

**The Department of Homeland Security (DHS)
 Notice of Funding Opportunity (NOFO)
 Fiscal Year 2021 Emergency Management Baseline Assessment Grant**

NOTE: If you are going to apply for this funding opportunity and have not obtained an Employer Identification Number (EIN), a Data Universal Numbering System (DUNS) number, are not currently registered in the System for Award Management (SAM), or your SAM registration is not active, please take immediate action to obtain an EIN and DUNS Number, if applicable, and then register immediately in SAM or, if applicable, renew your SAM registration. It may take four 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, EIN, and SAM is also provided in Section D of this NOFO under the subsection titled “How to Register to Apply.” Detailed information regarding the time required for each registration is also provided in Section D of this NOFO under the subsection titled “Other Key Dates.”

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A. Program Description

1. Issued By

U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA)/ National Preparedness Directorate (NPD)/National Preparedness Assessment Division (NPAD)

2. Assistance Listings Number

97.131

3. Assistance Listings Title

Emergency Management Baseline Assessment Grant

4. Funding Opportunity Title

Fiscal Year 2021 Emergency Management Baseline Assessment Grant (EMBAG)

5. Funding Opportunity Number

DHS-21-NPD-131-00-01

6. 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))

7. Appropriation Authority for Program

Department of Homeland Security Appropriations Act, 2021 (Pub. L. No. 116-260).

8. Announcement Type

Initial

9. Program Category

Preparedness: Emergency Management

10. Program Overview, Objectives, and Priorities

a. Overview

The purpose of the FY 2021 EMBAG is to develop, maintain and update, and test national-level standards for emergency management that can help ensure that jurisdictions (state, tribal, territorial, and local communities) have accredited emergency management programs and certified emergency management professionals in place in advance of an incident. To achieve this purpose, the EMBAG supports voluntary national-level standards and peer review assessment processes that jurisdictions can use to identify the capacity and shortfalls of their emergency management programs and professionals and develop a path to compliance. These national-level standards fall under “other assistance” called out under Section 503 (b)(2)(G) of the Homeland Security Act of 2002 to “build tribal, local, State, regional, and national capabilities...necessary to respond to a natural disaster, act of terrorism, or other man-made disaster.”

The EMBAG specifically supports:

1. The development, maintenance, update, revision, and enhancement of voluntary national-level standards and peer review assessment processes for emergency

- preparedness and response that are driven, established, validated, and revised through consensus;
2. Related efforts to develop or update national-level accreditation for these standards; and
 3. The assessment of select state, local, tribal, and territorial emergency management programs and professionals against these national-level standards.

The EMBAG aligns to the FY 2020-2024 DHS Strategic Plan, Presidential Policy Directive 8 (PPD-8), and DHS/FEMA’s (FEMA’s) mission and 2018-2022 Strategic Plan. The EMBAG specifically addresses Goal 5, Objective 5.1 of the FY 2020-2024 DHS Strategic Plan to strengthen preparedness and resilience by building a national culture of preparedness. The EMBAG program aligns to PPD-8 through supporting national-level standards and assessment processes that emergency management programs and professionals can use to improve their preparedness capabilities to prevent, protect against, mitigate the effect of, respond to, and recover from the threats that pose the greatest risk to the security of the Nation. In addition, the EMBAG program reinforces DHS/FEMA’s (FEMA’s) mission of advancing all-hazards preparedness, which is driven by the Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA). The EMBAG program supports the FEMA 2018-2022 Strategic Plan through the following goals and their objectives:

Goal Name	Objective Name
Goal 1 Build a Culture of Preparedness	Objective 1.3 Help People Prepare for Disasters
	Objective 1.4 Better Learn from Past Disasters, Improve Continuously, and Innovate
Goal 2 Ready the Nation for Catastrophic Disasters	Objective 2.1 Organize the “BEST” (Build, Empower, Sustain, and Train) Scalable and Capable Incident Workforce
	Objective 2.4 Improve Continuity and Resilient Communications Capabilities
Goal 3 Reduce the Complexity of FEMA	Objective 3.2 Mature the Disaster Recovery Framework

b. Objectives

The EMBAG program supports investment in national-level standards for emergency management that target critical functions necessary to prepare for and manage disasters, with the goal of supporting the following short and long-term outcomes:

- In the short to mid-term, jurisdiction emergency management programs participating in the EMBAG achieve compliance with national-level standards for critical functions necessary to prepare for and manage disasters. Long-term, these programs increase their preparedness to manage disasters.
- In the short to mid-term, emergency management professionals tied to jurisdiction emergency management programs and participating in the EMBAG achieve compliance with national-level standards for critical functions necessary to manage

emergency management programs. Long-term, these professionals increase their capability to manage these programs during disasters.

To achieve these outcomes, the FY 2021 EMBAG program provides funding for two (2) objectives, which together include five (5) projects. These objectives, their projects, and detailed requirements for project activities are described in the table below. These objectives are described in further detail in [Appendix G: Post-Award Requirements](#), and [Appendix H: Guidance for Data Collection and Continuity Assessment Tool Activities](#) of this NOFO.

Objective 1: Supporting Emergency Management Program Accreditation	
Project	Requirements for Activities
Maintain and revise national-level standards used to accredit emergency management programs. Standards must be voluntary, consensus-based, and accredited through a national-level accreditation body for standards and include a peer review assessment process using emergency professionals from the emergency management community.	Efforts should include ongoing update of national-level standards used to accredit emergency management programs. Efforts should include developing, maintaining, updating, and improving systems, policy, and processes necessary to complete the objectives of the EMBAG. Efforts can include operationalizing and/or validating these standards.
Maintain a peer review process to assess emergency management program adherence to the standards.	Efforts should include outreach and selection of a peer review team that consists of emergency management officials from other (peer) jurisdiction emergency management programs.
Conduct assessments on a volunteer basis for jurisdictions.	Efforts should include assessments used to accredit jurisdiction emergency management programs using the national-level standards. Efforts can include assessments of jurisdiction emergency management programs using other capability assessment tools.
Objective 2: Supporting Emergency Management Professional Certification	
Project	Requirements for Activities
Maintain and revise national-level standards and criteria used to certify emergency management professional's competence to manage emergency management programs. Standards must be voluntary, consensus-based, and involve input from emergency professionals from the emergency management community.	Efforts should include validating and accrediting standards and criteria through a national-level accreditation body for standards. Efforts should include developing, maintaining, updating, and improving systems, policy, and processes necessary to complete the objectives of the EMBAG.
Conduct assessments on a volunteer basis for state, local, tribal, and territorial emergency management professionals against these standards and criteria.	Efforts should include assessments used to certify emergency management professionals using the national-level standards and criteria.

c. *Priorities*

Any assessment process supported by the EMBAG must include a review of the areas within an emergency management program referenced in [Appendix A: FEMA Expectations for Standards Alignment and Assessment Review](#).

Applicants are encouraged to 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 national-level standards for emergency management program accreditation. Applicants should also ensure these standards are aligned with the following FEMA doctrine and policy documents, also outlined and described in [Appendix A: FEMA Expectations for Standards Alignment and Assessment Review](#):

- [National Preparedness System \(NPS\)](#)
- [National Continuity Policy](#), particularly the [2018 Continuity Guidance Circular](#)
- [National Incident Management System \(NIMS\)](#) and the [National Qualification System](#)
- [Public Assistance Program and Policy Guide \(PAPPG\), v4 \(June 2020\)](#)
- [National Disaster Recovery Framework \(NDRF\), Second Edition \(June 2016\)](#)
- FEMA's Pre-Disaster Recovery Planning Guides ([Pre-Disaster Recovery Planning Guide for States \(November 2016\)](#), [Pre-Disaster Recovery Planning Guide for Tribal Governments \(September 2019\)](#), and [Pre-Disaster Recovery Planning Guide for Local Governments \(February 2017\)](#))
- [Comprehensive Preparedness Guide \(CPG\) 201: Threat and Hazard Identification and Risk Assessment \(THIRA\) and Stakeholder Preparedness Review \(SPR\) Guide, Third Edition](#)
- [National Response Framework, Fourth edition](#), particularly regarding [Community Lifelines](#)
- [Homeland Security Exercise and Evaluation Program \(HSEEP\)](#)

The FY 2021 EMBAG Application Review criteria consider how applicants describe how their assessment process reviews the areas of an emergency management program referenced in [Appendix A: FEMA Expectations for Standards Alignment and Assessment Review](#). Application Review criteria also consider how applicants describe the alignment of their national-level standards for emergency management to the FEMA doctrine and policy documents referenced in [Appendix A: FEMA Expectations for Standards Alignment and Assessment Review](#).

11. Performance Measures

Performance

The performance of the EMBAG is measured against the intended outcomes identified in the Objectives section of this NOFO. The performance of the EMBAG in achieving its targeted short and mid-term outcomes is measured through Metrics 1 and 2 below and the performance of the EMBAG in achieving its targeted long-term outcomes can be measured in part through Metrics 3 and 4 below. Applicants should refer to [Appendix B: Detail on EMBAG Performance Measurement](#) for additional information on these metrics, including guidance and a template for reporting.

FY 2021 EMBAG Performance Metrics	Score
<u>Metric 1</u> : Percent of jurisdiction emergency management programs participating in assessments supported by the FY 2021 EMBAG that achieve national-level accreditation.	Percent
<u>Metric 2</u> : Percent of emergency management professionals with certification supported by the FY 2021 EMBAG that achieve national-level certification.	Percent
<u>Metric 3</u> : Percent of jurisdiction emergency management programs supported by the FY 2021 EMBAG that reported one or more aspects of their emergency management program improved as a result of the accreditation process and other support (training and assessments) received through the EMBAG.	Percent
<u>Metric 4</u> : Percent of professionals supported by the FY 2021 EMBAG that reported one or more aspects of their competence to manage an emergency management program improved as a part of the certification process and other support (training and assessments) received through the EMBAG.	Percent

B. Federal Award Information

1. Available Funding for the NOFO: **\$825,000**
2. Projected Number of Awards: **2-4**
3. Period of Performance: **12 Months**
Extensions to the period of performance are allowed. For additional information on period of performance extensions, please refer to Section H of this NOFO.

FEMA awards only include one budget period, so it will be same as the period of performance. *See* 2 C.F.R. § 200.1 for definitions of “budget period” and “period of performance.”

4. Projected Period of Performance Start Date(s): **09/01/2021**
5. Projected Period of Performance End Date(s): **08/30/2022**
6. Funding Instrument Type: **Grant**

C. Eligibility Information

1. Eligible Applicants

The following are eligible applicants for this funding opportunity:

- Nonprofits as defined by 2 C.F.R. § 200.1; and
- Institutions of higher education as defined by 2 CFR § 200.1.

The criterion defining eligible nonprofit organizations and institutes of higher education is based on demonstrating competence in emergency management program accreditation and/or emergency management professional certification and is defined under the **Applicant Eligibility Criteria** header below.

2. Applicant Eligibility Criteria

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

Eligible nonprofit organizations and institutes of higher education must be able to demonstrate, for either emergency management program accreditation AND/OR emergency management professional certification, that they are qualified to develop, update, revise, and enhance national-level standards for emergency management and implement assessments against them for emergency management programs AND/OR emergency management professionals, according to questions defined in [Appendix D: Project Narrative Template](#). Applicants will demonstrate their experience and expertise (and that of their partner organization, if applicable according to information under the Other EMBAG-Specific Application Information header below) using the questions in [Appendix D: Project Narrative Template](#), and reviewers will use these questions as one set of criteria to score applications as outlined in [Appendix E: Evaluation and Scoring Criteria](#).

Any standard relating to emergency management program accreditation AND/OR emergency management professional certification AND that has been accredited by a national-level accreditation body for standards can satisfy this eligibility criterion. Additional information is contained in [Section E: Application Review Information](#), [Appendix D: Project Narrative Template](#), and [Appendix E: Evaluation and Scoring Criteria](#).

3. Other Eligibility Criteria

None

a. Other Program-Specific Application Information

Applicants may partner with one (1) other eligible organization, but only one (1) applicant may apply for and receive an award and the applicant must apply on behalf of the partner organization. If applicants choose to partner with another organization, they may issue only one (1) subaward to the organization with which they have chosen to partner under the recipient's EMBAG award. Applicants and their partner are BOTH subject to the Eligibility Criteria defined in this section and applicants must describe how they and their partner both meet the Eligibility Criteria defined in this section, or the application review panel will not evaluate and score the application.

In order to receive a satisfactory score, applicants must describe how they (and their partner, if applicable) will address at least one (1) objective and two (2) projects as defined in [Section A: Program Description](#). The objective and projects that each organization (the applicant and the partner organization) addresses can be different. If applicants propose more than (1) objective and two (2) projects for themselves and their partner, they will receive a higher score by the Application Review panel. Additional information is contained in [Appendix E: Evaluation and Scoring Criteria](#). [Section E: Application Review Information](#) contains additional information about the application review panel and process.

Eligible beneficiaries of this grant are state, local, tribal, and territorial emergency management programs and professionals.

Applications must conform to the guidance provided in [Appendix D: Project Narrative Template](#) of this NOFO. Applications will be evaluated using a scoring rubric, which is described in [Section E: Application Review Information](#) and [Appendix E: Evaluation and Scoring Criteria](#).

The following eligibility criteria apply for projects submitted as part of this application:

- i. The application must meet the objectives of the EMBAG and conform to the guidance in [Section D: Application and Submission Information](#), [Section E: Application Review Information](#), [Appendix D: Project Narrative Template](#), and [Appendix E: Evaluation and Scoring Criteria](#). FEMA will not review applications that do not address all questions and subparts described in Appendices D and E.

4. Maintenance of Effort (MOE)

Not applicable.

5. Cost Share or Match

A Cost Share or Match is not required.

D. Application and Submission Information

1. Key Dates and Times

- | | |
|--|-------------------------------------|
| a. <i>Application Start Date:</i> | 04/20/2021 |
| b. <i>Application Submission Deadline:</i> | 06/04/2021 at 05:00:00 PM ET |

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

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

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

Applicants experiencing technical problems outside of their control must notify FEMA as soon as possible and before the application deadline. Failure to timely notify FEMA of the issue that prevented the timely filing of the application may preclude consideration of the

award. “Timely notification” of FEMA means: prior to the application deadline and within 48 hours after the applicant became aware of the issue.

A list of FEMA contacts can be found in Section G of this NOFO, “DHS Awarding Agency Contact Information.” For additional assistance using the ND Grants System, please contact the ND Grants Service Desk at (800) 865-4076 or NDGrants@fema.dhs.gov. The ND Grants Service Desk is available Monday through Friday, 9:00 AM – 6:00 PM Eastern Time (ET). For programmatic or grants management questions, please contact your Program Analyst or Grants Specialist. If applicants do not know who to contact or if there are programmatic questions or concerns, please contact the Centralized Scheduling and Information Desk (CSID) by phone at (800) 368-6498 or by e-mail at askcsid@fema.dhs.gov, Monday through Friday, 9:00 AM – 5:00 PM ET.

- c. **Anticipated Funding Selection Date:** No later than 07/05/2021
- d. **Anticipated Award Date:** No later than 08/06/2021
- e. **Other Key Dates**

Event	Suggested Deadline for Completion
Obtaining DUNS Number	Four weeks before actual submission deadline
Obtaining a valid EIN	Four weeks before actual submission deadline
Creating an account with login.gov	Four weeks before actual submission deadline
Registering in SAM or Updating SAM registration	Four weeks before actual submission deadline
Registering in Grants.gov	Four weeks before actual submission deadline
Registering in ND Grants	Four weeks before actual submission deadline
Starting application in Grants.gov	One week before actual submission deadline
Submitting the final application in ND Grants	By the submission deadline

2. Agreeing to Terms and Conditions of the Award

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

3. Address to Request Application Package

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

Hard copies of the NOFO can be downloaded at [Grants.gov](http://www.grants.gov) or obtained via email from the Awarding Office points of contact listed in Section G of this NOFO, “DHS Awarding Agency Contact Information” or by TTY (800) 462-7585.

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

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

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

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

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

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

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

basis for making a federal award to another applicant.

Per 2 C.F.R. § 25.110(c)(2)(iii), if an applicant is experiencing exigent circumstances that prevents it from receiving a DUNS number and completing SAM registration prior to receiving a federal award, the applicant must notify FEMA as soon as possible by contacting askcsid@fema.dhs.gov and providing the details of the circumstances that prevent completion of these requirements. If FEMA determines that there are exigent circumstances and FEMA has decided to make an award, the applicant will be required to obtain a DUNS number and complete SAM registration within 30 days of the federal award date.

5. Electronic Delivery

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

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

6. How to Register to Apply through Grants.gov

a. *General Instructions:*

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

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

Organizations must have a Data Universal Numbering System (DUNS) Number, Employer Identification Number (EIN), and an active System for Award Management (SAM) registration.

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

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

b. *Obtain 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>

Note: At some point, the DUNS Number will be replaced by a “new, non-proprietary identifier” requested in, and assigned by, SAM.gov. This new identifier is being called the Unique Entity Identifier (UEI), or the Entity ID. Grants.gov has begun preparing for this transition by educating users about the upcoming changes and updating field labels and references to the DUNS Number (the current identifier) within the Grants.gov system. Users should continue using the DUNS Number in UEI fields until further notice. To learn more about SAM’s rollout of the UEI, please visit <https://gsa.gov/entityid>

c. *Obtain Employer Identification Number*

In addition to having a DUNS number, all entities applying for funding must provide an Employer Identification Number (EIN). The EIN can be obtained from the IRS by visiting:

<https://www.irs.gov/businesses/small-businesses-self-employed/apply-for-an-employer-identification-number-ein-online>.

d. *Create a login.gov account:*

Applicants must have a login.gov account in order to register with SAM or update their SAM registration. Applicants can create a login.gov account here:

https://secure.login.gov/sign_up/enter_email?request_id=34f19fa8-14a2-438c-8323-a62b99571fd3

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

For more information on the login.gov requirements for SAM registration, refer to:

<https://www.sam.gov/SAM/pages/public/loginFAQ.jsf>

e. *Register with SAM:*

In addition to having a DUNS number, all organizations applying online through Grants.gov must register with SAM. Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually.

For more detailed instructions for registering with SAM, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

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

applicable.

I. **ADDITIONAL SAM REMINDERS**

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

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

II. **HELP WITH SAM**

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

f. ***Create a Grants.gov Account:***

The next step in the registration process is to create an account with Grants.gov. 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>

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

i. ***Add a Profile to a Grants.gov Account:***

A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, 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>

j. ***EBiz POC Authorized Profile Roles:***

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

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

k. *Track Role Status:*

To track your role request, refer to:

<https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>

l. *Electronic Signature:*

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

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

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

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

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

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

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities using Workspace, refer to:

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>

a. *Create a Workspace:*

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

b. *Complete a Workspace:*

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

c. *Adobe Reader:*

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

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

d. *Mandatory Fields in Forms:*

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

e. *Complete SF-424 Fields First:*

The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and 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.

f. *Submit a Workspace:*

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

g. *Track a Workspace:*

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

h. *Additional Training and Applicant Support:*

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

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

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

8. Submitting the Final Application in ND Grants

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

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

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

For additional application submission requirements, including program-specific requirements, please refer to the subsection titled “Content and Form of Application Submission” under Section D and [Appendix D: Project Narrative Template](#) of this NOFO.

9. Timely Receipt Requirements and Proof of Timely Submission

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

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

10. Content and Form of Application Submission

a. *Standard Required Application Forms and Information*

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

I. GRANTS.GOV

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

II. ND GRANTS

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

b. *Program-Specific Required Forms and Information*

EMBAG-specific application instructions for proposal submission are included in [Appendix D: Project Narrative Template](#).

11. Other Submission Requirements

None.

12. Intergovernmental Review

An intergovernmental review may be required. Applicants must contact their state’s Single Point of Contact (SPOC) to comply with the state’s process under Executive Order 12372

(See <https://www.archives.gov/federal-register/codification/executive-order/12372.html>; https://www.whitehouse.gov/wp-content/uploads/2020/01/spoc_1_16_2020.pdf).

13. Funding Restrictions and Allowable Costs

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

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

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

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

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

Recipients are also expected to conform, as applicable, with accepted engineering practices, established codes, standards, modeling techniques, and best practices, and participate in the development of case studies demonstrating the effective use of grant funds, as requested.

Program-specific post-award instructions are included in [Appendix G: Post-Award Requirements](#), and [Appendix H: Guidance for Data Collection and Continuity Assessment Tool Activities](#).

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

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

Additional guidance is available at [Prohibitions on Expending FEMA Award Funds for Covered Telecommunications Equipment or Services \(Interim\) FEMA Policy #405-143-1](#).

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

- (1) Procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology of any system;
- (2) Enter into, extend, or renew a contract to procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology of any system; or
- (3) Enter into, extend, or renew contracts with entities that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system.

I. DEFINITIONS

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

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

Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the People’s Republic of China.

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

b. *Pre-Award Costs*

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

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

M&A activities are those directly relating to the management and administration of the EMBAG funds, such as financial management and monitoring. M&A costs are not operational costs. They are the necessary costs incurred in direct support of the grant or as a consequence of the grant and should be allocated across the entire lifecycle of the grant. Recipients may retain a maximum of five (5) percent of EMBAG funds awarded for M&A purposes associated with the EMBAG award. An organization partnering with a recipient (limit one per recipient) may in turn retain five (5) percent of the sub-award they receive from the recipient for M&A purposes.

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

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

e. *Other Direct Costs*

Please note that [Appendix C: Detail of Allowable and Not Allowable Direct Costs Under EMBAG](#) of this NOFO contains additional information on direct costs allowed and not allowed under this program. Guidance in this section and in Appendix B apply to both applicants and their partner organization, if applicable.

Planning

Planning-related costs **are allowed** under this program only as described in this NOFO. Please refer to [Appendix C: Detail of Allowable and Not 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 C: Detail of Allowable and Not 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 C: Detail of Allowable and Not Allowable Direct Costs Under EMBAG](#) of this NOFO for additional information.

Personnel

Personnel costs **are allowed** under this program for the applicant (and its partner, if applicable) only as described in this NOFO, with the following exceptions:

Hiring additional personnel to complete the process of peer review **is NOT allowed**.

Contract and consulting costs **are allowed** for management of grant awards.

Contract and consulting costs **are NOT allowed** for providing subject-matter expertise on the FY 2021 EMBAG Objectives.

Please refer to [Appendix C: Detail of Allowable and Not 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.

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

Please refer to [Appendix C: Detail of Allowable and Not Allowable Direct Costs Under EMBAG](#) of this NOFO for additional information.

Construction and Renovation

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

E. Application Review Information

1. Application Evaluation Criteria

a. Programmatic Criteria

Applications must conform with the guidance provided in this section, [Section D: Application and Submission Information](#), and [Appendix D: Project Narrative Template](#). FY 2021 EMBAG applications will also be evaluated for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed project. Only the applicant may submit an application. If the applicant is partnering with another organization, they must submit information pertaining to their partner in their application on behalf of their partner.

Below is a summary of the evaluation criteria. The full criteria are found in [Appendix E: Evaluation and Scoring Criteria](#), which details the specific criteria aligned to four (4) of the five (5) Project Narrative requirements and the maximum number of points an application can receive for each criterion. The four (4) base criteria earn up to 100 total possible points. Each base criterion contains two (2) questions and subparts that applicants (and their partner, if applicable) must address in their Project Narrative. FEMA will not review applications that do not address all questions and subparts.

- Demonstration of Experience and Expertise: The applicant demonstrates that both it and any partner organization possess the experience and expertise necessary to carry out the objectives of the FY 2021 EMBAG.
 - Questions align to criteria in [Section C: Eligibility Information](#).
 - Applicants (and their partner, if applicable) will receive a higher score according to the scoring criteria in [Appendix E: Evaluation and Scoring Criteria](#) if they demonstrate through their Project Narrative that they are qualified to develop, update, revise, and enhance standards accredited by the [American National Standards Institute \(ANSI\)](#) or an equivalent North American accreditation or certification body that is a member body of the [International Organization for Standardization \(ISO\)](#).
 - *(Possible Points: 0 – 20 maximum; a satisfactory score is 15 points, with up to 5 additional points possible if narrative demonstrates applicant is qualified to develop, update, revise, and enhance standards accredited by [ANSI](#) or an equivalent North American accreditation or certification body that is a member body of the [ISO](#))*
- Project Plan: The applicant describes (on behalf of themselves and their partner, if applicable) an effective plan that meets all objectives and priorities of the FY 2021 EMBAG and addresses its post-award requirements.
 - Questions align to the EMBAG objectives described in [Section A: Program Description](#) and [Appendix G: Post-Award Requirements](#).
 - Questions also address guidance in [Appendix A: FEMA Expectations for Standards Alignment and Assessment Review](#), [Appendix G: Post-Award Requirements](#), and [Appendix H: Guidance for Data Collection and Continuity Assessment Tool Activities](#).
 - EMBAG priorities are further described in [Appendix A: FEMA Expectations for Standards Alignment and Assessment Review](#).
 - In order to receive a satisfactory score, applicants (and if applicable, their

partner) must complete at least one (1) objective and one (1) project, which are defined in [Section A: Program Description](#).

- The objective and projects that each organization completes can be different.
 - If applicants (and their partner, if applicable) propose more than (1) objective and one (1) project, they will receive a higher score by the Application Review panel.
 - To receive a satisfactory score, applicants must also describe how they (and their partner, if applicable) will meet the post-award reporting and workplan requirements described in [Appendix G: Post-Award Requirements](#). The Project Plan that applicants submit (on behalf of themselves and their partner, if applicable) as part of their Project Narrative will be considered the draft workplan if the applicant is selected as a recipient, and recipients will use it to update and finalize their workplan after they accept the award, as described in [Appendix G: Post-Award Requirements](#).
 - Additional information is contained in [Appendix E: Evaluation and Scoring Criteria](#).
 - *(Possible points: 0 – 30 maximum; satisfactory score is 22 points, with up to 2 points possible for each additional EMBAG Objective Project addressed)*
- **Impact:** The applicant demonstrates the impact of their proposed plan on the emergency management community, jurisdictions, and national preparedness (on behalf of themselves and their partner, if applicable).
 - Questions align to the EMBAG purpose and performance metrics described in [Section A: Program Description](#).
 - *(Possible points: 0 – 30 maximum)*
 - **Budget:** The applicant demonstrates a reasonable and cost-effective budget, including an explanation of project costs and relative cost effectiveness across the requested categories, and their ability as an applicant to manage federal grants (on behalf of themselves and their partner, if applicable).
 - Applicants must also complete a Budget Detail Worksheet according to [Appendix F: Budget Detail Worksheet Template](#).
 - *(Possible Points: 0 – 20 maximum)*

b. Financial Integrity Criteria

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

- i. Financial stability.
- ii. Quality of management systems and ability to meet management standards.
- iii. History of performance in managing federal award.

- iv. Reports and findings from audits.
- v. Ability to effectively implement statutory, regulatory, or other requirements.

c. *Supplemental Financial Integrity Criteria and Review*

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

- i. FEMA is required to review and consider any information about the applicant, including information on the applicant's immediate and highest-level owner, subsidiaries, and predecessors, if applicable, that is in the designated integrity and performance system accessible through the System for Award Management (SAM), which is currently the [Federal Awardee Performance and Integrity Information System](#) (FAPIIS).
- ii. An applicant, at its option, may review information in FAPIIS and comment on any information about itself that a federal awarding agency previously entered.
- iii. FEMA will consider any comments by the applicant, in addition to the other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 C.F.R. § 200.206.

2. Review and Selection Process

Initial Eligibility Review

Prior to application consideration, FEMA will conduct an initial review of all applications to verify applicant (and partner organization, if applicable) eligibility and ensure each application is complete. FEMA will not process incomplete applications for further review and will not consider them for funding. 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:

- a. The applicant and their partner organization, if applicable, are eligible organizations as defined under the Eligible Applicants header of [Eligibility Information](#) of this NOFO and conform to the Eligibility Criteria in Section C of this NOFO, above.
- b. The applicant has submitted all required assurances and standard forms.
- c. The application complies with the Application Submission information presented in [Section D: Application and Submission Information](#) and [Appendix D: Project Narrative Template](#), and:
 - Application includes a Project Narrative that aligns with the format requirements specified in [Appendix D: Project Narrative Template](#).
 - Application includes a Budget Detail Worksheet ([Appendix F: Budget Detail Worksheet Template](#)).

Review Panel

Applications will be reviewed and scored by a review panel comprised of personnel from FEMA. Applicants (and partners, if applicable) that do not meet eligibility and application submission requirements will not be evaluated and scored by the review panel. The review panel will score applications based on specific criteria described in [Appendix E: Evaluation and Scoring Criteria](#) and aligned to the requirements outlined under the Application Evaluation Criteria header of this section, [Section D: Application and Submission Information](#) and [Appendix D: Project Narrative Template](#). Each application will be reviewed by no less than two reviewers. The review panel will score applications based on the evaluation criteria, taking into consideration completeness, adherence to programmatic guidelines, and anticipated effectiveness of the plan proposed in the Project Plan section of the Project Narrative.

Application Selection Process

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

FEMA senior leadership will review recommended awards based on the results of the ranked application scores. Final funding determinations will be made by the Administrator of FEMA. A maximum of four applicants will be selected.

Required Application Contents

Applicants must present the contents of the application using the following arrangement (on behalf of themselves and their partner, if applicable). Applicants should refer to [Appendix E: Evaluation and Scoring Criteria](#) for additional details.

- Background
- Demonstration of Experience and Expertise
- Project Plan
- Impact
- Budget

Applicants should not include any Classified or Law Enforcement Sensitive information in their applications for this program.

F. Federal Award Administration Information

1. Notice of Award

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

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

Recipients must accept their awards no later than 60 days from the award date. The recipient shall notify FEMA of its intent to accept and proceed with work under the award or provide a notice of intent to decline through the ND Grants system. For instructions on how to accept or decline an award in the ND Grants system, please see the ND Grants Grant Recipient User Guide, which is available at <https://www.fema.gov/grants/guidance-tools/non-disaster-grants-management-system> along with other ND Grants materials.

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

2. Pass-Through Requirements

Not applicable.

3. Administrative and National Policy Requirements

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

a. *DHS Standard Terms and Conditions*

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

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

b. *Ensuring the Protection of Civil Rights*

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

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

The DHS Standard Terms and Conditions include a fuller list of the civil rights provisions that apply to recipients. These terms and conditions can be found in the [DHS Standard Terms and Conditions](#). Additional information on civil rights provisions is available at <https://www.fema.gov/office-equal-rights>.

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

c. *Environmental Planning and Historic Preservation (EHP) Compliance*

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

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

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

DHS and FEMA EHP policy is found in directives and instructions available on the [FEMA.gov EHP page](#), the FEMA website page that includes documents regarding EHP responsibilities and program requirements, including implementation of the National Environmental Policy Act and other EHP regulations and Executive Orders. Individual FEMA programs have separate procedures to conduct and document EHP review. Guidance for individual grant programs are available from applicable program offices.

4. Reporting

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

a. *Financial Reporting Requirements*

i. FEDERAL FINANCIAL REPORT (FFR)

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

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

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

II. FFR REPORTING PERIODS AND DUE DATES

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

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

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

b. Programmatic Performance Reporting Requirements

I. PERFORMANCE PROGRESS REPORT (PPR)

Recipients are responsible for uploading performance reports to FEMA on a quarterly basis. FEMA will use these reports to monitor progress for the grant award. The report is due within 30 days after the end of the reporting period. Recipients must submit the report as an attachment to the ND Grants system. For more information about performance reporting requirements, please refer to the table under the Post-Award Programmatic Reporting and Other Communication Requirements header in [Appendix G: Post-Award Requirements](#).

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

II. ADDITIONAL PROGRAMMATIC REPORTING REQUIREMENTS

For additional details regarding requirements for Performance Progress Reports, additional program reporting, and other post-award requirements, please refer to [Appendix G: Post-Award Requirements](#), and [Appendix H: Guidance for Data Collection and Continuity Assessment Tool Activities](#).

c. *Closeout Reporting Requirements*

I. CLOSEOUT REPORTING

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

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

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

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

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

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

In addition, any recipient that issues subawards to any subrecipient is responsible for closing out those subawards as described in 2 C.F.R. § 200.343. Recipients acting as pass-through entities must ensure that they complete the closeout of their subawards in time to submit all necessary documentation and information to FEMA during the closeout of their prime grant award.

II. ADMINISTRATIVE CLOSEOUT

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

adjustments and ineligible cost determinations based on the information it has, which may result in identifying a debt owed to FEMA by the recipient.

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

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

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

d. *Additional Reporting Requirements*

i. DISCLOSING INFORMATION PER 2 C.F.R. § 180.335

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

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

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

ii. REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY AND PERFORMANCE

Per 2 C.F.R. Part 200, Appendix I § F.3, the additional post-award reporting requirements in 2 C.F.R. Part 200, Appendix XII may apply to applicants who, if upon becoming recipients,

have a total value of currently active grants, cooperative agreements, and procurement contracts from all federal awarding agencies that exceeds \$10,000,000 for any period of time during the period of performance of an award under this funding opportunity.

Recipients that meet these criteria must maintain current information reported in FAPIIS about civil, criminal, or administrative proceedings described in paragraph 2 of Appendix XII at the reporting frequency described in paragraph 4 of Appendix XII.

III. SINGLE AUDIT REPORT

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

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

5. Monitoring and Oversight

Per 2 C.F.R. § 200.337, FEMA, through its authorized representatives, has the right, at all reasonable times, to make site visits or conduct desk reviews to review project accomplishments and management control systems to review award progress and to provide any required technical assistance. During site visits or desk reviews, FEMA will review recipients' files related to the award. As part of any monitoring and program evaluation activities, recipients must permit FEMA, upon reasonable notice, to review grant-related records and to interview the organization's staff and contractors regarding the program. Recipients must respond in a timely and accurate manner to FEMA requests for information relating to the award.

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

FEMA staff will periodically monitor recipients to ensure that administrative processes, policies and procedures, budgets, and other related award criteria are meeting Federal Government-wide and FEMA regulations. Aside from reviewing quarterly financial and programmatic reports, FEMA may also conduct enhanced monitoring through either desk-based reviews, onsite monitoring visits, or both. Enhanced monitoring will involve the review and analysis of the financial compliance and administrative processes, policies,

activities, and other attributes of each federal assistance award, and it will identify areas where the recipient may need technical assistance, corrective actions, or other support.

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

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

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

G. DHS Awarding Agency Contact Information

1. Contact and Resource Information

a. *Program Office Contact*

The Measures and Standards Branch in FEMA's National Preparedness Directorate maintains programmatic responsibility for the EMBAG. Please reach out to the EMBAG Program Manager Madeline Clark by phone at (202) 568-4257 or email (madeline.clark@fema.dhs.gov) for additional information.

Additional Program Office points of contact are the Measures and Standards Branch Chief Sharon Kushnir, who can be reached by phone at (202) 368-4469 or email (sharon.kushnir@fema.dhs.gov) and Elizabeth Hunziker, who can be reached by phone at (202) 809-1398 or email (elizabeth.hunziker@fema.dhs.gov).

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

CSID is a non-emergency comprehensive management and information resource developed by FEMA for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the federal, state, and local levels. When necessary, recipients will be directed to a federal point of contact who can answer specific programmatic questions or concerns.

CSID can be reached by phone at (800) 368-6498 or by e-mail at askcsid@fema.dhs.gov, Monday through Friday, 9:00 AM – 5:00 PM ET.

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

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

d. *FEMA Regional Offices*

Not applicable.

e. *Equal Rights*

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

f. *Environmental Planning and Historic Preservation*

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

g. *Other Contact Information*

None

2. *Systems Information*

a. *Grants.gov*

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

b. *Non-Disaster (ND) Grants*

For technical assistance with the ND Grants system, please contact the ND Grants Helpdesk at ndgrants@fema.dhs.gov or (800) 865-4076, Monday through Friday, 9:00 AM – 6:00 PM ET. User resources are available at <https://www.fema.gov/grants/guidance-tools/non-disaster-grants-management-system>

c. *Payment and Reporting System (PARS)*

FEMA uses the [Payment and Reporting System \(PARS\)](#) for financial reporting, invoicing, and tracking payments. FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to recipients. To enroll in the DD/EFT, recipients must complete a Standard Form 1199A, Direct Deposit Form. If you have questions about the online system,

please call the Customer Service Center at (866) 927-5646 or email ask-GMD@fema.dhs.gov.

H. Additional Information

1. Termination Provisions

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

a. *Noncompliance*

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

b. *With the Consent of the Recipient*

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

c. *Notification by the Recipient*

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

2. Period of Performance Extensions

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

All extension requests must address the following:

- a. The grant program, fiscal year, and award number;

- b. Reason for the delay –including details of the legal, policy, or operational challenges that prevent the final outlay of awarded funds by the deadline;
- c. Current status of the activity(ies);
- d. Approved POP termination date and new project completion date;
- e. Amount of funds drawn down to date;
- f. Remaining available funds, both federal and, if applicable, non-federal;
- g. Budget outlining how remaining federal and, if applicable, non-federal funds will be expended;
- h. Plan for completion, including milestones and timeframes for achieving each milestone and the position or person responsible for implementing the plan for completion; and
- i. Certification that the activity(ies) will be completed within the extended POP without any modification to the original statement of work, as described in the application or other relevant document and as approved by FEMA.

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

- Contractual commitments by the recipient or subrecipient with vendors prevent completion of the project, including delivery of equipment or services, within the existing POP;
- The project must undergo a complex environmental review that cannot be completed within the existing POP;
- Projects are long-term by design, and therefore acceleration would compromise core programmatic goals; or
- Where other special or extenuating circumstances exist.

Recipients should submit all proposed extension requests to FEMA for review and approval at least 90 days prior to the end of the POP to allow sufficient processing time. Extensions are typically granted for no more than a six-month period.

3. Disability Integration

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

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

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

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

- Include representatives of organizations that work with/for people with disabilities on planning committees, work groups and other bodies engaged in development and implementation of the grant programs and activities.
- Hold all activities related to the grant in locations that are accessible to persons with physical disabilities to the extent practicable.
- Acquire language translation services, including American Sign Language, that provide public information across the community and in shelters.
- Ensure shelter-specific grant funds are in alignment with FEMA's [Guidance on Planning for Integration of Functional Needs Support Services in General Population Shelters](#).
- If making alterations to an existing building to a primary function area utilizing federal funds, complying with the most recent codes and standards and making path of travel to the primary function area accessible to the greatest extent possible.
- Implement specific procedures used by public transportation agencies that include evacuation and passenger communication plans and measures for individuals with disabilities.
- Identify, create, and deliver training to address any training gaps specifically aimed toward whole-community preparedness. Include and interact with individuals with disabilities, aligning with the designated program capability.
- Establish best practices in inclusive planning and preparedness that consider physical access, language access, and information access. Examples of effective communication access include providing auxiliary aids and services such as sign language interpreters, Computer Aided Real-time Translation (CART), and materials in Braille or alternate formats.

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

4. Conflicts of Interest in the Administration of Federal Awards or Subawards

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

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

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

through entity as required by the recipient or pass-through entity's conflict of interest policies, or any applicable federal or SLTT statutes or regulations.

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

5. Procurement Integrity

Through audits conducted by the DHS Office of Inspector General (OIG) and FEMA grant monitoring, findings have shown that some FEMA recipients have not fully adhered to the proper procurement requirements when spending grant funds. Anything less than full compliance with federal procurement requirements jeopardizes the integrity of the grant as well as the grant program. To assist with determining whether an action is a procurement or instead a subaward, please consult 2 C.F.R. § 200.331.

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

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

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

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

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

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

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

b. *Competition and Conflicts of Interest*

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

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

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

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

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

Under 2 C.F.R. § 200.318(c)(1), non-federal entities other than states are required to maintain written standards of conduct covering conflicts of interest and governing the actions of their employees engaged in the selection, award, and administration of contracts. **No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a federal award if he or she has a real or apparent conflict of interest.** Such conflicts of interest would arise when the employee, officer or agent, any member of his or her immediate family, his or her partner, or an organization that employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract.

The officers, employees, and agents of the non-federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. However, non-federal entities may set standards for situations in which the financial interest is not substantial, or the gift is an unsolicited item of nominal value. The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the non-federal entity. If the recipient or subrecipient (other than states) has a parent, affiliate, or subsidiary organization that is not a state, local, tribal, or territorial government, the non-federal entity must also maintain written standards of conduct covering organizational conflicts of interest. In this context, organizational conflict of interest means that because of a relationship with a parent company, affiliate, or subsidiary organization, the non-federal entity is unable or appears to be unable to be impartial in conducting a procurement action involving a related organization. The non-federal entity must disclose in writing any potential conflicts of interest to FEMA or the pass-through entity in accordance with applicable FEMA policy.

c. *Supply Schedules and Purchasing Programs*

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

I. GENERAL SERVICES ADMINISTRATION SCHEDULES

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

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

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

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

II. OTHER SUPPLY SCHEDULES AND PROGRAMS

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

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

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

d. *Procurement Documentation*

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

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

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

- Solicitation documentation, such as requests for quotes, invitations for bids, or requests for proposals;
- Responses to solicitations, such as quotes, bids, or proposals;
- Pre-solicitation independent cost estimates and post-solicitation cost/price analyses on file for review by federal personnel, if applicable;
- Contract documents and amendments, including required contract provisions; and
- Other documents required by federal regulations applicable at the time a grant is awarded to a recipient.

6. Record Retention

a. *Record Retention Period*

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

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

- Records for real property and equipment acquired with federal funds must be retained for **three years after final disposition of the property**. *See* 2 C.F.R. § 200.334(c).
- If any litigation, claim, or audit is started before the expiration of the three-year period, the records **must be retained until** all litigation, claims, or audit findings involving the records **have been resolved and final action taken**. *See* 2 C.F.R. § 200.334(a).
- The **record retention period will be extended if the recipient is notified in writing** of the extension by FEMA, the cognizant or oversight agency for audit, or the cognizant agency for indirect costs. *See* 2 C.F.R. § 200.334(b).
- Where FEMA requires recipients to report program income after the period of performance ends, the **program income record retention period begins at the end of the recipient's fiscal year in which program income is earned**. *See* 2 C.F.R. § 200.334(e).
- For indirect cost rate proposals, cost allocation plans, or other rate computations records, the start of the record retention period depends on whether the indirect cost rate documents were submitted for negotiation. If the **indirect cost rate documents were submitted for negotiation, the record retention period begins from the date those documents were submitted** for negotiation. If indirect cost rate documents were **not submitted for negotiation, the record retention period begins at the end**

of the recipient's fiscal year or other accounting period covered by that indirect cost rate. *See* 2 C.F.R. § 200.334(f).

b. *Types of Records to Retain*

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

- Specifications
- Solicitations
- Competitive quotes or proposals
- Basis for selection decisions
- Purchase orders
- Contracts
- Invoices
- Cancelled checks

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

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

7. *Actions to Address Noncompliance*

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

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

In the event the noncompliance is not able to be corrected by imposing additional conditions or the recipient or subrecipient refuses to correct the matter, FEMA might take other remedies allowed under 2 C.F.R. § 200.339. These remedies include actions to disallow costs, recover funds, wholly or partly suspend or terminate the award, initiate suspension and debarment proceedings, withhold further federal awards, or take other remedies that may be legally available. For further information on termination due to noncompliance, see the section on Termination Provisions in the NOFO.

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

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

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

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

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

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

8. Audits

FEMA grant recipients are subject to audit oversight from multiple entities including the DHS OIG, the GAO, the pass-through entity, or independent auditing firms for single audits, and may cover activities and costs incurred under the award. Auditing agencies such as the DHS OIG, the GAO, and the pass-through entity (if applicable), and FEMA in its oversight capacity, must have access to records pertaining to the FEMA award. Recipients and subrecipients must retain award documents for at least three years from the date the final FFR is submitted, and even longer in many cases subject to the requirements of 2 C.F.R. § 200.334. In the case of administrative closeout, documents must be retained for at least three years from the date of closeout, or longer subject to the requirements of 2 C.F.R. § 200.334. If documents are retained longer than the required retention period, the DHS OIG, the GAO, and the pass-through entity, as well as FEMA in its oversight capacity, have the right to access these records as well. *See* 2 C.F.R. §§ 200.334, 200.337.

Additionally, non-federal entities must comply with the single audit requirements at 2 C.F.R. Part 200, Subpart F. Specifically, non-federal entities, other than for-profit subrecipients, that expend \$750,000 or more in federal awards during their fiscal year must have a single or

program-specific audit conducted for that year in accordance with Subpart F. 2 C.F.R. § 200.501. A single audit covers all federal funds expended during a fiscal year, not just FEMA funds. The cost of audit services may be allowable per 2 C.F.R. § 200.425, but non-federal entities must select auditors in accordance with 2 C.F.R. § 200.509, including following the proper procurement procedures. For additional information on single audit reporting requirements, see section F of this NOFO under the header “Single Audit Report” within the subsection “Additional Reporting Requirements” or other applicable document.

The objectives of single audits are to:

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

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

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

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

FEMA, the DHS OIG, the GAO, and the pass-through entity (if applicable), as part of monitoring or as part of an audit, may review a non-federal entity’s compliance with the single audit requirements. In cases of continued inability or unwillingness to have an audit conducted in compliance with 2 C.F.R. Part 200, Subpart F, FEMA and the pass-through entity, if applicable, are required to take appropriate remedial action under 2 C.F.R. § 200.339 for noncompliance, pursuant to 2 C.F.R. § 200.505.

9. Payment Information

FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to recipients. To enroll in the DD/EFT, the recipient must complete SF-1199A, Direct Deposit Form.

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

10. Whole Community Preparedness

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

Whole Community includes:

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

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

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

11. Appendices

Appendices begin on the following page and are listed in the following order:

- Appendix A: FEMA Expectations for Standards Alignment and Assessment Review
- Appendix B: Detail on EMBAG Performance Measurement
- Appendix C: Detail of Allowable and Not Allowable Direct Costs Under EMBAG
- Appendix D: Project Narrative Template
- Appendix E: Evaluation and Scoring Criteria
- Appendix F: Budget Detail Worksheet Template
- Appendix G: Post-Award Requirements
- Appendix H: Guidance for Data Collection and Continuity Assessment Tool Activities

Appendix A: FEMA Expectations for Standards Alignment and Assessment Review

Any assessment processes supported by the EMBAG must include a review of the following sixteen (16) areas within an emergency management program as part of their assessment and accreditation process:

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.

Any standards supported by the EMBAG should align to the nine (9) FEMA guidance resources outlined below:

1. 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>.

2. 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/about/organization/offices> and the 2018 Continuity Guidance Circular is located at https://www.fema.gov/sites/default/files/2020-07/Continuity-Guidance-Circular_031218.pdf.

3. 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/emergency-managers/nims> and <https://www.fema.gov/emergency-managers/nims/components>.

4. FEMA Public Assistance Program and Policy Guide (PAPPG), v4 (June 2020)

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/assistance/public/policy-guidance-fact-sheets>.

5. 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>.

6. FEMA's Pre-Disaster Recovery Planning Guides

Information for state, local, tribal, and territorial governments on creating an organizational framework for comprehensive recovery efforts can be found in the FEMA Pre-Disaster Recovery Planning Guides, located at <https://www.fema.gov/sites/default/files/2020-07/pre-disaster-recovery-planning-guide-for-state-governments.pdf> for state and territorial governments, <https://www.fema.gov/sites/default/files/2020-07/pre-disaster-recovery-planning-guide-for-tribal-government.pdf> for tribal governments, and [Pre-Disaster Recovery Planning Guide for Local Governments \(fema.gov\)](#) for local governments.

7. 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 the purposes of SHSP and UASI, FEMA requires states, territories, and Urban Areas to complete a 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>.

8. National Response Framework, fourth edition and Community Lifelines

The [National Response Framework](#), fourth edition, provides foundational emergency management doctrine for how the Nation responds to all types of incidents. The NRF is built on scalable, flexible, and adaptable concepts identified in the National Incident Management System (NIMS) to align key roles and responsibilities across the Nation. The structures, roles, and responsibilities described in this Framework can be partially or fully implemented in the context of a threat or hazard, in anticipation of a significant event, or in response to an incident. Implementation of the structures and procedures described herein allows for a scaled response, delivery of specific resources and capabilities, and a level of coordination appropriate to each incident.

[Community 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: <https://www.fema.gov/media-library/assets/documents/177222>.

9. Homeland Security Exercise and Evaluation Program (HSEEP)

Exercises are a key component of national preparedness — they provide the whole community with the opportunity to shape planning, assess and validate capabilities, and address areas for improvement. HSEEP provides a set of guiding principles for exercise and evaluation programs, as well as a common approach to exercise program management, design and development, conduct, evaluation, and improvement planning. Through the use of HSEEP, the whole community can develop, execute, and evaluate exercises that address the preparedness priorities. These priorities are informed by risk and capability assessments, findings, corrective actions from previous events, and external requirements. These priorities guide the overall direction of an exercise program and the design and development of individual exercises.

Please use the following link to learn more about HSEEP:

<https://www.fema.gov/emergency-managers/national-preparedness/exercises/hseep>.

Appendix B: Detail on EMBAG Performance Measurement

The performance of the EMBAG is measured against the intended outcomes identified in the Objectives section of this NOFO. Short to mid-term outcomes consist of achieving compliance with national level standards for critical functions necessary to prepare for and manage disasters or to manage emergency management programs. Long-term outcomes consist of increasing preparedness to manage disasters or increasing capability to manage emergency management programs during disasters. The performance of the EMBAG in achieving its targeted short and mid-term outcomes is measured through Metrics 1 and 2 below and the performance of the EMBAG in achieving its targeted long-term outcome can be measured in part through Metrics 3 and 4 below.

All projects and activities under the two objectives listed in the Objectives section contribute to these outcomes. These projects either contribute systemically, through the support of the national-level standards in terms of governance, revising standards, or developing training and planning needed for conducting assessments, or directly, in terms of training and assessments targeted to emergency management programs and professionals to help them obtain accreditation or certification according to the national-level standards for emergency management. FEMA may use data collected from EMBAG performance measures to study improvements in national capability according to other data sources.

Applicants must describe in their application how they will collect data on FY 2021 EMBAG Performance Metrics relevant to their application. Applicants must include a description of how they are collecting and storing raw data used to calculate scores for these metrics and what methods they are using to calculate metrics. Raw data and a narrative description of methods should accompany scores reported to FEMA. The following is an example template for how to report FY 2021 EMBAG metric scores:

FY 2021 EMBAG Performance Metrics	Score
<u>Metric 1</u> : Percent of jurisdiction emergency management programs participating in assessments supported by the FY 2021 EMBAG that achieve national-level accreditation.	Percent
<u>Metric 2</u> : Percent of emergency management professionals with certification supported by the FY 2021 EMBAG that achieve national-level certification.	Percent
<u>Metric 3</u> : Percent of jurisdiction emergency management programs supported by the FY 2021 EMBAG that reported one or more aspects of their emergency management program improved as a result of the accreditation process and other support (training and assessments) received through the EMBAG.	Percent
<u>Metric 4</u> : Percent of professionals supported by the FY 2021 EMBAG that reported one or more aspects of their competence to manage an emergency management program improved as a part of the certification process and other support (training and assessments) received through the EMBAG.	Percent

If selected for funding, the applicant will work with FEMA to determine reporting requirements for the documentation, or raw data and description of methodology that they submit along with the scores for performance measures and closeout reporting and as described in [Appendix G: Post Award Requirements](#). FEMA must approve the plan for documentation and documentation must be submitted as part of closeout reporting.

Appendix C: Detail of Allowable and Not Allowable Direct Costs Under EMBAG

Direct Cost Type	Description	Allowable
Planning	Costs used to support assessment and accreditation or certification processes that support the purpose of the EMBAG described in this NOFO.	Yes
Planning	Costs used to support the objectives and projects described in Sections A and D and Appendices D, E, and G of this NOFO.	Yes
Organization	<i>N/A</i>	<i>No</i>
Equipment	<i>N/A</i>	<i>No</i>
Training	Costs used to support the training needed for assessors to complete assessment of emergency management programs funded by the EMBAG as part of an accreditation or certification process that supports the purpose of the EMBAG described in this NOFO.	Yes
Training	Costs used to support the objectives and projects described in Sections A and D and Appendices D, E, and G of this NOFO.	Yes
Training	<i>Costs NOT related to supporting the specific objectives and projects outlined in Sections A and D and Appendices D, E, and G of this NOFO, including but not limited to costs related to training for candidates of accreditation and certification NOT funded by the EMBAG.</i>	<i>No</i>
Training	<i>Costs related to state, local, tribal, and territorial student travel to classes at FEMA facilities.</i>	<i>No</i>
Exercises	Costs used to support the objectives and projects of the EMBAG described in NOFO Sections A and D and Appendices D, E, and G.	Yes
Personnel - Recipient and Partner	Costs used to support the objectives and projects of the EMBAG described in Sections A and D and Appendices D, E, and G of this NOFO. Specifically, personnel hiring, overtime, and backfill expenses are permitted under this program for the EMBAG recipient and its partner to perform allowable EMBAG planning, training, and exercise activities, EXCEPT for peer review. Overtime costs are allowed only insofar as they meet the purpose of EMBAG described in this NOFO.	Yes
Personnel – Hiring for Peer Review	<i>Hiring additional personnel to complete the process of peer review.</i>	<i>No</i>
Contracting and Consulting	Costs used for management of the grant award.	Yes
Contract and Consulting	<i>Costs used for providing subject-matter expertise on the FY 2021 EMBAG Objectives.</i>	<i>No</i>
Travel - Domestic	Costs for recipient personnel and assessors that support the objectives and projects of the EMBAG described in Sections A and D and Appendices D, E, and G of this NOFO.	Yes
Travel - Domestic	<i>Costs related to state, local, tribal, and territorial student travel to classes at FEMA facilities.</i>	<i>No</i>
Travel - International	<i>N/A</i>	<i>No</i>
Construction and Renovation	<i>N/A</i>	<i>No</i>

Appendix D: Project Narrative Template

A. Required Format

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

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

B. Required Application Contents

Applicants must present the contents of the application using the following arrangement. If applicants are partnering with another organization, they must include all of the following information for both themselves and their partner.

Section	Question
<p>Background</p> <p>Does not count toward the total page count limitation</p>	<p>Identify the applicant applying for the program and the Points of Contact (POCs) for this project, including the following:</p> <ul style="list-style-type: none"> • Name of primary applicant (the applicant) • Name and title of the lead POC • POC’s full mailing address, telephone number, and email address • Name and title of the single authorizing official, or AOR, for the organization (i.e., the individual authorized to sign a grant award) • Authorizing official’s full mailing address, telephone number, and email address • Names and contact information for any additional organization participating as a partner on the project.
<p>Demonstration of Eligibility</p> <p>Two (2) pages maximum</p> <p><i>Satisfactory Score is 15</i></p> <p>Maximum of 20 Points</p>	<ol style="list-style-type: none"> 1. Describe your organization’s experience and activity in the development, conduct, and management of standards and an assessment process for emergency management programs and/or professionals. This narrative must reference the following: <ul style="list-style-type: none"> • <i>How your organization has developed, maintained, and managed standards or professional benchmarks for emergency management, including updating or revising these standards.</i> • <i>How your organization incorporates national-level accreditation (particularly ANSI or an equivalent North American accreditation or certification body that is a member body of the ISO), consensus, peer review, and validation in the standards and assessment processes that you have developed.</i> • <i>How your organization engages the emergency management community in its application of peer review.</i> 2. Describe your organization’s relationship with federal, state, local, tribal, and territorial emergency management programs. This narrative must reference the following: <ul style="list-style-type: none"> • <i>Number of programs and diversity in size, sector, and governance for programs that your organization engages in the emergency management community.</i> • <i>Types of relationships your organization has had with these programs.</i> • <i>Number of years that your organization has had these relationships.</i>
<p>Project Plan</p> <p>Six (6) Pages maximum</p>	<ol style="list-style-type: none"> 1. Describe your organization’s plan for meeting the objectives of the EMBAG pursuant to Section A and Appendix G of this NOFO. Your Project Plan must address at least one of the two objectives in this NOFO, and at least one (1) project for the objective(s) that you select. If you are partnering with another organization, your plan must also describe how your partner will address at least one (1) objective and at

Section	Question
<p>Project Plan</p> <p><i>Satisfactory Score is 24</i></p> <p>Maximum of 30 points</p>	<p>least one (1) of its projects. If you and your partner address more than one objective and one (1) projects, you will score higher.</p> <ul style="list-style-type: none"> Please describe how you will address the post-award reporting and workplan requirements described in Appendix G: Post-Award Requirements, including a timeline and milestones that are critical to the success of the activities supporting the objectives of the EMBAG. The Project Plan that you submit as part of their Project Narrative will be considered the draft workplan if you are selected. Recipients will update and finalize this draft workplan after they accept the award, as described in Appendix G: Post-Award Requirements. <p>2. Please describe the alignment of your organization’s standards to FEMA doctrine and policy described in Appendix A: FEMA Expectations for Standards Alignment and Assessment Review, including your plans for improving alignment.</p>
<p>Impact</p> <p>Two (2) pages maximum</p> <p>Maximum of 30 points</p>	<p>1. Describe what impacts your organization anticipates from its plan to each of the following: 1) emergency management program; 2) emergency management professionals; 3) the jurisdictions that they serve; and 4) the national preparedness of the United States.</p> <p><u>Note:</u> Applicants will score higher if they describe how the national-level standards and assessment processes their organization manages directly contribute to impacts for jurisdiction emergency management preparedness capabilities to prevent, protect against, mitigate the effectiveness of, respond to, and recover from the threats that pose the greatest risk to the security of the Nation.</p> <p>2. Describe how your organization will collect data on the applicable performance metrics referenced in Section A: Program Description. Please refer to requirements in Appendix B: Detail on EMBAG Performance Measurement.</p>
<p>Budget</p> <p>Two (2) pages maximum</p> <p>Maximum of 20 points</p>	<p>1. Provide a budget narrative and detailed budget worksheet of the project using Appendix F: Budget Detail Worksheet Template as a reference. Please include total project dollars in the detailed budget worksheet.</p> <p>2. Describe your organization’s ability to manage federal grants, addressing the following factors: (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing Federal awards; (4) reports and findings from audits; and (5) ability to effectively implement statutory, regulatory, or other requirements.</p>

Appendix E: Evaluation and Scoring Criteria

The review panel will score applications based on specific criteria aligned to the Project Narrative requirement questions. The table below details the specific criteria aligned to each of the Project Narrative questions, and the maximum number of points an application can receive for each criterion. Each criterion row will be scored from 0-5, 0-10, 0-20, or 0-25 points based on complexity, priority to EMBAG, and summed scores for questions.

Project Narrative Requirement	Evaluation Criteria	Possible Points
Demonstration of Experience and Expertise (0-20 Points Total)		
<p>1. Describe your organization’s experience and activity in the development, conduct, and management of standards and an assessment process for emergency management programs and/or professionals. This narrative must reference the following:</p> <ul style="list-style-type: none"> • <i>How your organization has developed, maintained, and managed standards or professional benchmarks for emergency management, including updating or revising these standards.</i> • <i>How your organization incorporates national-level accreditation (particularly ANSI or an equivalent North American accreditation or certification body that is a member body of the ISO), consensus, peer review, and validation in the standards and assessment processes that you have developed.</i> • <i>How your organization engages the emergency management community in its application of peer review.</i> 	<p>How clearly and comprehensively does the applicant describe and demonstrate its (and its partner’s, if applicable) qualifications through Question 1? (0-5 points)</p> <p>Does the applicant demonstrate that they (and their partner, if applicable) are qualified to develop, update, revise, and enhance standards accredited by ANSI or an equivalent North American accreditation or certification body that is a member body of the ISO? (0-5 points)</p>	<p>0-10</p> <p><i>A satisfactory score is 5 points, with a maximum score of 10 for this row.</i></p>
<p>2. Describe your organization’s relationship with federal, state, local, tribal, and territorial emergency management programs. This narrative must reference the following:</p> <ul style="list-style-type: none"> • <i>Number of programs and diversity in size, sector, and governance for programs that your organization engages in the emergency management community.</i> • <i>Types of relationships your organization has had with these programs.</i> • <i>Number of years that your organization has had these relationships.</i> 	<p>How clearly and comprehensively does the applicant describe and demonstrate its (and its partner’s, if applicable) qualifications through Question 2?</p>	<p>0-10</p> <p><i>Maximum score is 10 points for this row.</i></p>

Project Plan (0-30 Points Total)		
<p>1. Describe your organization’s plan for meeting the objectives of the EMBAG pursuant to Section A and Appendix G of this NOFO. Your Project Plan must address at least one (1) of the two (2) objectives in this NOFO, and at least one (1) project for the objective(s) that you select. If you are partnering with another organization, your plan must also describe how your partner will address at least one (1) objective and at least one (1) of its projects. If you and your partner address more than one objective and one (1) project, you will score higher.</p> <ul style="list-style-type: none"> ▪ Please describe how you will address the post-award reporting and workplan requirements described in Appendix G: Post-Award Requirements, including a timeline and milestones that are critical to the success of the activities supporting the objectives of the EMBAG. The Project Plan that you submit as part of their Project Narrative will be considered the draft workplan if you are selected. Recipients will update and finalize this draft workplan after they accept the award, as described in Appendix G: Post-Award Requirements. 	<ul style="list-style-type: none"> • How clearly and comprehensively does the applicant address one (1) objective and one (1) project under the selected objective? (0-7 points) • Does the applicant address additional projects (for either itself or its partner, if applicable)? (0-8 points, 2 points per project) • How clearly and comprehensively does the applicant describe how it (and its partner, if applicable) will address the post-award reporting and workplan requirements described in Appendix G: Post-Award Requirements? (0-5 points) 	<p>0-20 <i>A satisfactory score for this row is 12 points.</i></p> <p><i>Maximum score is 20 points for this row.</i></p> <p><i>A satisfactory score for the Project Plan section is 22 points.</i></p>
<p>2. Please describe the alignment of your organization’s standards to FEMA doctrine and policy described in Appendix A: FEMA Expectations for Standards Alignment and Assessment Review, including your plans for improving alignment.</p>	<ul style="list-style-type: none"> • How clearly and comprehensively does the applicant describe alignment? (0-5 points) • Does the applicant reference all nine (9) documents from Appendix A? (0-5 points) 	<p>0-10 <i>Maximum score is 10 points for this row.</i></p>

Impact (0-30 Points Total)		
<p>Describe what impacts your organization anticipates from its plan to each of the following: 1) emergency management programs; 2) emergency management professionals; 3) the jurisdictions that they serve; and 4) the national preparedness of the United States.</p> <p><u>Note:</u> Applicants will score higher if they describe how the national-level standards and assessment processes their organization manages directly contribute to impacts for jurisdiction emergency management preparedness capabilities to prevent, protect against, mitigate the effectiveness of, respond to, and recover from the threats that pose the greatest risk to the security of the Nation.</p>	<p>How clearly and comprehensively does the applicant describe their proposal’s impact on:</p> <ul style="list-style-type: none"> • Emergency management (1) programs and (2) professionals? (0-5 points) • Jurisdictions? (0-10 points) • The national preparedness of the United States? (0-5 points) • Preparedness capabilities? (0-5 points) 	<p>0-25 <i>Maximum score is 25 points for this row.</i></p>
<p>Describe how your organization will collect data on the following performance metrics (4) referenced in Section A: Program Description. Please refer to requirements in Appendix B: Detail on EMBAG Performance Measurement.</p>	<p>How clearly and comprehensively does the applicant describe how they (and their partner, if applicable) will collect data for the four (4) performance metrics defined for this EMBAG NOFO and address requirements in Appendix B?</p>	<p>0-5 <i>Maximum score is 5 points for this row.</i></p>
Budget (0-20 Points Total)		
<p>1. Provide a budget narrative and detailed budget worksheet of the project using Appendix F: Budget Detail Worksheet Template as a reference. Please include total project dollars in the detailed budget worksheet.</p>	<p>Did the applicant provide a budget narrative and detailed budget worksheet that are clear, logical, and identify reasonable items (for both their own and their partner’s projects, if applicable)?</p>	<p>0-10 <i>Maximum score is 10 points for this row.</i></p>
<p>2. Describe your organization’s ability to manage federal grants, addressing the following factors: (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing Federal awards; (4) reports and findings from audits; and (5) ability to effectively implement statutory, regulatory, or other requirements.</p>	<p>How clearly and comprehensively does the applicant demonstrate their (and their partner’s, if applicable) capacity and ability to manage federal grants?</p>	<p>0-10 <i>Maximum score is 10 points for this row.</i></p>

Appendix F: Budget Detail Worksheet Template

Purpose: The Budget Detail Worksheet may be used as a guide to assist applicants in the preparation of the budget and budget narrative (for both their own and their partner's projects, if applicable). Applicants may submit the budget and budget narrative using this form or in the format of their choosing (plain sheets, independently created forms, or a variation of this form). However, all required information (including the budget narrative) must be provided. Applicants must provide all the requested information identified in the general instructions, as well as the instructions for each section, and categorize it by activity and allowable cost.

General Instructions

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

- The applicant should list and describe all activities and associated costs required to implement the EMBAG Object and Project(s) that they and their partner (if applicable) will implement.
- The applicant should link each cost to a NOFO objective and project as defined in [Section A: Program Description](#).
- Funds must be aligned to allowable cost categories (e.g., personnel, travel, supplies) within each of the NOFO objectives addressed in the Project Plan.
- A justification of costs for each section, including the identification of any cost savings measures, should be addressed in the Budget section of the Project Narrative (the budget narrative).

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

Name/Position	Computation	Cost
		\$
Total Personnel		\$

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

Name/Position	Computation	Cost
		\$
Total Fringe Benefits		\$

C. Travel. Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3- day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of any Travel Policies applied.

Purpose of Travel	Location	Item	Computation	Cost
				\$
Total Travel				\$

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

Supply Items	Computation	Cost
		\$
Total Supplies		\$

E. Consultants/Contracts.

Consultant Fees: For each consultant enter the name, if known, service to be provided, and computed estimated cost of the service. Note: Contract and consulting costs are not allowed for providing subject-matter expertise on the FY 2021 EMBAG Objectives, and no pre-award grant writing services are allowed, since pre-award costs are not allowed. Contract and consulting costs used for management of the grant award are allowed.

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Name of Consultant	Service Provided	Computation	Cost
			\$
Subtotal – Consultant Fees			\$

Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Item	Location	Computation	Cost
			\$
Subtotal – Consultant Expenses			\$

Contracts: Provide a description of the product or services to be procured by contract and an estimate of the cost. When using federal funds to procure property or services, applicants must follow the applicable requirements set forth in 2 C.F.R. §§ 200.317 through 200.326.

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Item	Cost
	\$
Subtotal – Contracts	\$

Total Consultants/Contracts

\$

F. Other Costs. List items by major type and the basis of the computation.

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Important Note: If applicable to the project, construction costs should be included in this section of the Budget Detail Worksheet.

Description	Computation	Cost
		\$
Total Other		\$

G. Indirect Costs. Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
		\$
Total Indirect Costs		\$

H. Budget Summary. When applicant has completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal funds requested and the amount of non-Federal funds that will support the project.

Budget Category	Federal Amount	Non-Federal Amount
A. Personnel	\$	\$
B. Fringe Benefits	\$	\$
C. Travel	\$	\$
D. Supplies	\$	\$
E. Consultants/Contracts	\$	\$
F. Other	\$	\$
G. Indirect Costs	\$	\$

Total Requested Federal Amount	Total Non-Federal Amount
\$	\$
Combined Total Project Costs	
\$	

Appendix G: Post-Award Requirements

This appendix describes post-award conditions that applicants, as described in [Appendix D: Project Narrative Template](#) and [Appendix E: Evaluation and Scoring Criteria](#), must address in the Project Plan section of their Project Narrative (on behalf of themselves and their partner, if applicable), to receive a satisfactory score for the Project Plan section of the EMBAG Evaluation and Scoring Criteria and that recipients must comply with in order to receive funding. These post-award conditions are described below.

i. POST-AWARD PROGRAMMATIC REPORTING AND OTHER COMMUNICATION REQUIREMENTS

This section describes the requirements for recipient communication requirements with FEMA and all programmatic post-award reporting, including performance reports that are to be uploaded into PPR forms in ND Grants. Applicants must outline (on behalf of themselves and their partner, if applicable) how they will meet the following programmatic reporting and other communication requirements in the Project Plan section of their Project Narrative. These requirements are separated below into three tables for BOTH emergency management program accreditation AND professional certification; JUST emergency management program accreditation; and JUST emergency management professional certification. All requirements are listed in order by date of occurrence or submission to FEMA. Some requirements align to programmatic reporting and closeout reporting, which is noted under in the *Report or Communication Type* column. Budget information in the following requirements should be consistent with, but is not the same as, the Federal Financial Report (FFR) requirements described in Section F of this NOFO.

a. BOTH Emergency Management Program Accreditation AND Professional Certification

Report or Communication Type	Reporting Due Date	Description
Award Kickoff Meeting and Communications Plan	<i>Within 70 days of award</i>	<p>Within 70 days of the award, recipients and FEMA will meet to confirm the structure, requirements, milestones, and level of support for establishing and maintaining the deliverables required to meet the EMBAG Objectives. Recipients will discuss the Project Plan, or draft workplan in the Project Narrative of their original application, and FEMA will provide feedback on these workplans.</p> <p>Recipients and FEMA will also develop a communications plan, which must include bi-monthly conference calls, during the award kickoff meeting and finalize the plan no more than 30 days later.</p>

Report or Communication Type	Reporting Due Date	Description
Workplan for the FY 2021 EMBAG	<i>Within 90 days of award</i>	<p>Recipients of the EMBAG must provide FEMA a final workplan, which must be an update of the Project Plan they submitted as part of the Project Narrative in their original application. Workplans must adhere to requirements in under the header <u>Post Award Workplan Requirements</u> in this appendix and Appendix H: Guidance for Data Collection and Continuity Assessment Tool Activities.</p> <p>Recipients will work with FEMA to determine reporting requirements for the documentation, or raw data and description of methodology submitted along with the scores for performance measures. FEMA must approve the plan for documentation.</p>
<p><u>Programmatic Reporting:</u></p> <p>Performance Reports</p>	<p><i>Quarterly (September 2021-August 2022)</i></p> <p><i>FEMA reserves the right to request more frequent reporting as necessary.</i></p>	<p>Recipients must provide written quarterly reports to FEMA and upload them into the Performance Progress Reports in ND Grants. FEMA will use these reports to monitor progress for the grant award. Each report must include a summary (by month and for the quarter) of the following: activities completed since the last report, a list of costs incurred, and a schedule and count of upcoming events, including assessments, accreditations, and/or certifications obtained by emergency management programs and/or professionals (as applicable) supported by the EMBAG. Recipients must provide scores for the applicable performance metrics referenced in Section A: Program Description and document how this scores were calculated.</p> <p>Each quarterly report must also include a summary (by month and for the quarter) of spending with costs organized by each EMBAG Objective and Project addressed in the workplan. This summary should be consistent with, but is not the same as, the Federal Financial Report (FFR) requirements described in Section F: Federal Award Administration Information. This summary must also break out program management, training, and assessment costs separately within each EMBAG Objective and Project and cover the full list of recipient responsibilities described in this NOFO.</p>
Additional Instructions: Conference Calls	<i>Bi-monthly (September 2021-August 2022)</i>	<p>The recipient must hold conference calls at least bi-monthly with the FEMA program manager to discuss progress in implementing the requirements listed in this NOFO. During the award kickoff meeting, FEMA and the recipient will discuss structure and expectations for the bi-monthly conference calls as part of creating a communications plan for the FY 2021 EMBAG.</p>

b. JUST Emergency Management Program Accreditation

Report or Communication Type	Reporting Due Date	Description
Data Collection for Objective 1, Project (2)	<i>Within 70 days of award</i>	Within 70 days of the award, the recipient and FEMA will meet to establish the specific data collection form content and process for Tasks I-V and process for Task V described in Appendix H: Guidance for Data Collection and Continuity Assessment Tool Activities . Data collection forms will be finalized by the recipient based on this meeting no more than 30 days later.
Baseline Assessment Report	<i>No later than 90 days after the conclusion of each Baseline Assessment</i>	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 90 days after the assessment process is complete.
Summary Reports for Objective 1, Project 3	<i>90 Days after final data collection task OR final assessment</i>	By the end of the FY 2021 EMBAG period of performance, the recipient must provide to FEMA: <ul style="list-style-type: none"> • A summary report on data collection tasks, described under the Post-Award Workplan Requirements header of this appendix that is separate from the Annual Baseline Assessment Report. The recipient must also provide informal summary reports to FEMA upon request for single data collection task iterations. • A summary report of findings and results for all assessments administered as part of the Continuity Assessment Tool (CAT) task described under the Post-Award Workplan Requirements header of this appendix.
<u>Closeout Reporting:</u> Annual Baseline Assessment Summary Report and Scores for EMBAG Performance Metrics	<i>90 Days after the end of the FY 2021 EMBAG period of performance</i>	The recipient must provide to FEMA an Annual Baseline Assessment Summary Report no later than 90 days after the end of the FY 2021 EMBAG period of performance. This report must reflect results of baseline assessments conducted during the period and identify and summarize trends regarding the state of the nation's preparedness that can be determined through the aggregated results of assessments conducted during the FY21 EMBAG, including a summary of accreditations supported by the FY 2021 EMBAG. The recipient must provide scores for the applicable performance metrics referenced in Section A: Program Description and Appendix B: Detail on EMBAG Performance Measurement and document how this scores were calculate no later than December 31, 2022.

c. JUST Emergency Management Professional Certification

Report or Communication Type	Reporting Due Date	Description
<p><u>Closeout Reporting:</u></p> <p>Annual Certification Report</p>	<p><i>90 Days after the end of the FY 2021 EMBAG period of performance</i></p>	<p>The recipient must provide to FEMA an Annual Certification Summary Report no later than 90 Days after the end of the FY 2021 EMBAG period of performance that lists the number of candidates that achieved certification, the trends identified in the certifications, and progress made in implementing EMBAG Objective 2 Projects (4-5, as applicable). This report must reflect results of certifications conducted during the period, identify trends, and summarize trends regarding the state of the nation’s emergency management professionals’ capability as best as can be determined through activities supported by EMBAG Objective 2 Projects (4-5, as applicable). This report must include a summary of certifications obtained by emergency management professionals supported by the EMBAG for each month and for the FY 2021 EMBAG period of performance.</p> <p>The recipient must provide scores for the applicable performance metrics referenced in Section A: Program Description and document how these scores were calculated.</p> <p>Where applicable, this report also must include results of EMBAG Objective Projects, including data on how jurisdiction emergency management programs benefit from their employee certification through the EMBAG (Objective 2, Project 1), and results from reviews and analyses conducted as part of the EMBAG (Objective 2, Project 2).</p>

ii. POST-AWARD WORKPLAN REQUIREMENTS

This section describes requirements that recipients must address in their final workplan that they submit to FEMA after accepting the award (on behalf of themselves and their partner, if applicable). Requirements are listed by EMBAG Objective and Project. Additional details are broken out into tasks. Workplans must address all details described in the two (2) tables below pertinent to projects selected.

Emergency Management Program Accreditation

For voluntary standards and accreditation processes for emergency management programs, the applicant will be responsible for the following EMBAG Objective requirements (1) and projects.

Objective 1: Supporting Emergency Management Program Accreditation	
Objective 1, Project 1: Maintain and revise national-level standards used to accredit emergency management programs. Standards must be voluntary, consensus-based, and accredited through a national-level accreditation body for standards and include a peer review assessment process using emergency professionals from the emergency management community.	
<i>Requirements for Activities</i>	<i>Example Activities that Meet Requirements</i>
<ul style="list-style-type: none"> • Efforts should include ongoing update of national-level standards used to accredit emergency management programs. • Efforts should include developing, maintaining, updating, and improving systems, policy, and processes necessary to complete the objectives of the EMBAG. • Efforts can include operationalizing and/or validating these standards. 	<ul style="list-style-type: none"> • Ensuring standards are consistent with the NPS and PPD-40, National Continuity Policy. • Recommending the inclusion of the key considerations and practices central to the THIRA methodology as part of the standards. • Proposing and providing support for the alignment of the standards with the FEMA guidance outlined and described in Appendix A: FEMA Expectations for Standards Alignment and Assessment Review. • Presenting the assessment process and the emergency management standards and accreditation guidelines at national-level annual conferences for the emergency management community and providing a copy of the briefing to FEMA 10 days before the conferences to review. • Maintaining a web-based portal for jurisdiction self-assessments. • 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 under the Post-Award Programmatic Reporting and Other Communication Requirements header of this appendix. • Providing webinars for training on the accreditation process, including the standards supported by the EMBAG. • Developing additional emergency preparedness and response standards and peer- assessment and accreditation processes as needed. • Providing FEMA a report with an annual trend analyses of common problem areas identified in the self-assessments and peer review assessments. • Supporting initial efforts to operationalize the national-level standards used to accredit emergency management programs.

Objective 1, Project 2: Maintain a peer review process to assess emergency management program adherence to the standards.	
<i>Requirements for Activities</i>	<i>Example Activities that Meet Requirements</i>
<ul style="list-style-type: none"> • Efforts should include outreach and selection of a peer review team that consists of emergency management officials from other (peer) jurisdiction emergency management programs. 	<ul style="list-style-type: none"> • Providing training for assessors for activities supported by the EMBAG.
Objective 1, Project 3: Conduct assessments on a volunteer basis for jurisdictions.	
<i>Requirements for Activities</i>	<i>Example Activities that Meet Requirements</i>
<ul style="list-style-type: none"> • Efforts should include assessments used to accredit jurisdiction emergency management programs using the national-level standards. • Efforts can include assessments of jurisdiction emergency management programs using other capability assessment tools. 	<ul style="list-style-type: none"> • Executing a peer review process for emergency management program accreditation. • Securing agreements for and completing approximately 10 jurisdictions' assessments against standards accredited by a national-level accreditation body for standards. • During jurisdiction assessments, incorporating a review of the THIRA for jurisdictions required to submit a THIRA and an SPR and alignment to FEMA guidance as outlined and described in Appendix A: FEMA Expectations for Standards Alignment and Assessment Review. • 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 under the as described under the Post-Award Programmatic Reporting and Other Communication Requirements header of this appendix. Additional Detail regarding these tasks is contained in Appendix H: Guidance for Data Collection and Continuity Assessment Tool Activities. All tasks review jurisdiction plan and process alignment to FEMA doctrine, which consists of reviewing the alignment of jurisdictions': <ul style="list-style-type: none"> ○ Continuity Plans to National Continuity Policy; ○ Resource management systems to NIMS/NQS; ○ EOPs and Recovery Plans or their equivalents to PAPPG and NDRF guidance; and ○ THIRA submission to CPG 201. • Conducting six (6) assessments using the Continuity Assessment Tool (CAT) and providing results to FEMA as described under the as described under the Post-Award Programmatic Reporting and Other Communication Requirements header of this appendix. Additional Detail regarding this task is contained in Appendix H: Guidance for Data Collection and Continuity Assessment Tool Activities.

Emergency Management Professional Certification

For voluntary standards and certification processes for emergency management professionals, the applicant will be responsible for the following EMBAG Objective requirements (1) and its (2) Projects.

Objective 2: Supporting Emergency Management Professional Certification	
Objective 2, Project 4: Maintain and revise national-level standards and criteria used to certify emergency management professional's competence to manage emergency management programs. Standards must be voluntary, consensus-based, and involve input from emergency professionals from the emergency management community.	
<i>Requirements for Activities</i>	<i>Example Activities that Meet Requirements</i>
<ul style="list-style-type: none"> • Efforts should include validating and accrediting standards and criteria through a national-level accreditation body for standards. • Efforts should include developing, maintaining, updating, and improving systems, policy, and processes necessary to complete the objectives of the EMBAG. 	<ul style="list-style-type: none"> • Collecting input from the emergency management community, including subject matter experts (SMEs) and practitioners from multiple emergency management disciplines regarding multiple hazard and jurisdiction types. • Reviewing and synthesizing input and provide the results of this review to FEMA as described under the as described under the <u>Post-Award Programmatic Reporting and Other Communication Requirements</u> header of this appendix. FEMA expects this review to accurately reflect the most common duties of emergency management professionals, including those necessary to manage jurisdiction emergency management programs. • Supporting accreditation of standards and criteria for emergency management professional certification through a national-level accreditation body for standards. • Maintaining systems and processes for: <ul style="list-style-type: none"> ○ Certification candidate selection. ○ Administering, coordinating, and maintaining records for a certification program for emergency management professionals. ○ Developing and revising policy and guidance, including proposing and providing support for the review of emergency management program areas and the alignment of the standards for emergency management professional certification with the FEMA guidance in <u>Appendix A: FEMA Expectations for Standards Alignment and Assessment Review</u>.
Objective 2, Project 5: Conduct assessments on a volunteer basis for state, local, tribal, and territorial emergency management professionals against these standards and criteria.	
<i>Requirements for Activities</i>	<i>Tasks that Meet Requirements</i>
<ul style="list-style-type: none"> • Efforts should include assessments used to certify emergency management professional using the national-level standards and criteria. 	<ul style="list-style-type: none"> • Application and associated fees for 35 state, local, tribal, and territorial emergency management professionals • Collecting data on how these professionals' employers benefit from the certification of their employees through the EMBAG.

Appendix H: Guidance for Data Collection and Continuity Assessment Tool Activities

This appendix contains additional guidance for Data Collection and Continuity Assessment Tool (CAT) Assessments, which are example activities that meet requirements under Objective 1, Project 3. Applicants that incorporate these tasks into their application must describe how they will carry them out under the Project Plan section of their Project Narrative to receive a satisfactory score for the Project Plan section of the EMBAG Evaluation and Scoring Criteria as described in [Appendix D: Project Narrative Template](#) and [Appendix E: Evaluation and Scoring Criteria](#). The guidance in this appendix is an extension of the post-award workplan requirements described in [Appendix G: Post-Award Requirements](#) that recipients must incorporate into their final workplan, if they or their partner will implement Data Collection or CAT assessments.

- **For Data Collection Assessments: The recipient must provide FEMA a final report for each of the following tasks (I-V) that covers all assessments conducted as part of the data collection forms described in [Appendix G: Post-Award Requirements](#) of this NOFO.**
 - The recipient 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 award kickoff meeting for the grant, which will take place no more than 70 days after the FY 2021 EMBAG grant award date.
 - The recipient will conduct these tasks for at least 10 jurisdiction program on-site assessments supported by the FY 2021 EMBAG.
 - The recipient must include the name, publication date, and section of the jurisdiction plan (Tasks I, III, IV, and V) or resource management system (Task II) used to answer the questions in the data collection form.
 - If a jurisdiction is required to submit a THIRA/SPR, the recipient is encouraged to consider a jurisdiction's THIRA to inform its review for Tasks I-III and must consider a jurisdictions THIRA for Task IV, if applicable.

I. Task I - Continuity Plans:

The recipient 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's data collection form to ensure that a jurisdiction can perform its essential functions and provide critical services.

Questions in this task's data collection form will 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 recipient 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's data collection form, 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 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:

For all questions in this task's data collection form, the recipient should review jurisdiction Emergency Operations Plans (EOPs) and Recovery Plans during each jurisdiction on-site assessment for alignment to the [NDRF Second Edition \(June 2016\)](#) and FEMA's Pre-Disaster Recovery Planning Guides ([Pre-Disaster Recovery Planning Guide for States \(November 2016\)](#), [Pre-Disaster Recovery Planning Guide for Tribal Governments \(September 2019\)](#), and the [Pre-Disaster Recovery Planning Guide for Local Governments \(February 2017\)](#)). For disaster cost recovery related questions, the recipient should review jurisdiction Emergency Operations Plans (EOPs) and Recovery Plans during each jurisdiction on-site assessment for alignment to the [PAPPG, V4 \(June 2020\)](#).

Questions in this task's data collection form will apply to jurisdiction EOPs and Recovery Plans. Terminology and phrasing in the data collection form should also align to the [NDRF Second Edition \(June 2016\)](#), [FEMA Pre-Disaster Recovery Planning Guides](#), and the [PAPPG, V4 \(June 2020\)](#).

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

If a jurisdiction is required to submit a THIRA and a SPR, the recipient 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's data collection form.

Questions in this task's data collection form will apply to jurisdiction hazard identification and risk assessments. 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.

For CAT Assessments: The recipient must also provide FEMA a final summary report as described in [Appendix G: Post-Award Requirements](#).

V. Task V - Continuity Assessment Tool:

The recipient 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*. Objective 2.4 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 recipient will coordinate to determine the six jurisdictions whom FEMA and the recipient propose to assess. Coordination with identified states will occur through the FEMA Regions. Upon agreement, the jurisdiction and the recipient will coordinate to identify mutually agreeable dates for the assessment. FEMA and the recipient will focus on the informational elements of the CAT.

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 by the end of the FY 2021 grant year.
3. Providing an annual summary report of findings to FEMA as described in [Appendix G: Post-Award Requirements](#). 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.