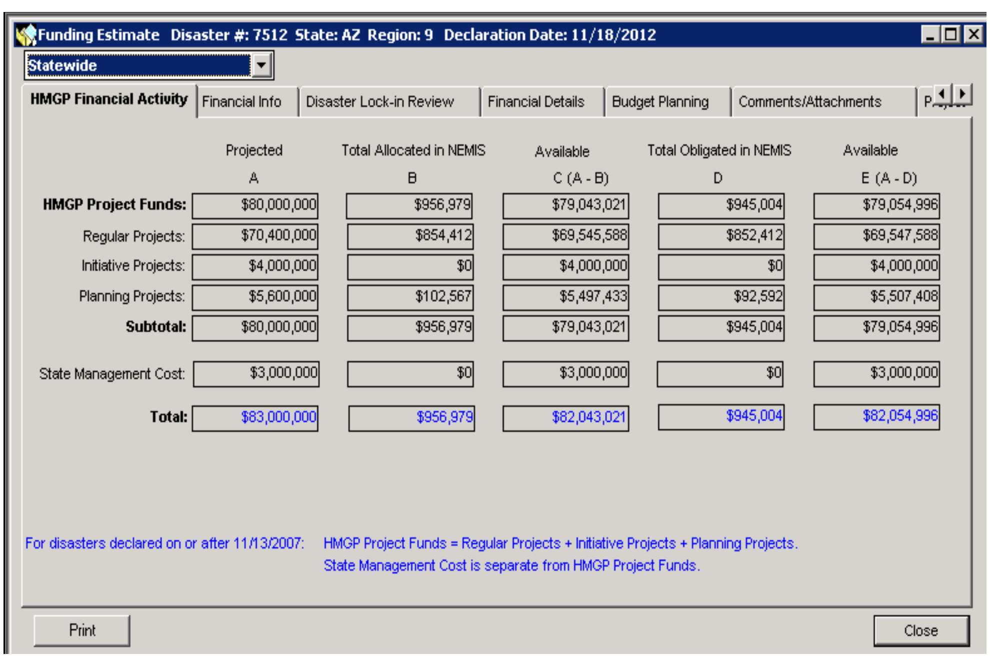


Figure 10-63: Obligated Amount Displayed in HMGP Financial Activity

Task 2D: Notify Grantee of Obligation

NOTE: This task is executed outside of NEMIS HMGP. It is included in this User Manual because it completes the Manage Allocations and Obligations process.

Send a letter to the Governor's Authorized Representative (GAR) indicating that the funds are available and have been transferred to the Smartlink account, if applicable.

A copy of this form letter is provided in the References Section of this unit. Regions may use a Regional specific format, as long as all necessary information is included. Enter the project-specific information in the form letter.

HINT: Save the letter using the "Save As" feature, giving the letter a different file name.

Part 3: Deobligation

Execute the Deobligation process in NEMIS HMGP if any of the following conditions are true:

- A project has a cost under-run during Project Closeout
- Grantee chooses to withdraw a project after funds have been obligated
- The Grantee or Subgrantee are returning unearned or unwanted administrative funds

The Deobligation process is almost exactly the reverse of the Obligation process. Figure 10-64 compares the processes of Obligation and Deobligation.

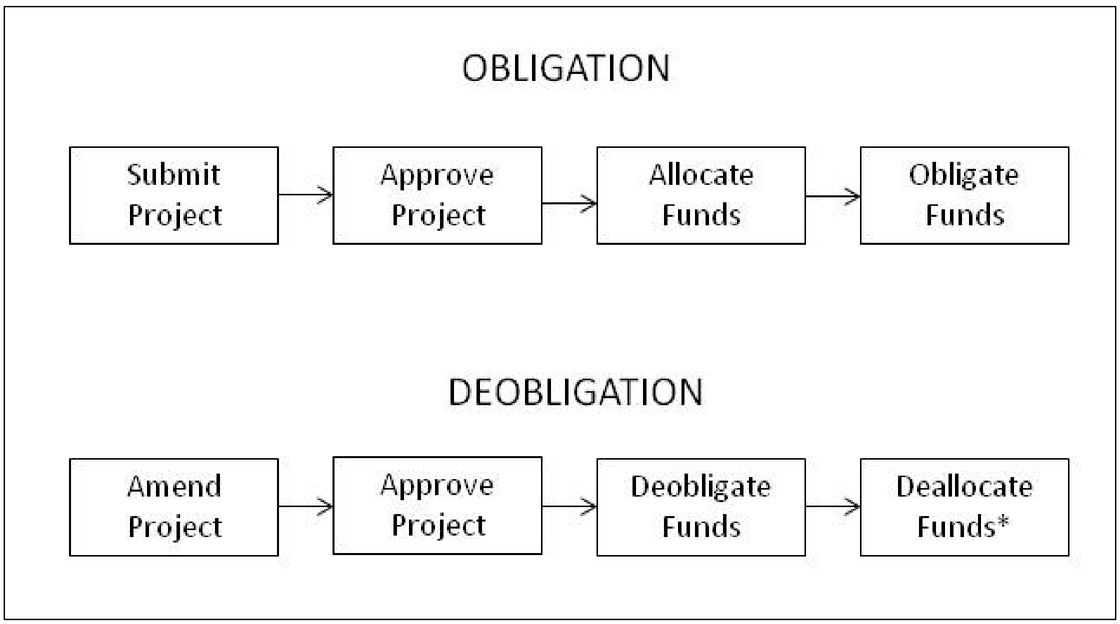


Figure 10-64: Obligation and Deobligation Processes (*if needed – see Unit 10 Part 4, Deallocation)

Task 3A: Create Deobligation and Submit to HMO

1. If deobligating Federal funds, after the project has been amended and approved, on the MITIGATION menu, click on Funding → Obligations (Figure 10-65).

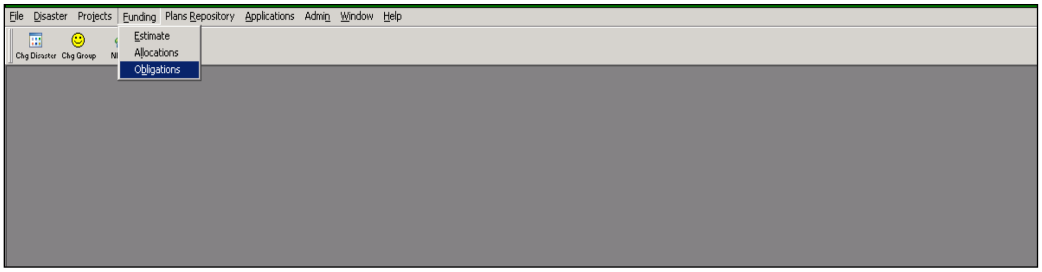
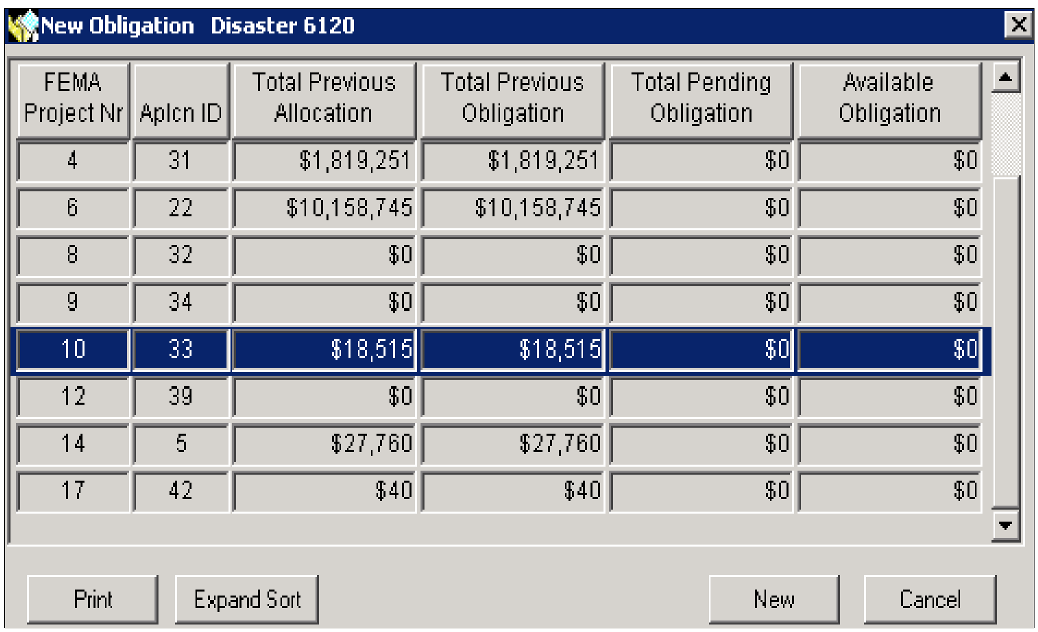


Figure 10-65: Mitigation → Funding → Obligations

2. The Select Obligation List is displayed. Click the NEW button.
3. The New Obligation list is displayed (Figure 10-66). Highlight the project for which you wish to de-obligate funds. Click the NEW button.


New Obligation Disaster 6120

FEMA Project Nr	Aplcn ID	Total Previous Allocation	Total Previous Obligation	Total Pending Obligation	Available Obligation
4	31	$1,819,251	$1,819,251	$0	$0
6	22	$10,158,745	$10,158,745	$0	$0
8	32	$0	$0	$0	$0
9	34	$0	$0	$0	$0
10	33	$18,515	$18,515	$0	$0
12	39	$0	$0	$0	$0
14	5	$27,760	$27,760	$0	$0
17	42	$40	$40	$0	$0

Print Expand Sort New Cancel

Figure 10-66: Obligation Project List

4. Table 10-7 describes the information in the Obligation Project List.

Table 10-7: Obligation Project List Data Fields

DATA FIELD	INFORMATION DISPLAYED
FEMA Project Nr	Number assigned to the project application during the Eligibility Determination process; also referred to as FEMA Project number.
Aplcn ID	System-generated Grantee Application ID number for the project
Total Previous Allocation	Project amount allocated **NOTE:** ***Amount does not include administrative costs that were included in the total amount of the allocation submitted and approved by ES.***
Total Previous Obligation	Amount previously obligated
Total Pending Obligation	Amount that has been obligated but not yet approved by ES
Available Obligation	Amount that has yet to be obligated for the project

5. The Deobligate Funds dialog box is displayed (Figure 10-67). Click the YES button to continue.

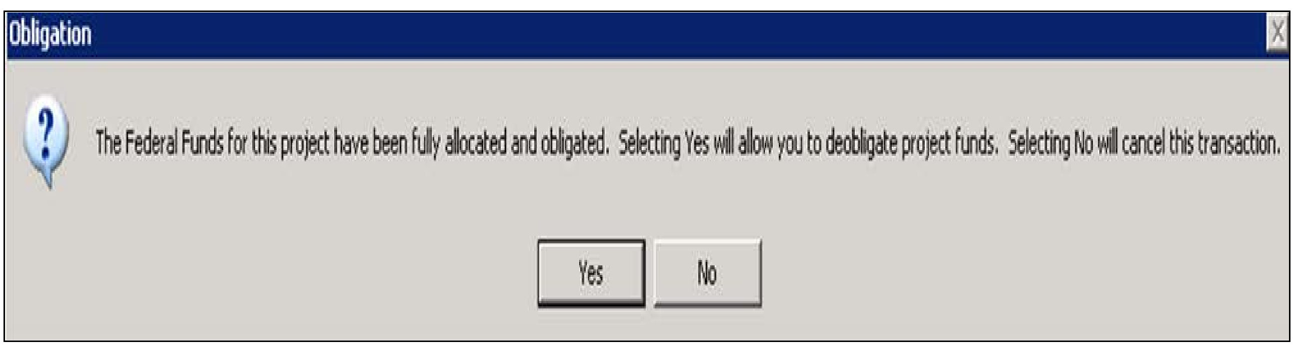


Figure 10-67: Deobligate Funds Dialog Box

6. Three tabs with Obligation information are displayed. On the right side of the Obligation title bar, note that Action Nr is now "2," referring to the deobligation request. The original obligation created in Task 2A was Action Nr "1."

7. The **Worksheet** tab is displayed by default (Figure 10-68).

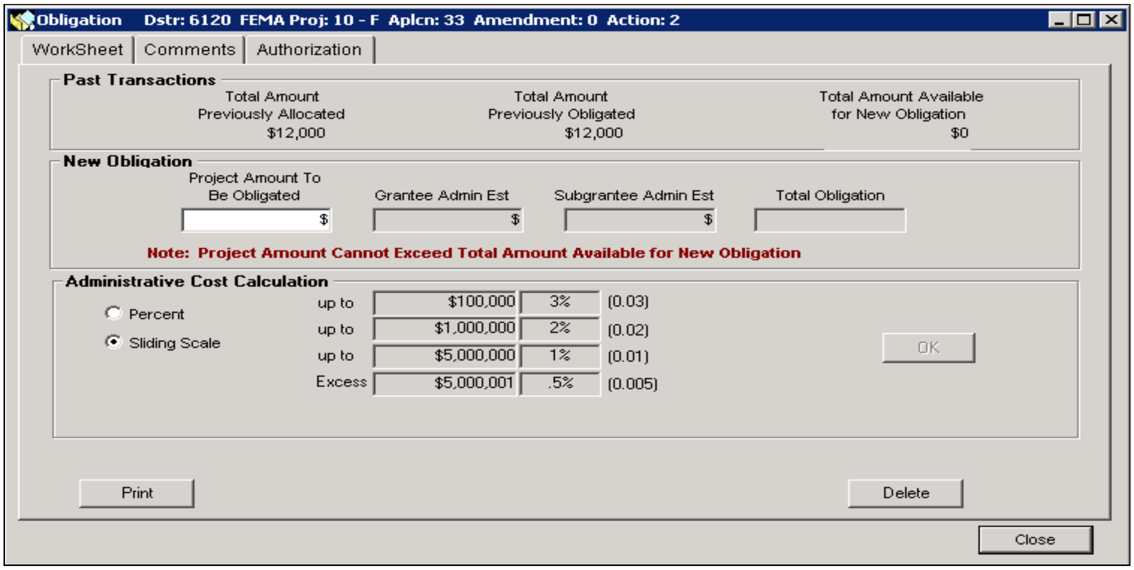


Figure 10-68: Worksheet tab showing amounts previously Allocated and Obligated and selection of the Sliding Scale Radio Button to ensure proper calculation

8. In the Project Amount to Be Obligated field, enter the minus sign "-" followed by the dollar amount to be deobligated.

9. Press the Tab key. The amount is displayed in the Total Obligation field. Notice the minus sign before the amount and the red font (Figure 10-69).

10. When deobligating project funds as well as Grantee and Subgrantee Administrative funds, always use the sliding scale radio button to ensure the Grantee and Subgrantee Administrative funds are calculated correctly by the system and included in the Total Obligation field along with the Project Amount to be deobligated (Figure 10-69).

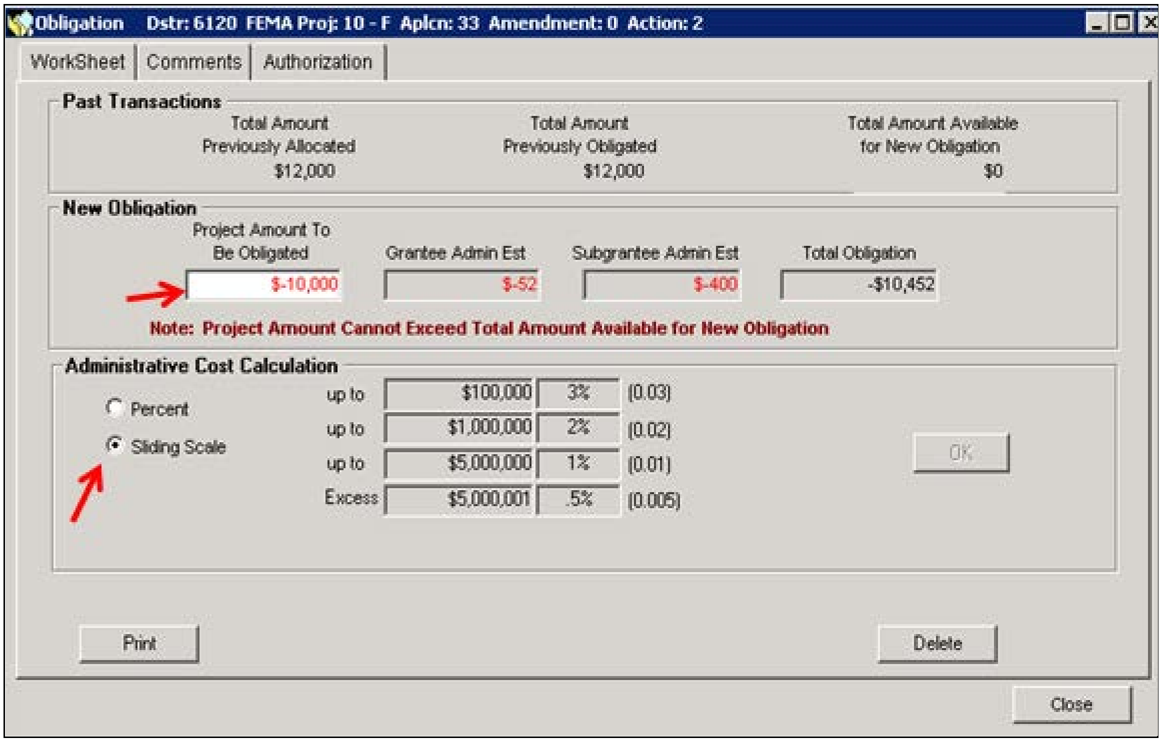


Figure 10-69: Deobligation using the Sliding Scale Radio Button to ensure proper calculation

11. If necessary to override the Grantee or Subgrantee Administrative amounts generated by the system, the user will be prompted to acknowledge the continuation of the override (Figure 10-70).

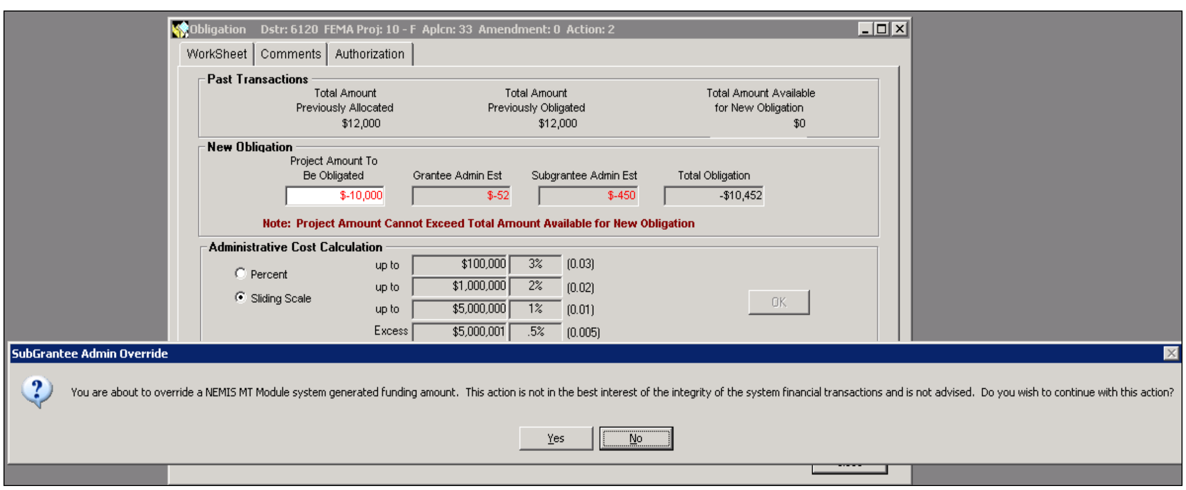


Figure 10-70: Grantee Admin Override acknowledgement message

12. Selecting No will return the amount overridden to the previous amount calculated by the system. Selecting yes will prompt a second acknowledgement confirmation. (Figure 10-71).

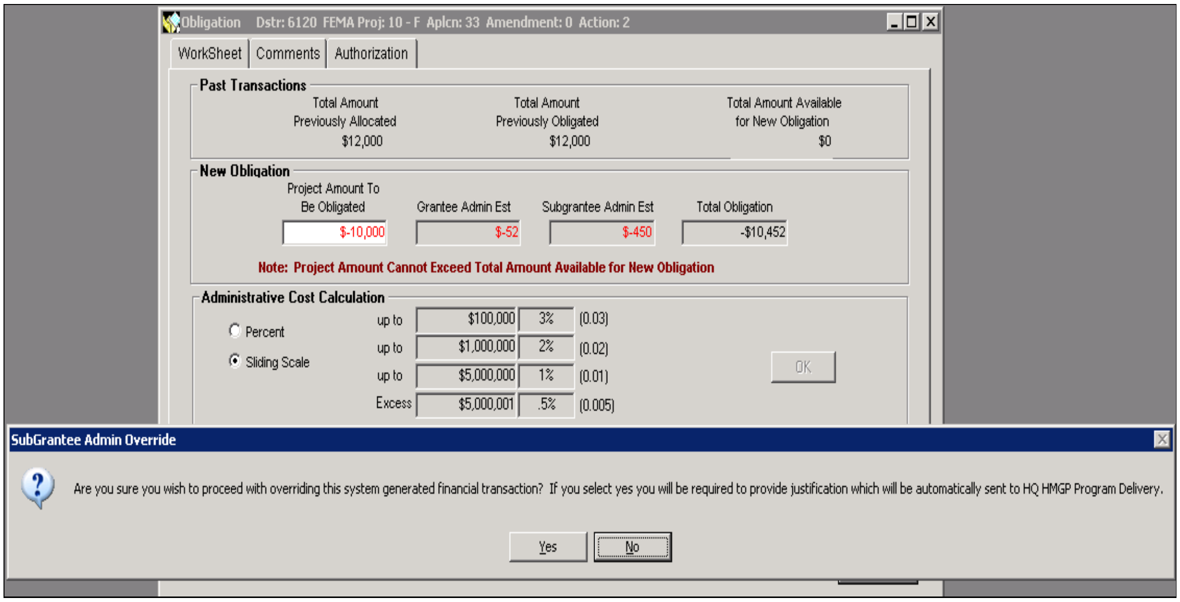


Figure 10-71: Grantee Admin Override 2nd acknowledgement message

13. Once again, selecting No will return the amount overridden to the previous amount calculated by the system. Selecting Yes will open the Comment Editor which will require that a comment be entered justifying the calculation override. This will allow the override, and the user will be able to continue with the Obligation/Deobligation process.
14. Click the **Comments** tab (Figure 10-72).

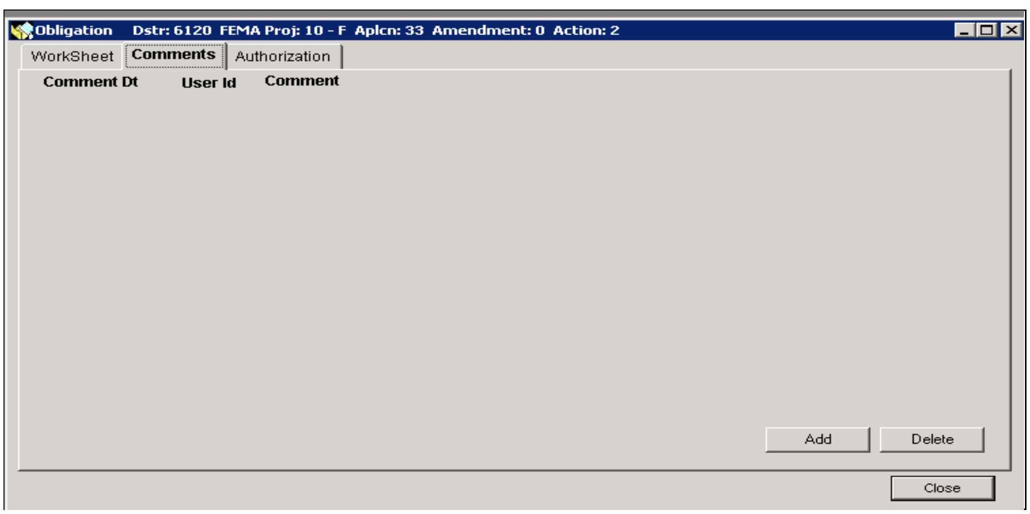


Figure 10-72: Mitigation → Funding → Obligations → Comments Tab

15. On the bottom right part of the tab, click the ADD button. A new row for adding comments is displayed. The system auto-fills the Date and the Time of the entry and the User ID (Figure 10-73).

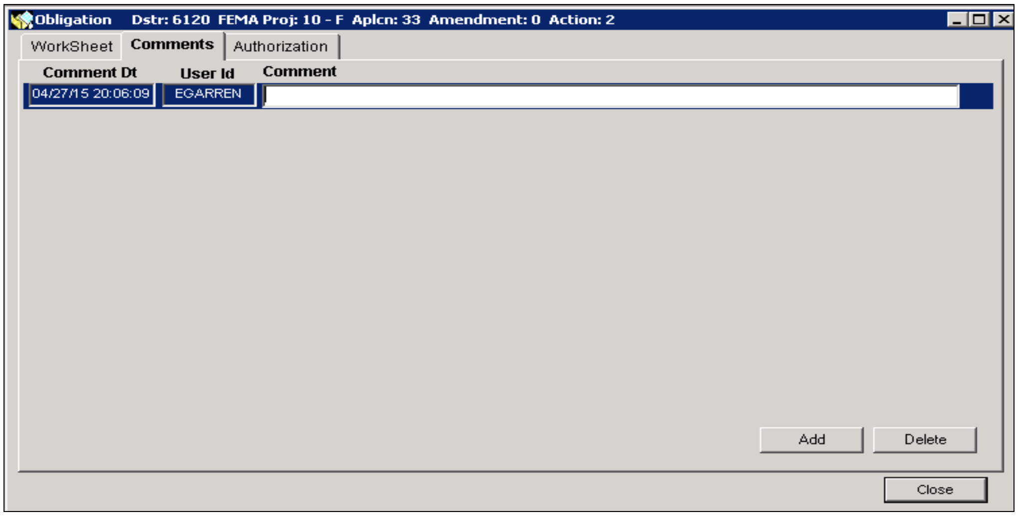


Figure 10-73: New Row for Comments

16. Double-click inside the Comment field to access the Comment Editor.
17. In the Comment Editor text area, enter a justification for the deobligation request.
18. Click the OK button. The comments are now displayed on the **Comments** tab (Figure 10-74).

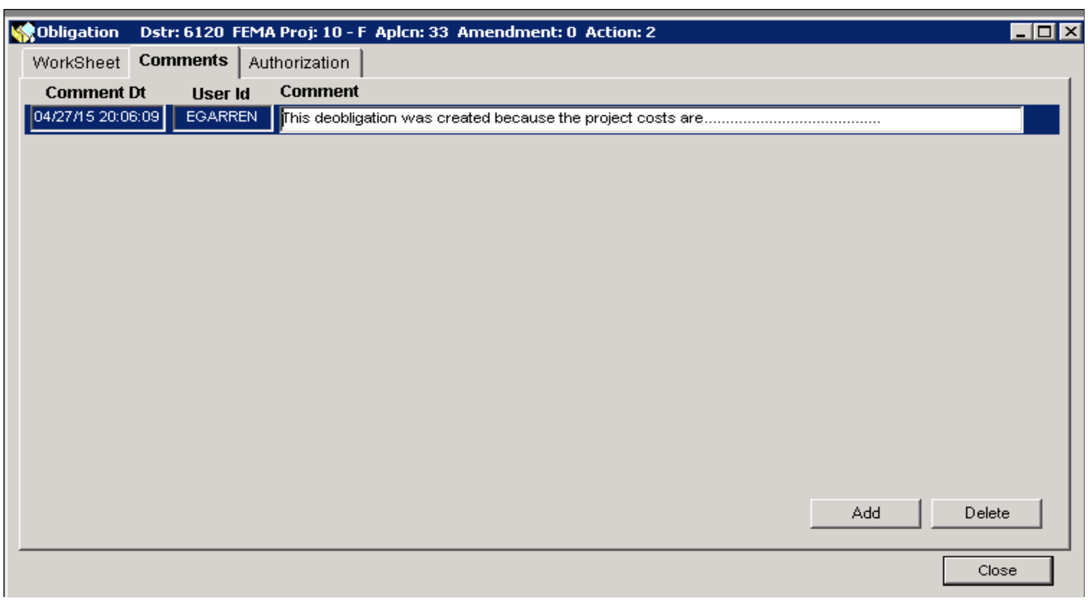


Figure 10-74: Deobligation Comments Added

19. Click the **Authorization** tab (Figure 10-75).

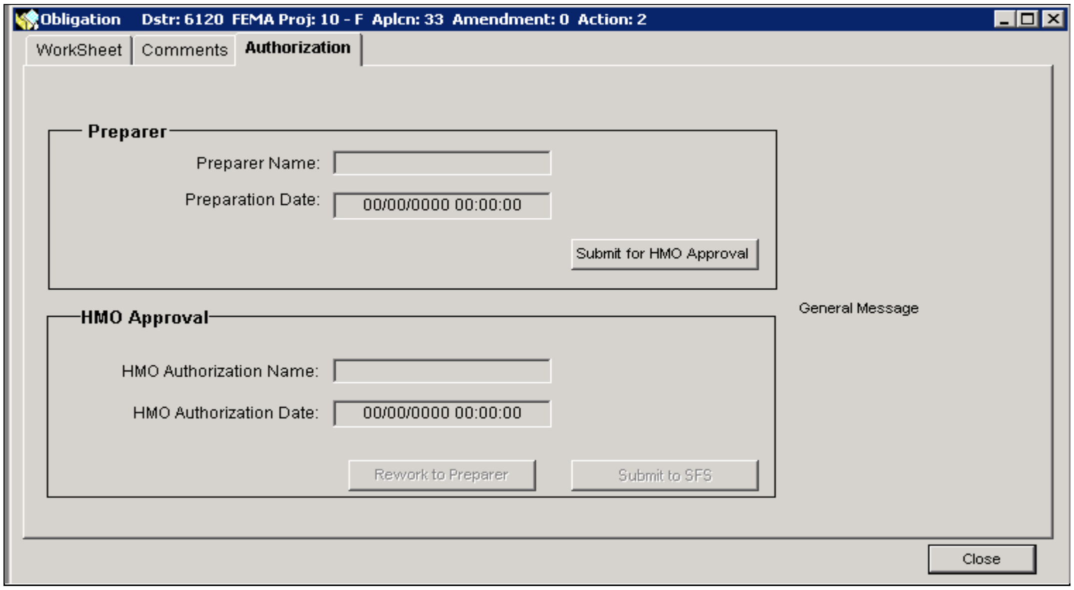


Figure 10-75: Mitigation → Funding → Obligations → Authorization Tab

20. Click the SUBMIT FOR HMO APPROVAL button. The Forward Work Packet dialog box is displayed (Figure 10-76).

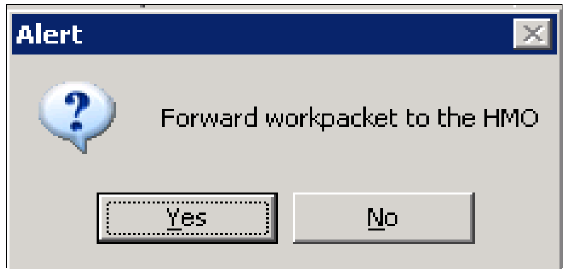


Figure 10-76: Forward Work Packet Dialog Box

21. Click the YES button.
22. The system will notify that the deobligation was successfully submitted to the HMO and for what fiscal year it was submitted. (Figure 10-77)

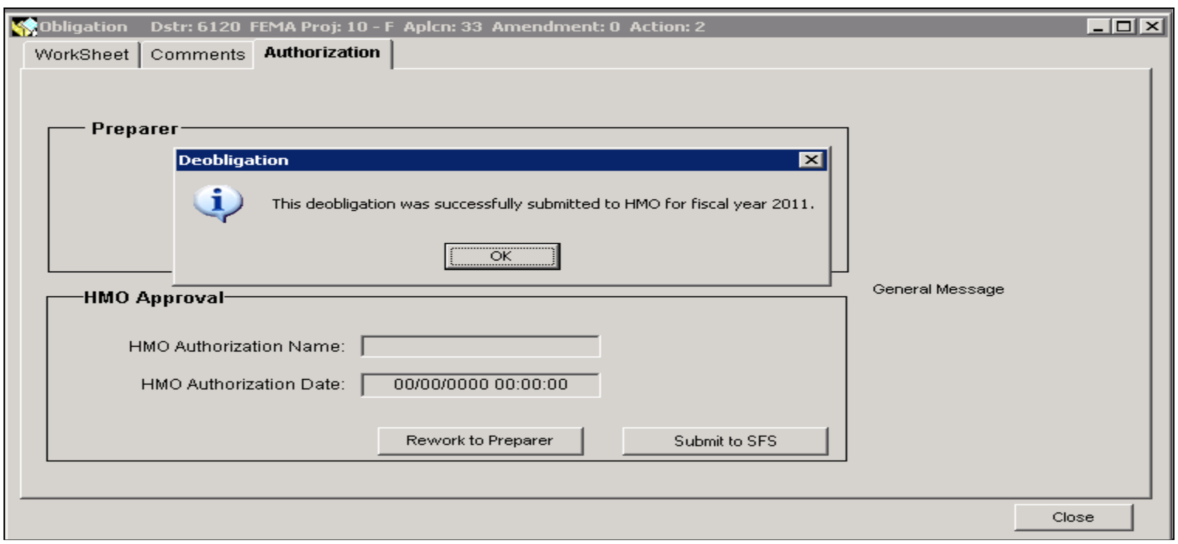


Figure 10-77: Deobligation submitted to HMO for FY notification

23. Click the OK button. The **Authorization** tab now displays the Preparer Name and Preparation Date (Figure 10-78).

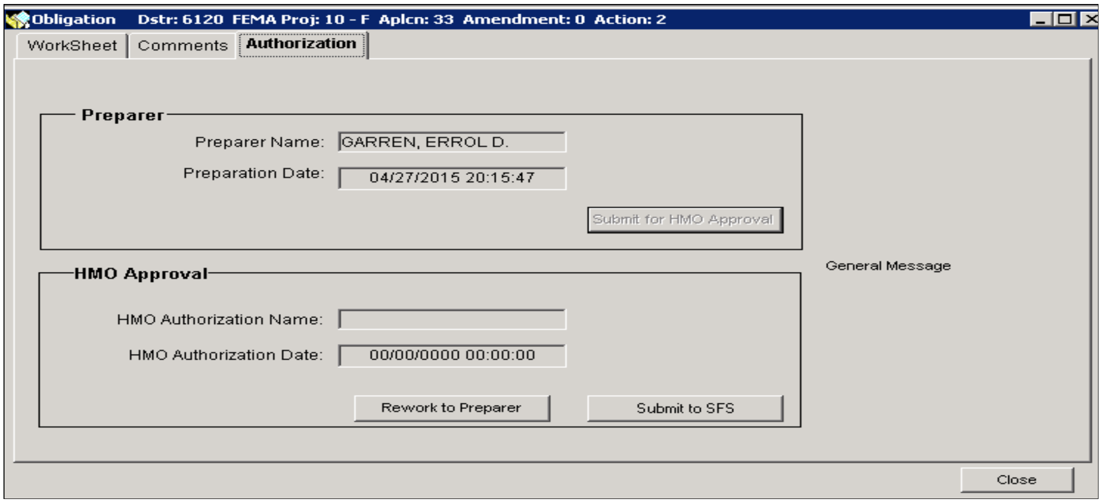


Figure 10-78: Authorization Tab with Preparer Information Added

24. On the bottom right part of the Authorization tab, click the CLOSE button.

HINT: The system will check IFMIS for availability of funds by Fiscal Year, beginning from the oldest Fiscal Year in which funds were obligated for this disaster. If the disaster was declared after the implementation of the SFS process, the system will only check the applicable project for the availability of funds. The system will keep checking until it finds a Fiscal Year with sufficient funds to deobligate.

If there are not sufficient funds in any one fiscal year, the user will receive a message outlining the totals available in different fiscal years. See the mocked up screen shot below as an example of the message outlining the totals available in different years. (Figure 10-79)

It may be necessary to create more than one deobligation if there are insufficient funds in any one fiscal year. If this is the case, delete the deobligation on the Worksheet tab and start over.

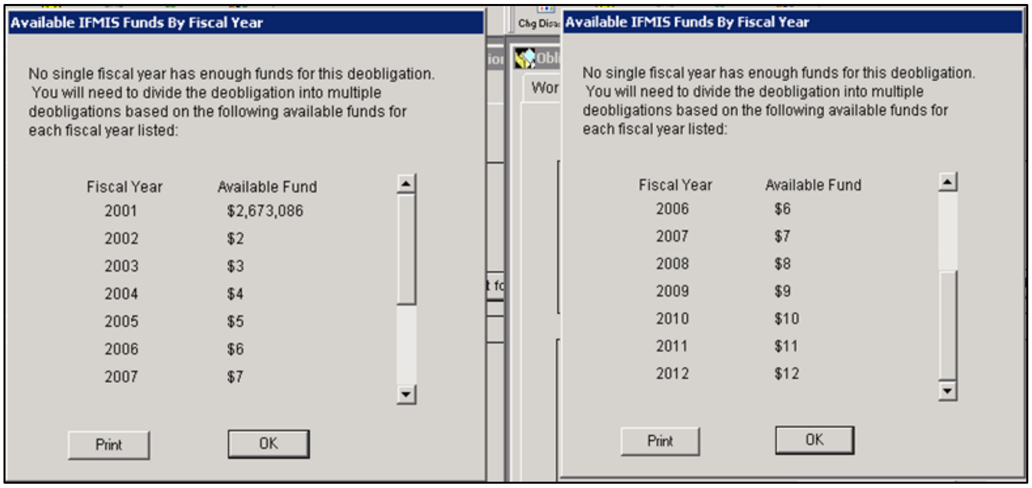


Figure 10-79: Screen shot showing amounts available for deobligation in different years

Addendum: *The figures shown on the available funds by FY screen are potentially rounded either up or down as determined by the exact amount remaining in the indicated fiscal year. Should your deobligation be rejected and the IFMIS comment read "Credit status only valid for expends or invoices," the likely cause is that the figure shown as available for the applicably FY has been rounded up. Deobligating $1 less than shown available should rectify the reject and allow you to deobligate the project successfully.*

Task 3B: Submit Deobligation to Emergency Support (SFS)

1. On the MITIGATION menu, click on Funding → Obligations (Figure 10-80).

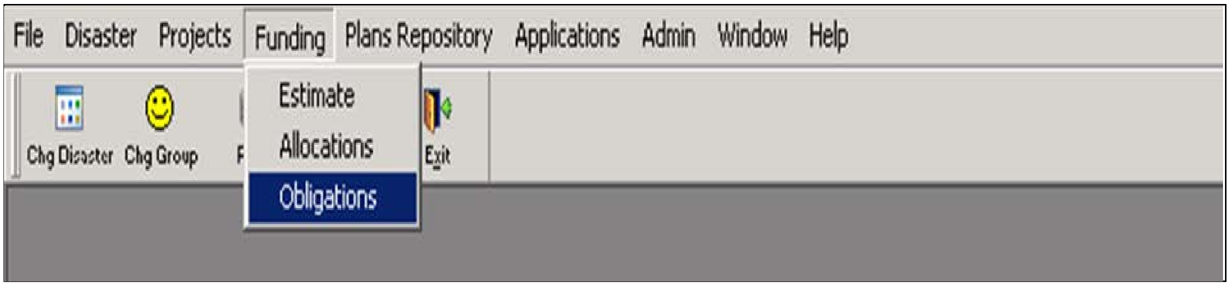
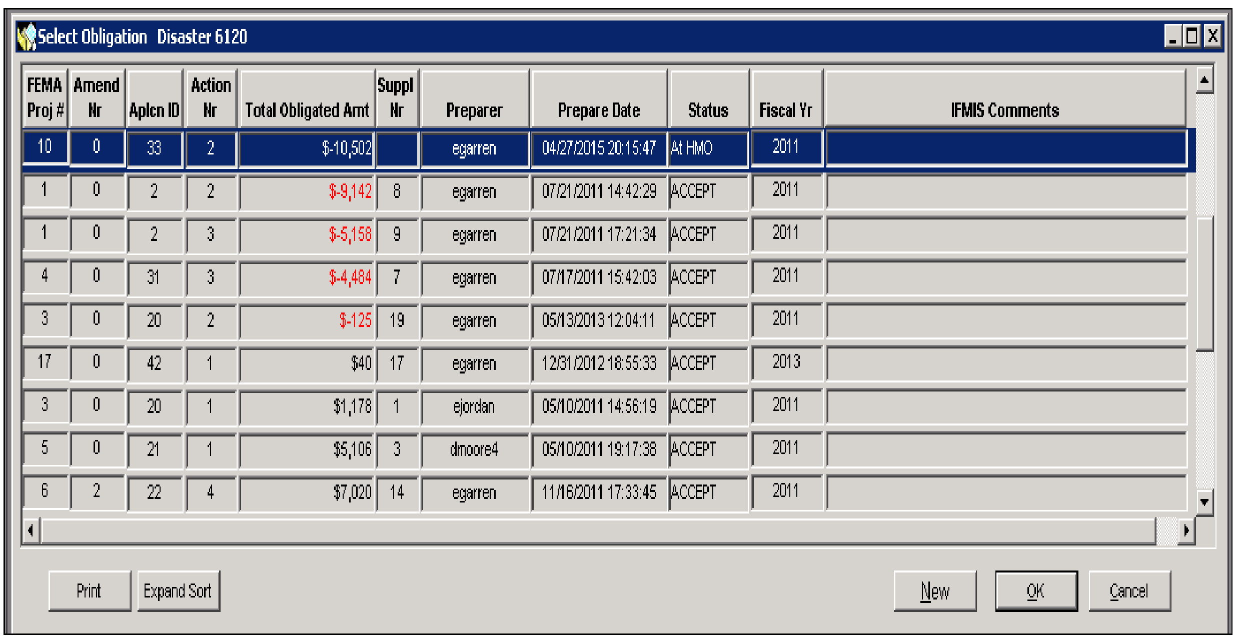


Figure 10-80: Mitigation → Funding → Obligations

2. The Select Obligation List is displayed. Check that you are logged in with the HMO Group ID. You should not be the same User who completed Task 3A: Create Deobligation and Submit to HMO. Select the deobligation with the status of At HMO and double click or select OK. (Figure 10-81).



FEMA Proj #	Amend Nr	Aplcn ID	Action Nr	Total Obligated Amt	Suppl Nr	Preparer	Prepare Date	Status	Fiscal Yr	IFMIS Comments
10	0	33	2	$-10,502		egarren	04/27/2015 20:15:47	At HMO	2011	
1	0	2	2	$-9,142	8	egarren	07/21/2011 14:42:29	ACCEPT	2011	
1	0	2	3	$-5,158	9	egarren	07/21/2011 17:21:34	ACCEPT	2011	
4	0	31	3	$-4,484	7	egarren	07/17/2011 15:42:03	ACCEPT	2011	
3	0	20	2	$-125	19	egarren	05/13/2013 12:04:11	ACCEPT	2011	
17	0	42	1	$40	17	egarren	12/31/2012 18:55:33	ACCEPT	2013	
3	0	20	1	$1,178	1	ejordan	05/10/2011 14:56:19	ACCEPT	2011	
5	0	21	1	$5,106	3	dmoore4	05/10/2011 19:17:38	ACCEPT	2011	
6	2	22	4	$7,020	14	egarren	11/16/2011 17:33:45	ACCEPT	2011	

Figure 10-81: Select the deobligation with status At HMO

3. Three tabs with Obligation information are displayed. The **Worksheet** tab is displayed by default.
4. Review the read-only information in the **Worksheet** and **Comments** tabs.
5. Click the **Authorization** tab. On the bottom part of the tab, click the SUBMIT TO SFS button (Figure 10-82).

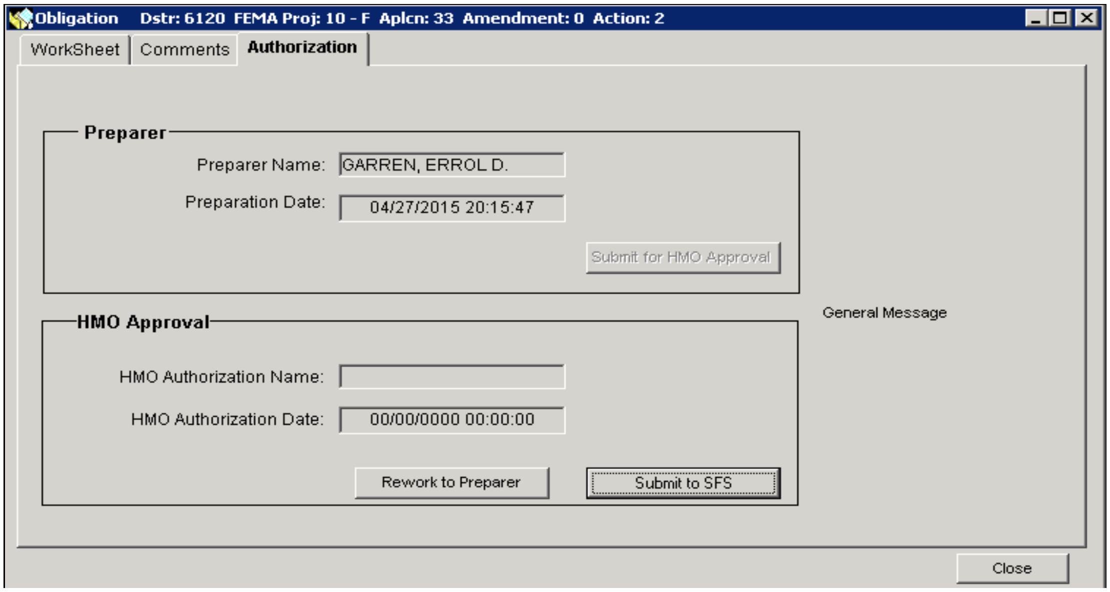


Figure 10-82: Mitigation → Funding → Obligations→ Authorization Tab

6. The Forward Work Packet to SFS dialog box is displayed (Figure 10-83).

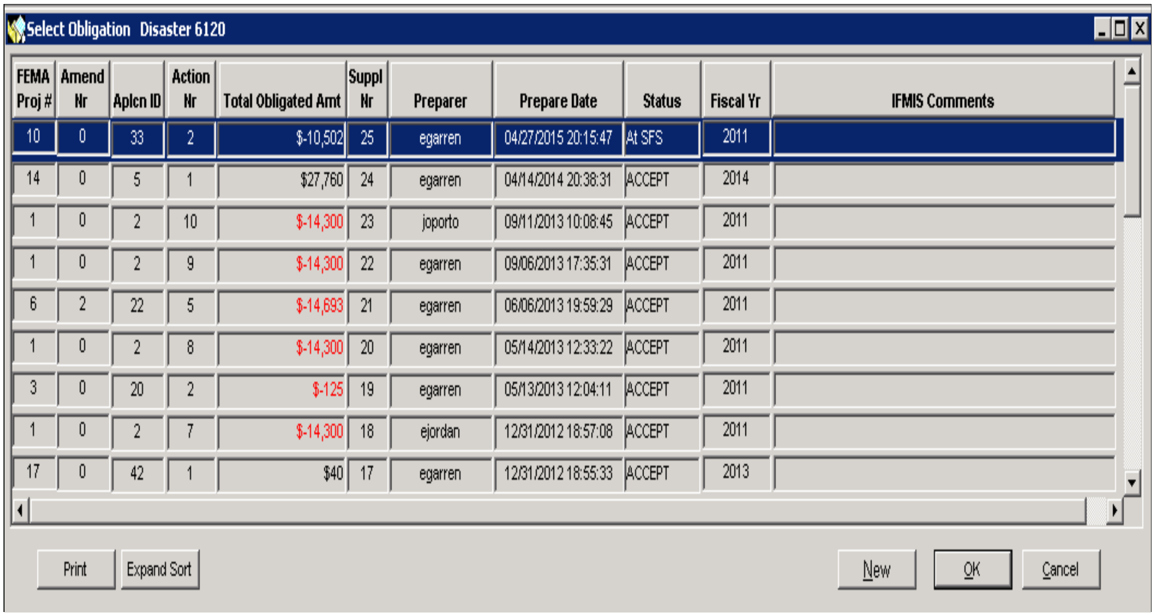
Figure 10-83 Forward Work Packet to SFS Dialog Box

7. Click the OK button.

8. The Obligation Transmitted to SFS and pending IFMIS reply is displayed (Figure 10-84).

Figure 10-84: Obligation Submitted Message

9. The Obligation is now shown on the Select Obligation screen as status At SFS (Figure 10-85).



FEMA Proj #	Amend Nr	Aplcn ID	Action Nr	Total Obligated Amt	Suppl Nr	Preparer	Prepare Date	Status	Fiscal Yr	IFMIS Comments
10	0	33	2	$-10,502	25	egarren	04/27/2015 20:15:47	At SFS	2011	
14	0	5	1	$27,760	24	egarren	04/14/2014 20:38:31	ACCEPT	2014	
1	0	2	10	$-14,300	23	joporto	09/11/2013 10:08:45	ACCEPT	2011	
1	0	2	9	$-14,300	22	egarren	09/06/2013 17:35:31	ACCEPT	2011	
6	2	22	5	$-14,693	21	egarren	06/06/2013 19:59:29	ACCEPT	2011	
1	0	2	8	$-14,300	20	egarren	05/14/2013 12:33:22	ACCEPT	2011	
3	0	20	2	$-125	19	egarren	05/13/2013 12:04:11	ACCEPT	2011	
1	0	2	7	$-14,300	18	ejordan	12/31/2012 18:57:08	ACCEPT	2011	
17	0	42	1	$40	17	egarren	12/31/2012 18:55:33	ACCEPT	2013	

Figure 10-85: Obligation Status At SFS

CAUTION: Do not submit more than one deobligation at a time. Wait about an hour, or until the first deobligation is processed, before submitting another deobligation. If it is the first obligation or negative obligation (deobligation) of the new FY, you must wait until the obligation has been accepted by IFMIS before submitting another transaction.

10. Similar to an obligation, if the status of the obligation is AT SFS you may need to wait for a few minutes depending on volume to have the obligation move to the IFMIS module.

11. The **Authorization** tab now displays the HMO Authorization Name and Date (Figure 10-86).

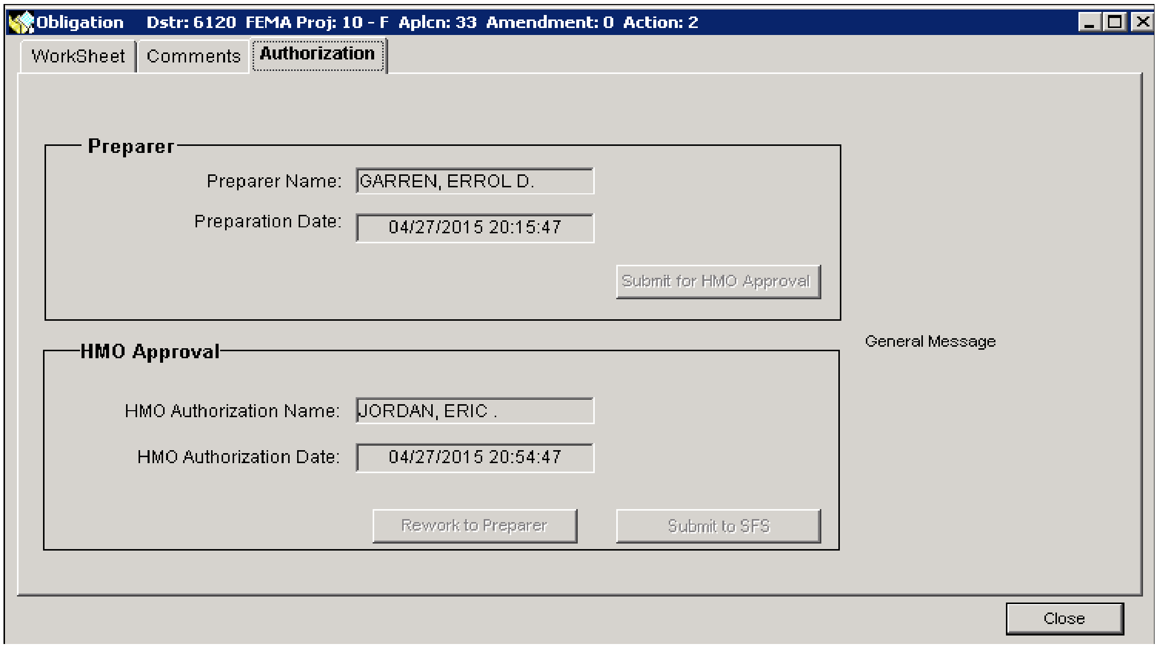


Figure 10-86 Authorization Tab with HMO Approval Information

12. Repeat Task 2C: Verify Obligation, but this time verify the deobligation.

13. Repeat Task 2D: Notify Grantee of Obligation, but this time notify Grantee of the deobligation.

Part 4: Deallocation

***NOTE:** If the system displays the message below (Figure 10-87) while you are creating the deobligation, this means that the deobligation will be processed in the current fiscal year and, therefore, a Deallocation is required.*

Figure 10-87: Reminder to Process the Deallocation

The Deallocation tasks are the same as the Allocation tasks described earlier in this Unit. When you enter the deallocation dollar amount, be sure to enter the minus sign "-" before the dollar amount.

Table 10-8 provides the task names and the corresponding pages in this Unit.

Table 10-8: Task Names and Corresponding Unit

TASK	PAGE NUMBER
Create Allocation and Submit to HMO	10-5
Submit Allocation to Emergency Support (ES)	10-17

References for Managing Allocations and Obligations

Obligation of Funds Form Letter

(Page 1 of 2)

ADDRESS

SUBJECT: PROJECT APPROVAL
FEMA-XXXX-DR-(State)
Hazard Mitigation Grant Program
Subgrantee: NAME OF SUBGRANTEE
Project #: FEMA ASSIGNED NUMBER

Dear__________:

Funding for the above referenced Hazard Mitigation Grant Program (HMGP) project has been approved and is available for drawdown. The Federal share of the eligible project cost is $_______ and has been posted in Smartlink (enclosed report). Grantee and Subgrantee administrative costs are included in the funding obligation.

Please refer the Subgrantee to the State HMGP administrative plan for project cost overrun regulations. If project costs exceed the approved Federal share, the Subgrantee must contact the Governor's Authorized Representative (GAR). The GAR will evaluate requests for cost overruns. Written determination of cost overrun eligibility shall be submitted by the GAR to the Regional Administrator. Cost overruns shall meet Federal regulations set forth in 44 CFR 206.438(b).

The State HMGP administrative plan defines the procedure whereby the GAR may advance portions of the approved Federal share to the Subgrantee. Upon completion of the HMGP project, the Subgrantee's closeout reimbursement for the final Federal share of eligible project costs must be submitted to the Regional Administrator for review and determination.

If you have any questions concerning this action or the information on the enclosed report, please contact _____________ (name) at _______________ (telephone number).

Sincerely,

Regional Administrator
Mitigation, Disaster Recovery Manager

Enclosure: Financial Analysis

Obligation of Funds Form Letter

(Page 2 of 2)

FEDERAL EMERGENCY MANAGEMENT AGENCY
HAZARD MITIGATION GRANT PROGRAM
FINANCIAL ANALYSIS

DISASTER NUMBER: __________

PROJECT: ____

PROJECT NUMBER: ____________________________________

AMOUNT OBLIGATED (FEDERAL SHARE): ______________________

GRANTEE ADMINISTRATIVE EXPENSES: ______________________

SUBGRANTEE ADMINISTRATIVE EXPENSES: ____________________

TOTAL AMOUNT OBLIGATED: ______________________________

DATE FUNDS POSTED IN SMARTLINK: ________________________

AMOUNT POSTED FOR DRAWDOWN: ________________________

AS OF _______, TOTAL FUNDS FOR DRAWDOWN: _______________

STATE SUBACCOUNT NUMBER: ____________________________

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