

**The Department of Homeland Security (DHS)  
Notice of Funding Opportunity (NOFO)  
Fiscal Year 2021 Regional Catastrophic Preparedness Grant Program  
(RCPGP)**

**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.”

## Table of Contents

A.	Program Description.....	3
1.	Issued By.....	3
2.	Assistance Listings Number .....	3
3.	Assistance Listings Title .....	3
4.	Funding Opportunity Title .....	3
5.	Funding Opportunity Number.....	3
6.	Authorizing Authority for Program .....	3
7.	Appropriation Authority for Program.....	3
8.	Announcement Type.....	3
9.	Program Category .....	3
10.	Program Overview, Objectives, and Priorities .....	4
11.	Performance Measures.....	10
B.	Federal Award Information .....	11
1.	Available Funding for the NOFO .....	11
2.	Projected Number of Awards.....	11
3.	Maximum Award Amount.....	11
4.	Period of Performance .....	11
5.	Projected Period of Performance Start Date(s).....	11
6.	Projected Period of Performance End Date(s).....	11
7.	Funding Instrument Type.....	11
C.	Eligibility Information.....	11
1.	Eligible Applicants.....	11
2.	Applicant Eligibility Criteria .....	12
3.	Other Eligibility Criteria .....	12

4.	Cost Share or Match.....	13
D.	Application and Submission Information.....	14
1.	Key Dates and Times.....	14
2.	Agreeing to Terms and Conditions of the Award.....	15
3.	Address to Request Application Package.....	15
4.	Steps Required to Obtain a Unique Entity Identifier, Register in the System for Award Management (SAM), and Submit an Application.....	15
5.	Electronic Delivery.....	16
6.	How to Register to Apply through Grants.gov.....	16
7.	How to Submit an Initial Application to FEMA via Grants.gov.....	19
8.	Submitting the Final Application in ND Grants.....	21
9.	Timely Receipt Requirements and Proof of Timely Submission.....	22
10.	Content and Form of Application Submission.....	22
11.	Intergovernmental Review.....	25
12.	Funding Restrictions and Allowable Costs.....	25
E.	Application Review Information.....	28
1.	Application Evaluation Criteria.....	28
2.	Review and Selection Process.....	29
F.	Federal Award Administration Information.....	30
1.	Notice of Award.....	30
2.	Administrative and National Policy Requirements.....	31
4.	Reporting.....	33
5.	Monitoring and Oversight.....	37
G.	DHS Awarding Agency Contact Information.....	38
1.	Contact and Resource Information.....	38
2.	Systems Information.....	39
H.	Additional Information.....	39
1.	Termination Provisions.....	39
2.	Period of Performance Extensions.....	40
3.	Disability Integration.....	41
4.	Conflicts of Interest in the Administration of Federal Awards or Subawards.....	42
5.	Procurement Integrity.....	42
6.	Record Retention.....	46
7.	Actions to Address Noncompliance.....	48
8.	Audits.....	49
9.	Payment Information.....	50
10.	Whole Community Preparedness.....	50
11.	Appendices.....	51
	Appendix A: Incorporating Community Lifelines.....	52
	Appendix B: 100 Most Populous Metropolitan Statistical Areas (2019).....	53
	Appendix C: Project Narrative Template.....	54
	Appendix D: Evaluation Criteria and Scoring.....	62
	Appendix E: Pandemic Incident Core Capability Assessment Guidance.....	65
	Appendix F: Budget Detail Worksheet Template.....	69
	Appendix G: FY 2020 RCPGP Project Summaries.....	71

## **A. Program Description**

### **1. Issued By**

U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA)/Grant Programs Directorate (GPD)

### **2. Assistance Listings Number**

97.111

### **3. Assistance Listings Title**

Regional Catastrophic Preparedness Grant Program (RCPGP)

### **4. Funding Opportunity Title**

Fiscal Year 2021 Regional Catastrophic Preparedness Grant Program (RCPGP)

### **5. Funding Opportunity Number**

<b>Grant Program Title</b>	<b>NOFO Number</b>
RCPGP – Region I	DHS-21-GPD-111-01-01
RCPGP – Region II	DHS-21-GPD-111-02-01
RCPGP – Region III	DHS-21-GPD-111-03-01
RCPGP – Region IV	DHS-21-GPD-111-04-01
RCPGP – Region V	DHS-21-GPD-111-05-01
RCPGP – Region VI	DHS-21-GPD-111-06-01
RCPGP – Region VII	DHS-21-GPD-111-07-01
RCPGP – Region VIII	DHS-21-GPD-111-08-01
RCPGP – Region IX	DHS-21-GPD-111-09-01
RCPGP – Region X	DHS-21-GPD-111-10-01

### **6. Authorizing Authority for Program**

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

### **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*

Preparedness is the shared responsibility of our entire nation and requires an approach that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations (FBOs), and all levels of government across the [whole community](#).

The [National Preparedness System](#) is the instrument the nation employs to build, sustain, and deliver core capabilities needed to achieve the goal of a more secure and resilient nation. Each community contributes to achieving the national goal by addressing the risks that are most relevant and urgent for them individually, which in turn strengthens the collective security and resilience of the nation. They do this through the National Preparedness System components of:

- Identifying and Assessing Risk;
- Estimating Capability Requirements;
- Building and Sustaining Capabilities;
- Planning to Deliver Capabilities;
- Validating Capabilities; and
- Reviewing and Updating.

The FY 2021 RCPGP represents one part of a comprehensive set of actions authorized by Congress and implemented by the Administration to build preparedness capabilities. [The National Preparedness Goal \(the Goal\)](#) defines what it means to be prepared for a wide range of threats and hazards, including catastrophic incidents.

The purpose of the RCPGP is to build state and local capacity to manage catastrophic incidents by improving and expanding regional collaboration for catastrophic incident preparedness. In light of the ongoing COVID-19 public health emergency, the program purpose again includes regional pandemic preparedness. The [National Response Framework \(4th edition, 2019\)](#) (or superseding edition) defines a catastrophic incident as any natural or manmade incident, including terrorism, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, or government functions. The regional interdependencies of effective prevention, protection, mitigation, response, and recovery activities require a cohesive regional approach to catastrophic planning, including pandemic preparedness.

The [2018-2022 FEMA Strategic Plan](#) creates a shared vision for the field of emergency management and sets an ambitious, yet achievable, path forward to unify and further professionalize emergency management across the country. The RCPGP supports FEMA Strategic Goal 2: Ready the Nation for Catastrophic Disasters. Of the five basic mission areas in the [DHS Strategic Plan](#), the RCPGP supports Goal 5: Strengthen Preparedness and Resilience. FEMA invites all its stakeholders and partners to also adopt these priorities and join in building a stronger and more prepared and resilient nation.

**b. Objectives**

The overall objective of the RCPGP is to close known preparedness capability gaps, encourage innovative regional solutions to issues related to catastrophic incidents, and build on existing regional preparedness efforts.

For FY 2021, regional pandemic preparedness continues as a program objective, with specific focus on pandemic planning activities, to address the [Community Lifelines](#) and [Core Capabilities](#) that are essential to pandemic preparedness. In addition to development of regional pandemic plans, training and exercise activities should be considered for inclusion in project proposals to validate regional pandemic preparedness capabilities and evaluate plan effectiveness. FEMA’s evaluation of pandemic preparedness project proposals will be measured against capability gaps identified through relevant [Threat and Hazard Identification and Risk Assessment \(THIRA\)/Stakeholder Preparedness Review \(SPR\)](#) reports and the potential impact the proposed project will have on improving those capabilities.

Initial lessons learned from the COVID-19 public health emergency point to a need for greater regional collaboration in pandemic planning efforts (see [Pandemic Response to Coronavirus Disease 2019 \(COVID-19\): Initial Assessment Report](#), a summary of which is available at [Coronavirus Disease \(COVID-19\) Initial Assessment Report | FEMA.gov](#)). For example, rather than competing for scarce resources during a pandemic, regional leaders and planners must coordinate in advance to decide how resources can be most effectively shared within the region, while ensuring “hot spots” receive the immediate attention they need. Although planning for worst-case scenarios is important, state, and local planners must acknowledge that it may be impossible to acquire, in advance, all the resources needed to meet worst-case needs. Stockpiling critical equipment and supplies may sufficiently address a jurisdiction’s short-term needs, but for worst-case scenarios this approach is generally cost prohibitive and impractical. In addition, using the global supply chain to address shortfalls is a risky and unreliable solution. To maximize efficient use of scarce resources, regional partners should share non-consumable resources such as medical equipment and supplies. To ensure resources are available as soon as they are needed without compromising the availability of resources for hot-spots, applicants should consider developing a just-in-time delivery approach. This is just one potential solution to a common problem experienced during the COVID-19 response. Regional pandemic plans should develop innovative solutions to address this and other related challenges to promote shared agreement and unity of effort amongst regional pandemic stakeholders, including relevant public health department officials.

Recognizing the value of all-hazards emergency preparedness planning, and consistent with the objectives of the FY 2021 RCPGP, applicants may continue to consider projects that improve capability levels in the **Food, Water, and Sheltering Community Lifeline** as measured in the *Housing* or *Logistics and Supply Chain Management* core capabilities reported through the [THIRA/SPR](#). These core capabilities were selected based on data-driven analyses of national preparedness data and key national-level guidance sources showing these focus areas as continuing gaps.

Where Housing or Logistics and Supply Chain Management projects are proposed, the applicant is encouraged to consider how pandemic preparedness needs can be integrated into their broader regional catastrophic preparedness investment proposals. For example, a proposed investment that addresses the Housing capability should consider common

problems and lessons-learned from the current COVID-19 emergency and how housing and shelter needs would be impacted when dealing with both a major disaster and ongoing pandemic. Similarly, a proposed Logistics and Supply Chain Management investment should consider the COVID-19 emergency and the challenges associated with the acquisition and distribution of critical equipment and supplies.

Through regional collaboration, the RCPGP supports the development and delivery of projects that address [Community Lifelines](#), which are critical to managing catastrophic incidents. For more information on Community Lifelines, please refer to [Appendix A: Incorporating Community Lifelines](#). Stabilizing and restoring lifelines in catastrophes requires solutions that go beyond scaling up existing plans and capabilities to maximize the creative power of cross-sector coordination while respecting the roles of private sector partners and agency authorities at all levels of government.

To this end, RCPGP applicants are encouraged to develop projects that build a continuous cycle of planning, organizing, training, and exercising with regional partners across the whole community to improve their collective readiness posture. Additionally, applicants should consider the needs of socially vulnerable populations and involve representatives from the affected communities in the development and execution of the proposed project to ensure their needs are sufficiently addressed. See [Appendix C: Project Narrative Template](#) for the requirements for addressing these equity-related considerations and other guidance for completing the narrative portion of the application. See [Appendix D: Evaluation Criteria and Scoring](#) for details on how equity considerations and other criteria are factored into the competitive review and scoring process.

Applicants are also encouraged to review the following for more information:

- [National Response Framework \(4th edition, 2019\) \(or superseding edition\)](#): The Framework describes ways to improve coordination and response structures to build preparedness for catastrophic incidents.
- [Community Lifelines Implementation Toolkit](#): The Toolkit provides whole community partners the information and resources to understand lifelines, coordinate with entities using lifelines, and implement the lifeline construct during incident response.

### c. **Priorities**

The FY 2021 RCPGP requires that recipients develop and deliver one project that addresses specific capability gaps based on [THIRA/SPR](#) results.

#### a. **Pandemic Preparedness Projects:**

For pandemic preparedness related projects, applicants are required to identify the specific lifelines and capabilities that will be improved through the proposed project. At a minimum, within the **Health and Medical Lifeline**, the *Public Health, Healthcare, and Emergency Medical Service; Fatality Management Services; Economic Recovery; Health and Social Services; and Logistics and Supply Chain Management* core capabilities should be addressed. Applicants should also consider how regional preparedness capabilities may be impacted by a major disaster while dealing with an ongoing

pandemic emergency. **Table 1** describes submittal instructions for these core capabilities. See also [Appendix A: Incorporating Community Lifelines](#).

<b>Table 1: RCPGP Support for Community Lifelines</b>	
<b>Primary Lifeline Component for Health and Medical</b>	<b>Associated Core Capability</b>
<b>All Components</b>	<b>Public Health, Healthcare, and Emergency Medical Services</b>
FEMA invites applicants to submit applications that identify current and emerging gaps across the lifeline’s components related to the Public Health, Healthcare, and Emergency Medical Services core capability and corresponding solutions to provide lifesaving medical treatment via emergency medical services and related operations and avoid additional disease and injury by providing targeted public health, medical, and behavioral health support, and products to all affected populations.	
<b>Fatality Management</b>	<b>Fatality Management Services</b>
FEMA invites applicants to submit applications that identify current and emerging gaps across the lifeline’s components related to the Fatality Management Services core capability and corresponding solutions to provide fatality management services, including decedent remains recovery and victim identification; working with local, state, tribal, territorial, insular area, and federal authorities to provide mortuary processes; temporary storage or permanent internment solutions; sharing information with mass care services for the purpose of reunifying family members and caregivers with missing persons/remains; and providing counseling to the bereaved.	
<b>Not Applicable (N/A)*</b>	<b>Health and Social Services</b>
FEMA invites applicants to submit applications that identify current and emerging gaps across the lifeline’s components related to the Health and Social Services core capability and corresponding solutions to restore and improve health and social services capabilities and networks to promote the resilience, independence, health (including behavioral health), and well-being of the whole community.	
<b>N/A*</b>	<b>Logistics and Supply Chain Management</b>
FEMA invites applicants to submit applications that identify current and emerging gaps across the lifeline’s components related to the Logistics and Supply Chain Management core capability and corresponding solutions to deliver critical medical equipment, supplies, and services to support the Health and Medical Lifeline. Proposed solutions should consider how a major disaster during an ongoing pandemic may impact this core capability, to include delivery of essential commodities, equipment, and services in support of impacted communities and survivors; emergency power and fuel support; coordination of access to community staples; and synchronizing logistics capabilities to enable the restoration of impacted supply chains. Testing and updating of Distribution Management Plans should also be considered.	
<b>Primary Lifeline Component for Food, Water, Sheltering</b>	<b>Core Capability</b>
<b>All Components</b>	<b>Logistics and Supply Chain Management</b>
See above description for the Logistics and Supply Chain Management core capability.	



**Table 1: RCPGP Support for Community Lifelines**

N/A*	Economic Recovery
FEMA invites applicants to submit applications that identify current and emerging gaps across the lifeline's components related to the Economic Recovery core capability and corresponding solutions to return economic and business activities (including food and agriculture) to a healthy state and develop new business and employment opportunities that result in an economically viable community.	
*All N/As cannot be directly aligned to a Lifeline. Lifelines exist only for Response Core Capabilities.	

A wealth of guidance is available on the internet to support pandemic preparedness planning and development of RCPGP applications. Applicants are advised to conduct their own research but should consider reviewing the information available through the websites listed below, which represents a partial listing of publicly available pandemic preparedness resources.

- The U.S. Department of Health and Human Services (HHS) and Centers for Disease Control and Prevention (CDC) offer abundant planning resources for public health and emergency management officials:
  - <https://www.cdc.gov/cpr/readiness/capabilities.htm>
  - <https://www.cdc.gov/flu/pandemic-resources/index.htm>
  - <https://www.phe.gov/emergency/Tools/Pages/default.aspx>
  - <https://www.phe.gov/Preparedness/planning/hpp/reports/Documents/2017-2022-healthcare-pr-capabilities.pdf>
  - <https://asprtracie.hhs.gov/COVID-19>
  - <https://emergency.cdc.gov/planners-responders.asp>
- The following DHS/FEMA and other U.S. Government websites provide a variety of pandemic preparedness resources:
  - <https://www.usa.gov/coronavirus>
  - <https://www.dhs.gov/epidemicpandemic>
  - <https://www.fema.gov/coronavirus>
  - <https://www.ready.gov/pandemic>
  - [https://www.fema.gov/pdf/about/org/ncp/pandemic\\_influenza.pdf](https://www.fema.gov/pdf/about/org/ncp/pandemic_influenza.pdf)
  - [https://www.fema.gov/media-library-data/1396880633531-35405f61d483668155492a7cccd1600b/Pandemic\\_Influenza\\_Template.pdf](https://www.fema.gov/media-library-data/1396880633531-35405f61d483668155492a7cccd1600b/Pandemic_Influenza_Template.pdf)
  - <https://www.fema.gov/media-library/assets/documents/181470>
- The Pan American Health Organization, National Governor's Association, American Planning Association, and International Association of Emergency Managers also provide valuable pandemic preparedness guidance for governors, senior state officials, municipal leaders, and emergency managers:
  - <https://www.nga.org/wp-content/uploads/2020/02/Pandemic-Influenza-Primer.pdf>



- <https://www.planning.org/resources/covid-19/>
- <https://www.iaem.org/resources/COVID-19>
- <https://www.paho.org/en/health-emergencies>
- [https://www.paho.org/disasters/index.php?option=com\\_docman&view=download&category\\_slug=tools&alias=542-pandinflu-leadershipduring-tool-15&Itemid=1179&lang=en](https://www.paho.org/disasters/index.php?option=com_docman&view=download&category_slug=tools&alias=542-pandinflu-leadershipduring-tool-15&Itemid=1179&lang=en)

**b. Housing and Logistics and Supply Chain Management Projects**

Within the **Food, Water, and Sheltering Community Lifeline**, Housing and Logistic/Supply Chain Management projects must address gaps in those specific capabilities based on THIRA/SPR results.

**Table 2** describes submittal instructions for the aforementioned core capabilities. See also [Appendix A: Incorporating Community Lifelines](#).

<b>Table 2: RCPGP Support for Food, Water, and Sheltering Community Lifeline</b>	
<b>Primary Lifeline Component for Food, Water, and Sheltering</b>	<b>Associated Core Capability</b>
<b>Sheltering</b>	<b>Housing</b>
FEMA invites applicants to submit applications that identify current and emerging gaps in the Shelter lifeline component related to the Housing core capability and to implement corresponding housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience. In addition, applicants should consider how pandemic preparedness needs can be integrated into broader catastrophic preparedness projects that address the Housing core capability, including how housing and shelter needs would be impacted when dealing with both a major disaster and an ongoing pandemic.	
<b>All Components</b>	<b>Logistics and Supply Chain Management</b>
FEMA invites applicants to submit applications that identify current and emerging gaps across the lifeline’s components related to the Logistics and Supply Chain Management core capability and corresponding solutions to deliver essential commodities, equipment, and services in support of impacted communities and survivors, to include emergency power and fuel support, as well as the coordination of access to community staples, and to synchronize logistics capabilities and enable the restoration of impacted supply chains. Testing and updating of Distribution Management Plans should also be considered. Additionally, applicants should examine how Logistics and Supply Chain Management capabilities may be impacted by an ongoing pandemic, including the challenges associated with acquisition and distribution of critical equipment and supplies.	

For more information, refer to the Housing and Logistics and Supply Chain Management core capability definitions in the [National Response Framework \(4th edition, 2019\) \(or superseding edition\)](#) or here: <https://www.fema.gov/core-capability-development-sheets>.

Applicants are also encouraged to consult other FEMA planning guidance, including the [Supply Chain Resilience Guide](#), [Distribution Management Plan Guide](#), and other strategic

and operational planning guidance available at <https://www.fema.gov/plan>. In addition, for presentations on supply chains and private sector resilience visit [www.fema.gov/preptalks](http://www.fema.gov/preptalks).

## 11. Performance Measures

Communities provide data on their proficiency across 32 core capabilities through the [THIRA/SPR](#), after-action reports, and other preparedness data.

### a. Performance Measures:

- Pandemic Preparedness Projects: FEMA will measure the percent change in targeted capability gaps and percent improvement in the *Public Health, Healthcare, and Emergency Medical Services; Fatality Management Services; Health and Social Services; Logistics and Supply Chain Management*; and *Economic Recovery* core capabilities as reported through the required THIRA/SPR covering the community.
- Housing, and Logistics and Supply Chain Management Projects: FEMA will measure the percent change in targeted capability gaps and percent improvement in the *Housing* and *Logistics and Supply Chain Management* core capabilities as reported through the required THIRA/SPR covering the community.

### b. Performance Criteria:

- Pandemic Preparedness Projects: FEMA will compare the current baseline capability level of the *Public Health, Healthcare, and Emergency Medical Services; Fatality Management Services; Health and Social Services; Logistics and Supply Chain Management*; and *Economic Recovery* core capabilities against the community's capability level as reported at the end of the grant. Baseline capability assessments will be taken from the calendar year 2020 THIRA/SPR data; end of the grant performance data will be drawn from the calendar year 2024 THIRA/SPR data.

The specific capability assessments FEMA will use in the RCPGP performance measure analysis include:

- *Public Health, Healthcare, and Emergency Medical Services*: Within (#) (time) of an incident, complete triage, begin definitive medical treatment, and transfer to an appropriate facility (#) people requiring medical care.
- *Fatality Management Services*: Within (#) (time) of an incident, complete the recovery, identification, and mortuary services, including temporary storage services, for (#) fatalities.
- *Health and Social Services*: Within (#) (time) of an incident, restore functions at (#) affected healthcare facilities and social service organizations.
- *Logistics and Supply Chain Management*: Within (#) (time) of an incident, identify and mobilize life-sustaining commodities, resources, and services to (#) people requiring shelter and (#) people requiring food and water. Maintain distribution system for (#) (time).
- *Economic Recovery*: Within (#) (time) of an incident, reopen (#) businesses closed due to the incident.

Note: the applicant will provide the (#) and (time) based on their current level of capability and desired/target level of capability that will be achieved with RCPGP grant funds.

- Housing and Logistics and Supply Chain Management Projects: FEMA will compare the current baseline capability level of the *Housing* or *Logistics and Supply Chain Management* core capabilities (as applicable) against the community’s capability level as reported at the end of the grant. Baseline capability assessments will be taken from the calendar year 2020 THIRA/SPR data; end of the grant performance data will be drawn from the calendar year 2024 THIRA/SPR data.  
The specific capability assessments FEMA will use in the RCPGP performance measure analysis include:
  - *Housing*: Within (#) (time) of an incident, (#) people requiring long-term housing, including (#) people with access and functional needs requiring accessible long-term housing, find and secure long-term housing.
  - *Logistics and Supply Chain Management*: Within (#) (time) of an incident, identify and mobilize life-sustaining commodities, resources, and services to (#) people requiring shelter and (#) people requiring food and water. Maintain distribution system for (#) (time).
- Note: the applicant will provide the (#) and (time) based on their current level of capability and desired/target level of capability that will be achieved with RCPGP grant funds.

## **B. Federal Award Information**

- |                                    |                     |
|------------------------------------|---------------------|
| 1. Available Funding for the NOFO: | <b>\$12 million</b> |
| 2. Projected Number of Awards:     | <b>12-20</b>        |
| 3. Maximum Award Amount:           | <b>\$1 million</b>  |
| 4. Period of Performance:          | <b>36 months</b>    |

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

- |   |                          |
|---|--------------------------|
| 5. Projected Period of Performance Start Date(s): | <b>September 1, 2021</b> |
| 6. Projected Period of Performance End Date(s):   | <b>August 31, 2024</b>   |
| 7. Funding Instrument Type:                       | <b>Grant</b>             |

## **C. Eligibility Information**

### **1. Eligible Applicants**

The following are eligible applicants for this funding opportunity:

- States as defined by [2 C.F.R. § 200.1](#) (this definition includes the District of Columbia and territories); and
- Local governments as defined by [2 C.F.R. § 200.1](#).

The following eligibility restrictions for these groups applies:

- A state or territory is eligible to apply if one or more of the 100 most populous [Metropolitan Statistical Areas \(MSAs\)](#) per the [Census Bureau's 2019 Population Estimates](#) (as listed in [Appendix B: 100 Most Populous Metropolitan Statistical Areas \[2019\]](#)) is located within the state or territory. Additionally, the state or territory must obtain the support of the relevant MSA to apply on its behalf. See [Section D.10.b Program-Specific Required Forms and Information](#) for additional details on this requirement.
- Local Governments must be located within one of the 100 most populous MSAs. DHS/FEMA will accept no more than **one application** per MSA.

The application may be submitted by either:

- The State Administrative Agency (SAA);
- The first principal city, as indicated in [Appendix B: 100 Most Populous Metropolitan Statistical Areas \[2019\]](#) in bold; or,
- A different local government located within the MSA only if the application includes a letter of support from the office of the chief executive (e.g., mayor or city manager) of the first principal city, as indicated in [Appendix B: 100 Most Populous Metropolitan Statistical Areas \[2019\]](#).

## 2. Applicant Eligibility Criteria

Applications must conform to the guidance provided in [Appendix C: Project Narrative Template](#) of this NOFO. Applicants that do not meet eligibility and application submission requirements will not be evaluated and scored by the review panel.

## 3. Other Eligibility Criteria

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

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

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

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

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

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

#### **4. Cost Share or Match**

There is no mandatory cost share requirement.

However, up to five bonus points will be added to applications that commit to a 10% or higher cost share. The proposed cost share commitment must be indicated as a percentage of the total cost of the proposed project(s). Details of the application scoring process can be found in [Appendix D: Evaluation Criteria and Scoring](#).

Applicants may choose to voluntarily commit to include a cost share in their applications pursuant to the terms of Section E and Appendices C and D of this NOFO. A voluntary committed cost share is not a requirement to apply for or receive an award. Any applicant choosing to include a voluntary committed cost share in their application will, however, be required to include that cost share should they receive an award. Applicants that include a voluntary committed cost share will have their proposed cost share included as a binding requirement of any federal award they receive as a term and condition of that award. For example, if an applicant voluntarily offers a 10% cost share in its application that is approved for a federal award by FEMA, that federal award will include a binding 10 percent cost sharing requirement.

FEMA administers cost-sharing requirements in accordance with [2 C.F.R. § 200.306](#). To meet cost sharing requirements, a recipient's contributions must be verifiable, reasonable, allowable, allocable, and necessary under the grant program and must comply with all federal requirements and regulations. The non-federal entity cost share contribution can be cash or third-party in-kind. Applicants must present voluntary committed cost sharing or matching in terms of a percentage of the federal award. Unless otherwise authorized by law, federal funds cannot be matched with other federal funds.

## **D. Application and Submission Information**

### **1. Key Dates and Times**

- a. *Application Start Date:* 05/20/2021
- b. *Application Submission Deadline:* 07/16/2021 at 5 p.m. ET

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

The Non-Disaster (ND) Grants System has a date stamp that indicates when an application is submitted. Applicants will receive an electronic message confirming receipt of their submission. For additional information on how an applicant will be notified of application receipt, see the subsection titled “Timely Receipt Requirements and Proof of Timely Submission” in Section D of this 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](mailto:NDGrants@fema.dhs.gov). The ND Grants Service Desk is available Monday through Friday, 9 a.m. – 6 p.m. 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](mailto:askcsid@fema.dhs.gov), Monday through Friday, 9:00 AM – 5:00 PM ET.

- c. *Anticipated Funding Selection Date:* No later than 08/26/2021
- d. *Anticipated Award Date:* No later than 09/30/2021

e. **Other Key Dates**

<b>Event</b>	<b>Suggested Deadline for Completion</b>
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>.

**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](http://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](mailto: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 DUNS Number, EIN, and an active 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 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](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.

**g. *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>.

**h. *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>.

**i. *Track Role Status:***

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

**j. *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](mailto:support@grants.gov) and the website at <https://www.grants.gov/support.html>. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

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

**8. Submitting the Final Application in ND Grants**

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

Applicants needing assistance registering for the ND Grants system should contact [ndgrants@fema.dhs.gov](mailto: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 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 p.m. 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***

RCPGP-specific submission requirements include a project narrative, a budget worksheet (see Appendix F for a template that applicants may use), and information regarding regional preparedness partners as described below. All project narratives must conform with the guidance provided in [Appendix C: Project Narrative Template](#).

The following program-specific forms or information for FY 2021 RCPGP applications are required to be submitted in ND Grants:

- *For States and Territories Only:* A written statement explaining the statewide or multi-state impact of the proposed investment and attesting to the advance coordination and support of at least one of the 100 most populous MSAs within the state or territory.
- *For Local Governments Only:* A written statement certifying that the applicant’s chief executive (e.g., mayor, city manager, or county executive) and, as applicable, the chief executive of the first principal city of the MSA, supports the application as the local government’s single application being submitted for consideration by FEMA. FEMA reserves the right to exclude multiple applications submitted from the same jurisdiction or to exclude multiple applications from multiple jurisdictions located within the same MSA.
- *All Applicants:*
  - Names of all entities partnering on the project, including but not limited to states, territories, local or tribal governments, non-profit organizations, and other non-government entities, including those partnering as subrecipients. Partner entities can extend beyond the boundaries of the state/territory or MSA, and can be located in other states/territories or MSAs, for the purposes of regional collaboration.
  - Letters of support from partner entities or a written statement certifying the involvement and support of all partner entities that will participate in the proposed project and, if applicable, information on the relationship between the applicant and partnering entities, e.g. existing letters of cooperation/support or administrative agreements, such as a Memorandum of Understanding (MOU).

The involvement of regional preparedness partners is critical to the success of this program. Therefore, DHS/FEMA will take necessary actions to verify the accuracy of written statements that are submitted to satisfy the requirements outlined above. Applications found to contain false or inaccurate information will be rejected. In addition, FEMA will conduct post-award monitoring activities to verify that RCPGP-funded projects are carried out in accordance with the terms and conditions of the award, to include verifying the involvement

of committed partner entities as indicated in the application. Failure to comply the terms and conditions of the award is addressed in the Actions to Address Noncompliance section of this NOFO.

Applicants not familiar with conducting their own THIRA/SPR should consult with their State Administrative Agency (SAA) to utilize the SAA's 2020 THIRA/SPR information or for help developing capability assessments as part of their application. For additional information on the THIRA/SPR, also refer to the [Comprehensive Preparedness Guide \(CPG\) 201, Third Edition](#).

RCPGP recipients should include their community's capability levels and target statements for all core capabilities identified as priorities under the FY 2021 RCPGP (*Public Health, Healthcare, and Emergency Medical Service; Fatality Management Services; Economic Recovery; Health and Social Services; Logistics and Supply Chain Management; Housing*) into their own THIRA/SPR, and/or incorporate their results of those capability assessments into their SAA's THIRA/SPR.

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

- Proposed capability-building projects must be **regional** and benefit **multi-state or intrastate regions**.
- Applicants need to propose a capability-building project that is **replicable and/or sustainable after the grant period of performance ends**.
- For Housing and Logistics/Supply Chain Management projects, each application will describe **one proposed project** to build capability within **one core capability** (either Housing or Logistics and Supply Chain Management), as described in the [Program Overview, Objectives, and Priorities](#) section of this NOFO. See also: [Appendix C: Project Narrative Template](#).
- For pandemic preparedness related projects, each application will describe **one proposed project** to build capability within **each of the core capabilities** (Public Health, Healthcare, and Emergency Medical Service; Fatality Management Services; Economic Recovery; Health and Social Services; and Logistics and Supply Chain Management), as described in the [Program Overview, Objectives, and Priorities](#) section of this NOFO. See also: [Appendix C: Project Narrative Template](#).
- Recipients should plan to sustain these new capabilities in subsequent years with non-federal resources.
- Applications will be evaluated using the scoring rubric described in [Appendix D: Evaluation Criteria and Scoring](#).

Each project can address more than one of the Planning, Organization, Training, or Exercises solution areas. Investing in these areas will promote the creation of new capabilities among recipients. Equipment purchases **are not allowed** under RCPGP.

For more information on the Planning, Organization, Training, or Exercise solution areas, refer to the [CPG 201, Third Edition](#). For further information on application forms or information to submit, see Section D.10, [Content and Form of Application Submission](#). For

further information on funding restrictions and allowable costs, see Section D.13, [Funding Restrictions](#), and Section D.14, [Allowable Costs](#).

## 11. Intergovernmental Review

An intergovernmental review may be required. Applicants must contact their state's Single Point of Contact (SPOC) to comply with the state's process under Executive Order 12372 (See <https://www.archives.gov/federal-register/codification/executive-order/12372.html>; [https://www.whitehouse.gov/wp-content/uploads/2020/01/spoc\\_1\\_16\\_2020.pdf](https://www.whitehouse.gov/wp-content/uploads/2020/01/spoc_1_16_2020.pdf)).

## 12. Funding Restrictions and Allowable Costs

All costs charged to awards covered by this 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).

Federal funds made available through this award may be used for the purpose set forth in this NOFO, and the terms and conditions of the award and must be consistent with the statutory authority for the award. Award funds may not be used for matching funds for any other federal awards, lobbying, or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the Federal Government or any other government entity.

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

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

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 allowable only with the prior written approval of DHS/FEMA and as included in the award agreement. To request pre-award costs, a written request must be included with the application, signed by the Authorized Representative of the entity. The letter must outline what the pre-award costs are for, including a detailed budget break-out of pre-award costs from the post-award costs, and a justification for approval.

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

M&A activities are those directly relating to the management and administration of the RCPGP funds, such as financial management and monitoring. The recipient may retain a maximum of 5 percent of RCPGP funds awarded for M&A purposes associated with the RCPGP award. Subrecipients may also retain a maximum of 5 percent of the subaward for M&A purposes associated with the RCPGP award.

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

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

**e. *Other Direct Costs***

- I. PLANNING:** Planning costs **are allowed** under this program only as described in this NOFO.
- II. ORGANIZATION:** Organization costs **are allowed** under this program only as described in this NOFO.
- III. EQUIPMENT:** Equipment costs **are NOT allowed** under this program.
- IV. TRAINING:** Training costs **are allowed** under this program only as described in this NOFO.
- V. EXERCISES:** Exercise costs **are allowed** under this program only as described in this NOFO.
- VI. PERSONNEL:** Personnel hiring, overtime, and backfill expenses, including related fringe benefits, **are allowed** under this program to perform allowable assessment, planning, training, and exercise activities. Overtime costs for backfill and overtime to enable personnel to train or participate in exercises are allowed under this program only as described in this NOFO.
- VII. CONSULTANTS/CONTRACTORS:** Hiring of full-time or part-time contract planners or consultants to assist with identifying gaps, planning, training, and exercise activities **are allowed** under this program. Hiring public safety personnel fulfilling traditional public safety duties is **not an allowable cost** under this program.
- VIII. TRAVEL:** Domestic travel costs **are allowed** under this program, as provided for in this NOFO. International travel is **not an allowed cost** under this program unless approved in advance by DHS/FEMA.
- IX. CONFERENCES:** Rental of space/locations for conferences, meetings, workshops, and webinars **are allowed** under this program to perform assessments, planning, training, and exercise activities in a manner consistent with [2 C.F.R. § 200.432](#). Recipients are encouraged to use free public space/locations, whenever available, prior to the rental of space/locations.

- X. **SUPPLIES:** Materials or supplies **are allowed** under this program to conduct gap identification, planning, training, and exercise activities.
- XI. **CONSTRUCTION AND RENOVATION:** Construction and renovation costs **are not allowed** under this program.
- XII. **MAINTENANCE AND SUSTAINMENT:** Maintenance and sustainment 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 [Appendix C: Project Narrative Template](#). FY 2021 RCPGP applications will be evaluated for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed Project Narrative template. Below is a short summary of the evaluation criteria. The full criteria can be found in [Appendix D: Evaluation Criteria and Scoring](#), which details the specific criteria aligned to each of the Project Narrative requirements and the maximum number of points an application can receive for each criterion. The five base criteria earn up to 100 total possible points; the bonus criterion brings the total to 115 possible points.

- 1) Need: The applicant demonstrates need for grant funds, including identifying their current capabilities (as applicable) and associated gaps/needs for a project to build beyond current capabilities within the core capabilities of interest. Possible Points: 0 – 20.
- 2) Project Design: The applicant demonstrates an effective and sustainable project approach for building their current capability within the 36-month period of performance, including the specific project implementation, project management, and regional collaboration approaches. Possible Points: 0 – 35.
- 3) Impact: The applicant demonstrates the proposed project’s regional impact, including how the project will build the applicant’s capabilities, performance measures the project is expected to achieve, and how the project can be scaled or replicated to benefit national preparedness. Possible Points: 0 – 25.
- 4) Budget: The applicant demonstrates a reasonable and cost-effective budget (based on the Budget Detail Worksheet and Project Narrative), including explanation of reasonable project costs across the requested categories, the project’s relative cost effectiveness and sustainability, and the applicant’s ability to manage federal grants. Possible Points: 0 – 20.
- 5) Bonus: Up to 15 points will be applied for project proposals that:
  - Address regional pandemic preparedness, including Housing or Logistics and Supply Chain Management projects that address pandemic preparedness considerations.



- Benefit multiple states or more than one of the top 100 most-populous MSAs.
- Commit to a 10% or greater cost share in the proposal.

See [Appendix D: Evaluation Criteria and Scoring](#) for additional details on how bonus points will be applied.

**b. *Financial Integrity Criteria***

Prior to making a federal award, FEMA is required by 31 U.S.C. § 3354, as amended 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:

- Financial stability.
- Quality of management systems and ability to meet management standards.
- History of performance in managing federal award.
- Reports and findings from audits.
- 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:

- 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).
- An applicant, at its option, may review information in FAPIIS and comment on any information about itself that a federal awarding agency previously entered.
- FEMA will consider any comments by the applicant, in addition to the other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 C.F.R. § 200.206.

**2. Review and Selection Process**

**a. Initial Review**

*Eligibility Screening:* FY 2021 RCPGP applications will receive an initial screening to verify applicant eligibility by FEMA prior to application consideration by the review panel. FEMA



will not process incomplete applications for further review and will not consider them for funding.

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

- 1) Applicant is an eligible jurisdiction as defined under the Eligible Applicants header of Section C of this NOFO, above.
- 2) Applicant has conformed to the Eligibility Criteria in Section C of this NOFO, above.
- 3) Applicant has submitted all required assurances and standard forms.
- 4) Application includes a Project Narrative that aligns with the format requirements specified in [Appendix C: Project Narrative Template](#).
- 5) Application includes a Budget Detail Worksheet ([Appendix F: Budget Detail Worksheet Template](#)).

#### **b. Application Review Process**

*Review Panel:* Applications that pass the initial eligibility review will be reviewed and scored by a review panel comprising personnel from FEMA headquarters and regional offices. Applicants that do not meet eligibility and application submission requirements will not be evaluated and scored by the review panel. The review panel will score applications based on specific criteria aligned to the requirements outlined in [Appendix C: 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 proposed project.

#### **c. Application Selection Process**

All final scores will be sorted in descending order and applicants will be selected for recommendation from the highest score to lowest score until available FY 2021 RCPGP funding has been exhausted.

FEMA senior leadership will review all ranked scoring results to prioritize the top-scoring applications. Final funding determinations will be made by the Administrator of FEMA.

### **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. 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. 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.

The GPD EHP screening form is located at <https://www.fema.gov/media-library/assets/documents/90195>. Additionally, all recipients under this funding opportunity are required to comply with the FEMA GPD EHP Policy Guidance, FEMA Policy #108-023-1, available at <https://www.fema.gov/media-library/assets/documents/85376>.

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

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

Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment, and/or supplies) to meet incident needs. Using standardized resource management concepts such as typing, credentialing, and inventorying, promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management, NIMS resource typing

definitions, job titles, and position qualifications is on FEMA's website at <https://www.fema.gov/emergency-managers/nims/components>.

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

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

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

#### **4. Reporting**

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

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

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

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

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

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

##### **II. FFR REPORTING PERIODS AND DUE DATES**

An FFR must be submitted quarterly throughout the period of performance (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 providing updated performance reports to FEMA Regions using a Microsoft Word document summary attached in ND Grants on a semiannual basis. The PPRs must be based on the approved RCPGP Project Narrative.

The PPR must include the following in the status summary:

- Provide a brief narrative of the overall project status;
- Identify accomplishments and milestones achieved as they related to building the approved project by Planning, Organization, Training, and Exercises;
- Summarize build expenditures by Planning, Organization, Training, and Exercises;
- Describe any potential issues that may affect project completion; and
- Describe any potential changes to the selected performance measures for the project.

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

Reporting Period	Report Due Date
January 1 – June 30	July 30
July 1 – December 31	January 30

Grant recipients will be required to submit an application, annual SPR submission, and final narrative report. If the grant recipient is not otherwise required to complete an annual SPR they must either partner with their state and use the state's annual SPR submission to meet this requirement or work with their SAA to develop the THIRA/SPR capability assessment as part of their grant application and again at the end of the period of performance.

Application and reporting materials will be uploaded into ND Grants.

**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 PPR detailing all accomplishments, including a narrative summary of the impact of those accomplishments throughout the POP.
- iv. A qualitative narrative summary of the impact of those accomplishments throughout the entire POP submitted to the respective FEMA Program Analyst.

- v. Other documents required by this NOFO, terms and conditions of the award, or other FEMA guidance.

In addition, pass-through entities are responsible for closing out their subawards as described in 2 C.F.R. § 200.344; subrecipients are still required to submit closeout materials within 90 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).

## 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 million 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***

GPD's Program Office coordinates the RCPGP application review and selection process, initiates the issuance of awards, and provides support in addressing specific programmatic questions regarding the FY 2021 RCPGP Program. The Program Office can be reached by e-mail at [FEMA-RCPGP@fema.dhs.gov](mailto:FEMA-RCPGP@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](mailto: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](mailto:ASK-GMD@fema.dhs.gov).

#### **d. *FEMA Regional Offices***

FEMA Regional Offices manage RCPGP awards following their issuance by GPD. Regional Office responsibilities include amending and closing out awards, as well as conducting cash analysis, financial and programmatic monitoring, and audit resolution for the RCPGP. The Regions also provide technical assistance to RCPGP award recipients.

FEMA Regional Office contact information is available at <https://www.fema.gov/fema-regional-contacts>.

#### **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](mailto:FEMA-CivilRightsOffice@fema.dhs.gov).

**f. *Environmental Planning and Historic Preservation***

GPD's EHP Team provides guidance and information about the EHP review process to recipients and subrecipients. All inquiries and communications about GPD projects under this NOFO or the EHP review process, including the submittal of EHP review materials, should be sent to [gpdehpinfo@fema.dhs.gov](mailto:gpdehpinfo@fema.dhs.gov).

**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](mailto: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](mailto:ndgrants@fema.dhs.gov) or (800) 865-4076, Monday through Friday, 9 a.m. – 6 p.m. ET. User resources are available at <https://www.fema.gov/grants/guidance-tools/non-disaster-grants-management-system>.

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

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

**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 POP for this program are generally not allowed. Extensions to the POP identified in the award will only be considered through formal, written requests to the recipient's FEMA Program Officer and must contain specific and compelling justifications as to why an extension is required. Recipients are advised to coordinate with the FEMA Program Officer 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(is);
- d. Approved POP termination date and new project completion date;
- e. Amount of funds drawn down to date;
- f. Remaining available funds, both federal and, if applicable, non-federal;
- g. Budget outlining how remaining federal and, if applicable, non-federal funds will be expended;
- h. Plan for completion, including milestones and timeframes for achieving each milestone and the position or person responsible for implementing the plan for completion; and
- i. Certification that the activity(ies) will be completed within the extended POP without any modification to the original statement of work, as described in the investment justification 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 120 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 Regional Office.

**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
- Canceled checks

Non-federal entities should keep detailed records of all transactions involving the grant. FEMA may at any time request copies of any relevant documentation and records, including purchasing documentation along with copies of 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 as 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."

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:

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

## **11. Appendices**

- A. Incorporating Community Lifelines
- B. 100 Most Populous Metropolitan Statistical Areas
- C. Project Narrative Template
- D. Evaluation Criteria and Scoring
- E. Pandemic Incident Core Capability Guide
- F. Budget Detail Worksheet Template
- G. FY 2020 RCPGP Project Summaries

## Appendix A: Incorporating Community Lifelines

FEMA places significant emphasis on development and delivery of programs that enable [Community Lifelines](#). Community Lifelines are a construct that characterize essential functions and services that must be rapidly stabilized for a community to recover from an incident and allows decision-makers to:

- Prioritize, sequence, and focus response efforts towards maintaining or restoring the most critical services and infrastructure;
- Utilize a common lexicon to facilitate unity of purpose across all stakeholders;
- Promote a response that facilitates unity of purpose and better communication amongst the whole community (federal, state, tribal, territorial, and local governments, and private sector and non-governmental entities); and
- Clarify which components of the disaster are complex (multifaceted) or complicated (difficult), requiring cross-sector coordination.

Lifelines will be used to:

- Enhance the ability to gain, maintain, and communicate situational awareness for the whole community in responding to disasters;
- Analyze impacts to the various lifelines and develop priority focus areas for each operational period during response;
- Identify and communicate complex interdependencies to identify major limiting factors hindering stabilization; and
- Update the National Response Framework to reflect use of lifelines in response planning.

Lifelines include opportunities to:

- Enable a true unity of effort between government, non-governmental organizations, and the private sector, including infrastructure owners and operators;
- Integrate preparedness efforts, existing plans, and identify unmet needs to better anticipate response requirements; and
- Refine reporting sources and products to enhance situational awareness, best determine capability gaps, and demonstrate progress towards stabilization.

The Community Lifelines are: **Safety and Security; Food, Water, and Sheltering; Health and Medical; Energy (Power and Fuel); Communications; Transportation; and Hazardous Material**. In developing applications for the FY 2021 RCPGP, recipients will be required to fund projects that align to the following core capability priority areas, depending on selected project type:

- Pandemic Preparedness Projects: In support of the **Health and Medical** community lifeline, at a minimum, the proposed project must support both the *Public Health, Healthcare, and Emergency Medical Services* and *Fatality Management Services* core capabilities.
- Housing, and Logistics and Supply Chain Management Projects: In support of the **Food, Water, and Sheltering** community lifeline, the proposed project must support either the *Housing* core capability or the *Logistics and Supply Chain Management* core capability.

## Appendix B: 100 Most Populous Metropolitan Statistical Areas (2019)

The following list of the 100 most populous MSAs is taken from [Census Bureau's 2019 Population Estimates](#). **Bolding** indicates the first principal city for each MSA.

- |   |  |  |
|---|--|--|
| 1. <b>New York</b> -Newark-Jersey City, NY-NJ-PA        | 27. <b>Pittsburgh, PA</b> Metro Area                       | 64. <b>Albany</b> -Schenectady-Troy, NY              |
| 2. <b>Los Angeles</b> -Long Beach-Anaheim, CA           | 28. <b>Las Vegas</b> -Henderson-Paradise, NV               | 65. <b>McAllen</b> -Edinburg-Mission, TX             |
| 3. <b>Chicago</b> -Naperville-Elgin, IL-IN-WI           | 29. <b>Cincinnati, OH</b> -KY-IN                           | 66. <b>Knoxville, TN</b>                             |
| 4. <b>Dallas</b> -Fort Worth-Arlington, TX              | 30. <b>Austin</b> -Round Rock-Georgetown, TX               | 67. <b>New Haven</b> -Milford, CT                    |
| 5. <b>Houston</b> -The Woodlands-Sugar Land, TX         | 31. <b>Kansas City, MO</b> -KS                             | 68. <b>Baton Rouge, LA</b>                           |
| 6. <b>Washington</b> -Arlington-Alexandria, DC-VA-MD-WV | 32. <b>Columbus, OH</b>                                    | 69. <b>Oxnard</b> -Thousand Oaks-Ventura, CA         |
| 7. <b>Miami</b> -Fort Lauderdale-Pompano Beach, FL      | 33. <b>Cleveland</b> -Elyria, OH                           | 70. <b>Allentown</b> -Bethlehem-Easton, PA-NJ        |
| 8. <b>Philadelphia</b> -Camden-Wilmington, PA-NJ-DE-MD  | 34. <b>Indianapolis</b> -Carmel-Anderson, IN               | 71. <b>El Paso, TX</b>                               |
| 9. <b>Atlanta</b> -Sandy Springs-Alpharetta, GA         | 35. <b>San Juan</b> -Bayamón-Caguas, PR                    | 72. <b>Columbia, SC</b>                              |
| 10. <b>Boston</b> -Cambridge-Newton, MA-NH              | 36. <b>San Jose</b> -Sunnyvale-Santa Clara, CA             | 73. <b>North Port</b> -Sarasota-Bradenton, FL        |
| 11. <b>Phoenix</b> -Mesa-Chandler, AZ                   | 37. <b>Nashville</b> -Davidson--Murfreesboro--Franklin, TN | 74. <b>Dayton</b> -Kettering, OH                     |
| 12. <b>San Francisco</b> -Oakland-Berkeley, CA          | 38. <b>Virginia Beach</b> -Norfolk-Newport News, VA-NC     | 75. <b>Charleston</b> -North Charleston, SC          |
| 13. <b>Riverside</b> -San Bernardino-Ontario, CA        | 39. <b>Providence</b> -Warwick, RI-MA                      | 76. <b>Greensboro</b> -High Point, NC                |
| 14. <b>Detroit</b> -Warren-Dearborn, MI                 | 40. <b>Milwaukee</b> -Waukesha, WI                         | 77. <b>Cape Coral</b> -Fort Myers, FL                |
| 15. <b>Seattle</b> -Tacoma-Bellevue, WA                 | 41. <b>Jacksonville, FL</b>                                | 78. <b>Stockton, CA</b>                              |
| 16. <b>Minneapolis</b> -St. Paul-Bloomington, MN-WI     | 42. <b>Oklahoma City, OK</b>                               | 79. <b>Little Rock</b> -North Little Rock-Conway, AR |
| 17. <b>San Diego</b> -Chula Vista-Carlsbad, CA          | 43. <b>Raleigh</b> -Cary, NC                               | 80. <b>Colorado Springs, CO</b>                      |
| 18. <b>Tampa</b> -St. Petersburg-Clearwater, FL         | 44. <b>Memphis, TN</b> -MS-AR                              | 81. <b>Boise City, ID</b>                            |
| 19. <b>Denver</b> -Aurora-Lakewood, CO                  | 45. <b>Richmond, VA</b>                                    | 82. <b>Lakeland</b> -Winter Haven, FL                |
| 20. St. Louis, MO-IL                                    | 46. <b>New Orleans</b> -Metairie, LA                       | 83. <b>Akron, OH</b>                                 |
| 21. <b>Baltimore</b> -Columbia-Towson, MD               | 47. <b>Louisville</b> /Jefferson County, KY-IN             | 84. <b>Springfield, MA</b>                           |
| 22. <b>Charlotte</b> -Concord-Gastonia, NC-SC           | 48. <b>Salt Lake City, UT</b>                              | 85. <b>Des Moines</b> -West Des Moines, IA           |
| 23. <b>Orlando</b> -Kissimmee-Sanford, FL               | 49. <b>Hartford</b> -East Hartford-Middletown, CT          | 86. <b>Poughkeepsie</b> -Newburgh-Middletown, NY     |
| 24. <b>San Antonio</b> -New Braunfels, TX               | 50. <b>Buffalo</b> -Cheektowaga, NY                        | 87. <b>Ogden</b> -Clearfield, UT                     |
| 25. <b>Portland</b> -Vancouver-Hillsboro, OR-WA         | 51. <b>Birmingham</b> -Hoover, AL                          | 88. <b>Winston-Salem, NC</b>                         |
| 26. <b>Sacramento</b> -Roseville-Folsom, CA             | 52. <b>Rochester, NY</b>                                   | 89. <b>Madison, WI</b>                               |
|   | 53. <b>Grand Rapids</b> -Kentwood, MI                      | 90. <b>Deltona</b> -Daytona Beach-Ormond Beach, FL   |
|   | 54. <b>Tucson, AZ</b>                                      | 91. <b>Syracuse, NY</b>                              |
|   | 55. <b>Tulsa, OK</b>                                       | 92. <b>Toledo, OH</b>                                |
|   | 56. <b>Fresno, CA</b>                                      | 93. <b>Wichita, KS</b>                               |
|   | 57. <b>Urban Honolulu, HI</b>                              | 94. <b>Durham</b> -Chapel Hill, NC                   |
|   | 58. <b>Worcester, MA</b> -CT                               | 95. <b>Provo</b> -Orem, UT                           |
|   | 59. <b>Bridgeport</b> -Stamford-Norwalk, CT                | 96. <b>Augusta</b> -Richmond County, GA-SC           |
|   | 60. <b>Omaha</b> -Council Bluffs, NE-IA                    | 97. <b>Jackson, MS</b>                               |
|   | 61. <b>Albuquerque, NM</b>                                 | 98. <b>Palm Bay</b> -Melbourne-Titusville, FL        |
|   | 62. <b>Greenville</b> -Anderson, SC                        | 99. <b>Harrisburg</b> -Carlisle, PA                  |
|   | 63. <b>Bakersfield, CA</b>                                 | 100. <b>Chattanooga, TN</b> -GA                      |

## Appendix C: Project Narrative Template

### A. Required Format

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: Single
- 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: One inch
- Indentation/Tabs: Applicant's discretion
- Page Orientation: Portrait; exception: landscape may be used for spreadsheets and tables
- Maximum number of pages, not including cover and indirect cost rate agreement: Ten (see the Project Narrative 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.

***FEMA will not review or consider for funding any application that does not conform to the above criteria.***

### B. Required Application Contents

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

***Applications must not include any classified information and should not include any Law Enforcement Sensitive information.***

***FEMA will not consider any letters of endorsement or support submitted separately from an application. If statements of endorsement or support testimony are provided, they must be included in the Project Narrative.***



<b>Project Narrative</b>			
<b>Section</b>	<b>Requirement</b>	<b>Response</b>	<b>Possible Points</b>
<b>Background</b>	<ol style="list-style-type: none"> <li>1. Identify the primary applicant applying for the program and the Points of Contact (POC) for this project, including the following: <ul style="list-style-type: none"> <li>○ Name of primary applicant</li> <li>○ Name and title of the lead POC</li> <li>○ POC's full mailing address</li> <li>○ POC's telephone number</li> <li>○ POC's email address</li> </ul> </li> <li>2. Name and title of the single authorizing official, or AOR, for the organization (e.g., the individual authorized to sign a grant award) <ul style="list-style-type: none"> <li>○ Authorizing official's full mailing address</li> <li>○ Authorizing official's telephone number</li> <li>○ Authorizing official's email address</li> </ul> </li> <li>3. Names of any additional entity(ies) participating in the project.</li> </ol>	Does not count toward the total page count limitation.	N/A
<b>Need</b>	<ol style="list-style-type: none"> <li>1. Select one or more core capability focus areas addressed by the project (see Project Narrative Option Descriptions).</li> <li>2. Provide or complete a capability assessment for the core capability focus area(s) (see Project Narrative Option Descriptions).</li> <li>3. Describe the applicant's existing capability levels for the selected core capability focus area(s).</li> <li>4. Describe the current capability gap/need identified to build within the core capability focus area(s).</li> <li>5. Explain the inequities and needs of socially vulnerable populations within the region (relevant to disaster preparedness) who will benefit from the project.</li> </ol>	Two (2) pages maximum	0-20
<b>Project Design</b>	<ol style="list-style-type: none"> <li>1. Describe the proposed activities of the project, including any planning, organization, training and/or exercises.</li> <li>2. Describe why/how this project is the best approach to build upon current capabilities.</li> </ol>	Six (6) pages maximum	0-35

Project Narrative			
Section	Requirement	Response	Possible Points
	<ol style="list-style-type: none"> <li>3. Describe how the project was selected and designed to maximize positive impacts to any socially vulnerable populations.</li> <li>4. Provide a breakdown of roles and contributions between each of the project partners. If no additional partners are participating, please explain why.</li> <li>5. Explain how the partnerships will ensure the project meets regional needs, including the needs of vulnerable populations, and explain the anticipated outcomes of the partnerships. <i>For States and Territories Only:</i> Provide a written statement explaining the statewide or multi-state impact of the proposed investment and attesting to the advance coordination and support of at least one of the 100 most populous MSAs within the state/territory.</li> <li>6. <i>Local Governments Only:</i> Provide a written statement certifying that the applicant’s chief executive (e.g., mayor, city manager, or county executive) and, as applicable, the chief executive of the first principal city of the MSA, supports the application as the local government’s single application.</li> <li>7. Describe an overall project plan, timeline and milestones that are critical to the success of the project and associated dates.</li> </ol>		
<b>Impact</b>	<ol style="list-style-type: none"> <li>1. Complete performance measures this project is expected to achieve (see Project Narrative Option Descriptions).</li> <li>2. Complete an estimated capability assessment for the core capability focus area(s) AFTER completion of the project (see Project Narrative Option Descriptions).</li> <li>3. Describe how core capabilities will be improved/built after the completion of this project.</li> </ol>	Two (2) pages maximum	0-25

<b>Project Narrative</b>			
<b>Section</b>	<b>Requirement</b>	<b>Response</b>	<b>Possible Points</b>
	<ol style="list-style-type: none"> <li>4. Explain the anticipated impact of the project relative to the needs of socially vulnerable populations.</li> <li>5. Describe how the findings or deliverables from the proposed project can be scaled, replicated, or otherwise benefit national preparedness.</li> </ol>		
<b>Budget</b>	<ol style="list-style-type: none"> <li>1. Provide a budget narrative and detailed budget worksheet of the project, including how project dollars requested will be used in the Planning, Organization, Training, or Exercises solution area(s).               <ol style="list-style-type: none"> <li>a. Please include total project dollars in the detailed budget worksheet, including alternate funding sources, match, or cost share agreements.</li> </ol> </li> <li>2. Describe the applicant's plan for sustaining the capabilities built from this funding, including the resources the applicant will use to support sustainment after the grant funds and period of performance expires. If no other funding sources are necessary, please explain.</li> <li>3. Describe the applicant's ability to manage federal grants, such as (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing federal awards; (4) reports and findings from audits; and (5) ability to implement effectively statutory, regulatory, or other requirements.</li> </ol>	Two (2) pages maximum	0-20

Project Narrative Option Descriptions			
Regional Pandemic Preparedness Projects			
Section	Requirement	Mandatory	Optional
Need	1. Address project need based on identified core capability gaps.	Address <u>each</u> of the following core capabilities: A. Public Health, Healthcare, and Emergency Medical Services B. Fatality Management Services C. Health and Social Services D. Logistics and Supply Chain Management E. Economic Recovery	Address other core capabilities applicable to regional pandemic preparedness.
Need	2. Complete the current capability assessment/target for each of the identified core capabilities.	A. Within (#) (time) of an incident, complete triage, begin definitive medical treatment, and transfer to an appropriate facility (#) people requiring medical care. B. Within (#) (time) of an incident, complete the recovery, identification, and mortuary services, including temporary storage services, for (#) fatalities. C. Within (#) (time) of an incident, restore functions at (#) affected healthcare facilities and social service organizations. D. Within (#) (time) of an incident, identify and mobilize life-sustaining commodities, resources, and services to (#) people requiring shelter and (#) people requiring food and water. Maintain distribution system for (#) (time). E. Within (#) (time) of an incident, reopen (#) businesses closed due to the incident.	See Appendix E for capability assessments for each pandemic related core capability.
Impact	3. Complete applicable solution area performance measures this project is expected to achieve for the applicant.	<i>Planning</i> <ul style="list-style-type: none"> <li>• # of new plans and protocols developed</li> <li>• # of new mutual aid agreements developed</li> </ul> <i>Organization</i> <ul style="list-style-type: none"> <li>• # of new full-time agency personnel hired</li> <li>• # of new part-time staff or contractors/consultants hired</li> <li>• # of new volunteers recruited</li> <li>• # of new partner organizations recruited</li> <li>• # of new standard operating procedures developed</li> <li>• # of new financial resource supports</li> </ul>	

		<p><i>Training</i></p> <ul style="list-style-type: none"> <li>• # of training workshops or conferences held</li> <li>• # of attendees at training workshops or conferences held</li> <li>• # of personnel certified</li> </ul> <p><i>Exercises</i></p> <ul style="list-style-type: none"> <li>• # of gaps or challenges identified from exercises</li> <li>• # of new individuals participating in exercises</li> <li>• # of new organizations/partners participating in exercises</li> <li>• # of After-Action Reports/Improvement Plans (AAR/IP) submitted</li> </ul>	
<b>Impact</b>	4. Complete an estimated capability assessment for the applicant’s core capability focus area (AFTER completion of the project).	<p>A. Within (#) (time) of an incident, complete triage, begin definitive medical treatment, and transfer to an appropriate facility (#) people requiring medical care.</p> <p>B. Within (#) (time) of an incident, complete the recovery, identification, and mortuary services, including temporary storage services, for (#) fatalities.</p> <p>C. Within (#) (time) of an incident, restore functions at (#) affected healthcare facilities and social service organizations.</p> <p>D. Within (#) (time) of an incident, identify and mobilize life-sustaining commodities, resources, and services to (#) people requiring shelter and (#) people requiring food and water. Maintain distribution system for (#) (time).</p> <p>E. Within (#) (time) of an incident, reopen (#) businesses closed due to the incident.</p>	See Appendix E for capability assessments for each pandemic related core capability.

<b>Project Narrative Option Descriptions</b>			
<b>Housing or Logistics and Supply Chain Management Projects</b>			
<b>Section</b>	<b>Requirement</b>	<b>Option A</b>	<b>Option B</b>
<b>Need</b>	<b>1. Select one core capability – Housing, or Logistics and Supply Chain Management – as a focus area of the project under Food, Water, Sheltering.</b>	A. Housing	B. Logistics and Supply Chain Management
<b>Need</b>	<b>2. Complete the current capability assessment for the applicant for the core capability focus area.</b>	A. Within (#) (time) of an incident, (#) people requiring long-term housing, including (#) people with access and functional needs requiring accessible long-term housing, find and secure long-term housing.	B. Within (#) (time) of an incident, identify and mobilize life-sustaining commodities, resources, and services to (#) people requiring shelter and (#) people requiring food and water. Maintain distribution system for (#) (time).
<b>Impact</b>	<b>3. Complete applicable solution area performance measures this project is expected to achieve for the applicant.</b>	<p><i>Planning</i></p> <ul style="list-style-type: none"> <li>• # of new plans and protocols developed</li> <li>• # of new mutual aid agreements developed</li> </ul> <p><i>Organization</i></p> <ul style="list-style-type: none"> <li>• # of new full-time agency personnel hired</li> <li>• # of new part-time staff or contractors/consultants hired</li> <li>• # of new volunteers recruited</li> <li>• # of new partner organizations recruited</li> <li>• # of new standard operating procedures developed</li> <li>• # of new financial resource supports</li> </ul> <p><i>Training</i></p> <ul style="list-style-type: none"> <li>• # of training workshops or conferences held</li> <li>• # of attendees at training workshops or conferences held</li> <li>• # of personnel certified</li> </ul> <p><i>Exercises</i></p> <ul style="list-style-type: none"> <li>• # of gaps or challenges identified from exercises</li> <li>• # of new individuals participating in exercises</li> <li>• # of new organizations/partners participating in exercises</li> <li>• # of AARs/IPs submitted</li> </ul>	

<b>Project Narrative Option Descriptions</b>			
<b>Housing or Logistics and Supply Chain Management Projects</b>			
<b>Section</b>	<b>Requirement</b>	<b>Option A</b>	<b>Option B</b>
<b>Impact</b>	<b>4. Complete an estimated capability assessment for the applicant’s core capability focus area (AFTER completion of the project).</b>	A. Within (#) (time) of an incident, (#) people requiring long-term housing, including (#) people with access and functional needs requiring accessible long-term housing, find and secure long-term housing.	B. Within (#) (time) of an incident, identify and mobilize life-sustaining commodities, resources, and services to (#) people requiring shelter and (#) people requiring food and water. Maintain distribution system for (#) (time).



## Appendix D: Evaluation Criteria and Scoring

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

Project Narrative Requirement	Evaluation Criteria	Possible Points
<b>Need (0-20 Points)</b>		
<ol style="list-style-type: none"> <li>1. Select one or more core capabilities (as applicable based on project type) to align with the proposed project.</li> <li>2. Provide or complete capability assessment for the core capability focus area(s).</li> <li>3. Describe the applicant’s existing capability levels for the selected core capability focus area(s).</li> <li>4. Describe the current capability gaps/needs identified to build within the core capability focus area(s).</li> <li>5. Explain the inequities and needs of socially vulnerable populations within the region (relevant to disaster preparedness) that will benefit from the project.</li> </ol>	<b>Do the selected capability assessments align with the stated gaps/needs of the applicant?</b>	0-3
	<b>How well does the applicant complete the capability assessment for the core capability focus area(s)?</b>	0-3
	<b>How well does the applicant describe existing capability levels?</b>	0-5
	<b>How well does the applicant describe current gaps or needs within the focus area(s) of interest?</b>	0-5
	<b>How well does the applicant explain the needs of socially vulnerable populations within the region?</b>	0-4
<b>Project Design (0-35 Points)</b>		
<ol style="list-style-type: none"> <li>1. Describe the proposed activities of the project, including any planning, organization, training and/or exercises.</li> <li>2. Describe why/how this project is the best approach to build upon current capabilities.</li> <li>3. Describe how the project was selected and designed to maximize positive impacts to any socially vulnerable populations.</li> <li>4. Provide a breakdown of roles and contributions between each of the project partners. If no additional partners are participating, please explain why.</li> </ol>	<b>Are the proposed project activities clear, logical, and realistic?</b>	0-10
	<b>How well does the applicant describe why they selected the project to build the identified core capabilities?</b>	0-5
	<b>How well does the applicant describe how the project was selected and designed to maximize positive impacts to any socially vulnerable populations?</b>	0-3

Project Narrative Requirement	Evaluation Criteria	Possible Points
5. Explain how the partnerships will ensure the project meets regional needs, including the needs of vulnerable populations, and explain the anticipated outcomes of the partnerships.	<b>How well does the applicant describe roles between partners that are clear, logical, and realistic?</b>	0-4
6. <i>For States and Territories Only:</i> Provide a written statement explaining the statewide or multi-state impact of the proposed investment and attesting to the advance coordination and support of at least one of the 100 most populous MSAs within the state/territory. 7. <i>For Local Governments Only:</i> Provide a written statement certifying that the applicant’s chief executive (e.g., mayor, city manager, or county executive) and, as applicable, the chief executive of the first principal city of the MSA, supports the application as the local government’s single application.	<b>How well does the applicant describe how the partnerships will ensure the project meets regional needs, including the needs of vulnerable populations, and explain the anticipated outcomes of the partnerships?</b>	0-3
8. Describe an overall project plan, timeline and milestones that are critical to the success of the project and associated dates.	<b>How well does the applicant describe a project plan that includes a clear timeline and milestones?</b>	0-10
<b>Impact (0-25)</b>		
1. Complete performance measures this project is expected to achieve. 2. Complete an <u>estimated</u> capability assessment for core capability focus area(s) AFTER completion of the project. 3. Describe how the core capabilities will be improved/built after the completion of this project.	<b>How well do the performance measures align to the project, clearly contribute to building the capabilities of interest, and are realistic to achieve?</b>	0-9
4. Explain the anticipated impact of the project relative to the needs of socially vulnerable populations. 5. Describe how findings or deliverables from the proposed project can be scaled, replicated, or otherwise benefit national preparedness.	<b>How well do the outcomes of the project clearly and realistically contribute to building the core capabilities of interest and logically relate to the stated gaps?</b>	0-9
	<b>How well does the applicant explain the anticipated impact of the project relative to the needs of socially vulnerable populations?</b>	0-3
	<b>How well does the applicant describe how the project can benefit the nation?</b>	0-4

Project Narrative Requirement	Evaluation Criteria	Possible Points
<b>Budget (0-20 Points)</b>		
1. Provide a budget narrative and detailed budget worksheet of the project, including how project dollars requested will be used by Planning, Organization, Training, and/or Exercises. a) Please include total project dollars in the detailed budget worksheet, including alternate funding sources, match, or cost share agreements.	<b>Did the applicant provide a budget narrative and detailed budget worksheet that are clear, logical, and identify reasonable items?</b>	0-10
2. Describe the applicant’s plan for sustaining the capabilities built from this funding, including the resources the applicant will use to support sustainment after the grant funds and period of performance expires. If no other funding sources are necessary, please explain.	<b>How well does the applicant describe a specific plan and the resources necessary to sustain the built capabilities developed through this effort?</b>	0-5
3. Describe the applicant’s ability to manage federal grants, such as (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing federal awards; (4) reports and findings from audits; and (5) ability to implement effectively statutory, regulatory, or other requirements.	<b>How well does the applicant describe their capacity and ability to manage federal grants?</b>	0-5
<b>BONUS: (15 Points)</b>		
BONUS – Pandemic Preparedness Focus: The applicant proposes a project that that focuses on regional pandemic preparedness. This includes Housing, or Logistics and Supply Chain Management projects that incorporate pandemic planning.	<b>The proposed applicant project supports regional pandemic preparedness.</b>	0-5
BONUS – Multi-State/MSA Benefit: The applicant proposes a project that benefits multiple states or more than one of the top 100 most-populous MSAs.	<b>The proposed applicant project benefits multiple states/MSAs.</b>	0-5
BONUS – Cost Share: The applicant commits to a 10% or greater cost share or match.	<b>The application indicates a 10% or greater cost share or match commitment.</b>	0-5

## Appendix E: Pandemic Incident Core Capability Assessment Guidance

### *Pandemic Incident Scenario*

#### Associated Core Capabilities, Functional Areas, and Targets

The following table includes core capabilities, functional areas, and 12 targets associated with a human pandemic incident scenario. Core capabilities are comprised of several functional areas and each required target addresses one or more functional areas. The functional areas addressed by each target are in **bold**.

Core Capability	Functional Areas	Target Name	Target Language
<b>Cross-Cutting</b>			
Public Information and Warning	<ul style="list-style-type: none"> <li>▪ <b>Delivering Actionable Guidance</b></li> <li>▪ <b>Alerts and Warnings</b></li> <li>▪ <b>Culturally and Linguistically Appropriate Messaging</b></li> <li>▪ <b>Inclusiveness of the Entire Public</b></li> <li>▪ Developing Standard Operating Procedures for Public Information</li> <li>▪ New Communications Tools and Technologies</li> <li>▪ Protecting Sensitive Information</li> <li>▪ Public Awareness Campaigns</li> <li>▪ Traditional Communications Mechanisms</li> </ul>	Information Delivery	Within (#) (time) notice of an incident, deliver reliable and actionable information to (#) people affected, including (#) people with access and functional needs (affected) and (#) people with limited English proficiency affected.
Operational Coordination	<ul style="list-style-type: none"> <li>▪ <b>Command, Control, and Coordination</b></li> <li>▪ <b>National Incident Management System/Incident Command System Compliance</b></li> <li>▪ Stakeholder Engagement</li> <li>▪ Allocating and Mobilizing Resources</li> <li>▪ Determining Priorities, Objectives, Strategies</li> <li>▪ Emergency Operations Center Management</li> <li>▪ Ensuring Continuity of Government and Essential Services</li> <li>▪ Ensuring Information Flow</li> <li>▪ Ensuring Unity of Effort</li> <li>▪ Establishing a Common Operating Picture</li> <li>▪ Establishing Lines of Communication</li> <li>▪ Establishing Roles and Responsibilities</li> </ul>	Unified Operations	Within (#) (time) of a potential or actual incident, establish and maintain a unified and coordinated operational structure and process across (#) jurisdictions affected and with (#) partner organizations involved in incident management. Maintain for (#) (time).

**Prevention/Protection**

<p>Intelligence and Information Sharing</p>	<ul style="list-style-type: none"> <li>▪ <b>Analysis of Intelligence and Information</b></li> <li>▪ <b>Developing Reports and Products</b></li> <li>▪ <b>Disseminating Intelligence and Information</b></li> <li>▪ <b>Exploiting and Processing Information</b></li> <li>▪ <b>Feedback and Evaluation</b></li> <li>▪ Gathering Intelligence *Continuous Threat Assessment</li> <li>▪ Establishing Intelligence and Information Requirements</li> <li>▪ Monitoring Information</li> <li>▪ Safeguarding Sensitive Information</li> </ul>	<p>Intelligence Cycle Auditing/Execution</p>	<p>During steady state, and in conjunction with the fusion center and/or Joint Terrorism Task Force (JTTF), every (#) (time), review ability to effectively execute the intelligence cycle, including the planning, direction, collection, exploitation, processing, analysis, production, dissemination, evaluation, and feedback of available information, and identify the (#) personnel assigned to support execution of the intelligence cycle.</p> <p>Then, within (#) (time) of the identification or notification of a credible threat, identify/analyze local context of the threat for the respective area of responsibility, and facilitate the sharing of threat information with (#) priority intelligence stakeholder agencies/entities in accordance with the intelligence cycle, and all dissemination protocols.</p>
<p>Screening, Search, and Detection</p>	<ul style="list-style-type: none"> <li>▪ <b>Screening</b></li> <li>▪ <b>Wide-Area Search</b></li> <li>▪ Biosurveillance</li> <li>▪ CBRNE Detection</li> <li>▪ Chemical and Biological Detection</li> <li>▪ Electronic Search</li> <li>▪ Explosives Detection</li> <li>▪ Laboratory Testing</li> <li>▪ Locating Terrorists</li> <li>▪ Physical Investigation</li> <li>▪ Promoting an Observant Nation</li> <li>▪ Radiological and Nuclear Detection</li> </ul>	<p>Conduct Screening Operations</p>	<p>Within (#) (time) of notice of a credible threat, conduct screening, search, and detection operations for (#) people requiring screening, including (#) people with access and functional needs (requiring screening).</p>
<p><b>Mitigation</b></p>			
<p>Risk and Disaster Resilience Assessment</p>	<ul style="list-style-type: none"> <li>▪ <b>Modeling and Analysis</b></li> <li>▪ <b>Obtaining and Sharing Data</b></li> <li>▪ Education and Training</li> </ul>	<p>Threat and Hazard Modeling</p>	<p>Every (#) (time), after identifying threats and hazards of concern, model the impacts of (#) threat and hazard scenarios to incorporate into planning efforts.</p>

Response			
Operational Communications	<ul style="list-style-type: none"> <li>▪ <b>Interoperable Communications Between Responders</b></li> <li>▪ Communication Between Responders and the Affected Population</li> <li>▪ Data Communications</li> <li>▪ Re-Establishing Communications Infrastructure</li> <li>▪ Re-Establishing Critical Information Networks</li> <li>▪ Voice Communications</li> </ul>	Interoperable Communications	Within (#) (time) of an incident, establish interoperable communications across (#) jurisdictions affected and with (#) partner organizations involved in incident management. Maintain for (#) (time).
Fatality Management Services	<ul style="list-style-type: none"> <li>▪ <b>Body Recovery</b></li> <li>▪ <b>Mortuary Services</b></li> <li>▪ <b>Victim Identification</b></li> <li>▪ Bereavement Counseling</li> <li>▪ Family Reunification</li> </ul>	Body Recovery/Storage	Within (#) (time) of an incident, complete the recovery, identification, and mortuary services, including temporary storage services, for (#) fatalities.
Public Health, Healthcare, and Emergency Medical Services	<ul style="list-style-type: none"> <li>▪ <b>Triage and Initial Stabilization</b></li> <li>▪ <b>Emergency Medical Services</b></li> <li>▪ <b>Definitive Care</b></li> <li>▪ Clinical Laboratory Testing</li> <li>▪ Health Assessments</li> <li>▪ Medical Countermeasures</li> <li>▪ Medical Surge</li> <li>▪ Public Health Interventions</li> </ul>	Medical Care	Within (#) (time) of an incident, complete triage, begin definitive medical treatment, and transfer to an appropriate facility (#) people requiring medical care.
Critical Transportation	<ul style="list-style-type: none"> <li>▪ <b>Debris Removal</b></li> <li>▪ <b>Establishing Access</b></li> <li>▪ Airspace Management</li> <li>▪ Delivery of Response Assets</li> <li>▪ Reentering Affected Area</li> <li>▪ Transportation Safety and Condition Assessments</li> </ul>	Evacuation	Within (#) (time) of an incident, clear (#) miles of road affected, to enable access for public, private, and non-profit emergency responders.
On-Scene Security, Protection, and Law Enforcement	<ul style="list-style-type: none"> <li>▪ <b>Law Enforcement</b></li> <li>▪ <b>Protecting Response Personnel</b></li> <li>▪ <b>Securing Disaster Areas</b></li> </ul>	Community Protection	Within (#) (time) of an incident, provide security and law enforcement services to protect emergency responders and (#) people affected.



Recovery

<p>Economic Recovery</p>	<ul style="list-style-type: none"> <li>▪ <b>Reopening Businesses</b></li> <li>▪ Business/Economic Continuity Planning</li> <li>▪ Developing Recovery Objectives</li> <li>▪ Developing the Workforce</li> <li>▪ Disseminating Information</li> <li>▪ Economic Impact Assessments</li> <li>▪ Incentivizing Entrepreneurial and Business Development</li> <li>▪ Management Planning</li> </ul>	<p>Reopen Businesses</p>	<p>Within (#) (time) of an incident, reopen (#) businesses closed due to the incident.</p>
<p>Health and Social Services</p>	<ul style="list-style-type: none"> <li>▪ <b>Healthcare Facilities and Coalitions</b></li> <li>▪ <b>Social Services</b></li> <li>▪ Behavioral Health</li> <li>▪ Determining Health and Social Needs</li> <li>▪ Ensuring Access</li> <li>▪ Environmental Health</li> <li>▪ Food Safety</li> <li>▪ Health Assessment</li> <li>▪ Medical Products and Services</li> <li>▪ Public Awareness</li> <li>▪ Public Health Measures</li> <li>▪ Response and Recovery Worker Health</li> <li>▪ School Impacts</li> </ul>	<p>Reestablish Services</p>	<p>Within (#) (time) of an incident, restore functions at (#) affected healthcare facilities and social service organizations.</p>

## Appendix F: Budget Detail Worksheet Template

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

- List and describe all activities and associated costs required to implement the project.
- Funds must be aligned to allowable cost categories (e.g., personnel, travel, supplies) within each of the four solution areas: (1) Planning, (2) Organization, (3) Training, and (4) Exercises.
- A justification of costs for each section, including the identification of any cost savings measures, should be addressed in the Budget portion of the project narrative.

Budget Detail Worksheet									
Planning Activities									
Name/Description	Costs								
	Personnel	Fringe	Contractual	Travel	Conferences	Supplies	Other	Indirect	Total
	\$	\$	\$	\$	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>Planning Total:</b>	\$	\$	\$	\$	\$	\$	\$	\$	\$
Organization Activities									
Name/Description	Costs								
	Personnel	Fringe	Contractual	Travel	Conferences	Supplies	Other	Indirect	Total
	\$	\$	\$	\$	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$	\$	\$	\$	\$

	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>Organization Total:</b>	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>Training Activities</b>									
<b>Name/Description</b>	<b>Costs</b>								
	<b>Personnel</b>	<b>Fringe</b>	<b>Contractual</b>	<b>Travel</b>	<b>Conferences</b>	<b>Supplies</b>	<b>Other</b>	<b>Indirect</b>	<b>Total</b>
	\$	\$	\$	\$	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>Training Total:</b>	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>Exercises Activities</b>									
<b>Name/Description</b>	<b>Costs</b>								
	<b>Personnel</b>	<b>Fringe</b>	<b>Contractual</b>	<b>Travel</b>	<b>Conferences</b>	<b>Supplies</b>	<b>Other</b>	<b>Indirect</b>	<b>Total</b>
	\$	\$	\$	\$	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>Exercises Total:</b>	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>Total Project Costs</b>									
<b>Personnel</b>	<b>Fringe Benefits</b>	<b>Contractual</b>	<b>Travel</b>	<b>Conferences</b>	<b>Supplies</b>	<b>Other</b>	<b>Indirect</b>	<b>Total</b>	
\$	\$	\$	\$	\$	\$	\$	\$	\$	\$

## **Appendix G: FY 2020 RCPGP Project Summaries**

Below are project summaries from applications that were awarded FY 2020 RCPGP funding. They are offered as examples to assist potential applicants in identifying competitive projects in the *Housing, Logistics and Supply Chain Management*, and/or *Pandemic Preparedness* core capability focus areas.

### **City of Baltimore, Maryland**

The City of Baltimore requested funding for their Housing project to address pandemic planning, especially housing/sheltering planning. The city will develop and update local and regional plans for each jurisdiction; ensure they are deconflicted for the region under the guidance of existing regional working groups; identify leading indicators for the government entities, non-profit entities, and other partner entities to use to begin to address housing/sheltering needs throughout the region; and develop checklists and Standard Operating Procedures (SOPs) for each stakeholder to ensure they respond to and address housing/sheltering needs throughout the region according to the plans. The city will also train stakeholders in housing/sheltering management on the plans that are written/revised, leading indicators, and checklists/SOPs. Finally, the city will purchase supplies necessary for the planning and training program in order to close the identified gap in capabilities.

### **City of Houston, Texas**

The City of Houston requested funding for their Regional Catastrophic Preparedness Initiative, which will focus on pandemic preparedness. The project aims to address gaps in five core capabilities relating to the Health and Medical Lifeline. The project managers will coordinate with regional stakeholders to develop a suite of products that will benefit any jurisdiction in the region and will be packaged for sharing and use across the Nation, including: a pandemic planning assessment tool that partner jurisdictions can employ to ensure that their response plans sufficiently address public health emergencies; a pandemic data exchange platform to provide quick and efficient data sharing to support decision makers and drive stabilization efforts; and a pandemic decision support platform that will employ pandemic data modeling and visualizations. The project also includes development of a regional pandemic exercise, conducted in partnership with Dallas and San Antonio, to test the new tools, data exchange, and supply chain coordination between the jurisdictions.

### **King County, Washington**

King County requested funding for their Logistics and Supply Chain Management project. With this funding, King County will greatly enhance the region's ability to provide life-sustaining commodities to the nearly 5 million residents of Seattle and the surrounding Puget Sound area following a major earthquake. Because land and air transportation modes would likely be significantly impacted for months and potentially years, the project focuses on developing a Maritime Disaster Resilience Framework to establish alternate modes of delivery for life-sustaining commodities. The project includes maritime stakeholder outreach within each of the major port areas to connect the maritime transportation community with emergency management of supply chain partners across the region. A series of plan development workshops, coupled with training and exercises, will take place in order to fully understand the situation, identify capabilities, determine courses of action, develop the framework, assess training needs, assess

the plan through exercises, and refine and update the products of this program. The grant recipient and regional partners also expect to analyze and test the project's effectiveness in improving the region's logistics and supply chain management capabilities through their participation in the Cascadia Rising 2022 National Level Exercise.

### **State of New Jersey**

New Jersey requested funding for their Housing and Logistics and Supply Chain Management project to reach the Disabilities and Access and Functional Needs (DAFN) community in order to provide disaster preparedness and awareness training. The grant funds will be utilized to continually identify gaps and vulnerabilities to DAFN planning efforts and improve upon them through training and exercise. Furthermore, a larger cadre of the DAFN community will be encouraged to get engaged in the Citizen Corps Program; particularly the Community Emergency Response Teams (CERT) or Medical Reserve Corps (MRC) programs to become a larger part of the mass care response efforts. As part of this project, New Jersey will identify existing gaps and vulnerabilities to the DAFN/pet and animal sheltering community as they relate to disaster preparedness and awareness as well as supporting these planning initiatives within a pandemic environment. The project also consists of curriculum and training development as it relates to the DAFN community for disaster preparedness/awareness. Expansion of the training program will include more information on disaster preparedness incorporating awareness relative to a pandemic and mass care related needs relative to sheltering. Finally, the grantee will conduct exercises and drills for the DAFN and pet/animal sheltering community to test awareness and knowledge based on the training received and focus it on basic disaster awareness and preparedness training, but also their response to a mass care event during a pandemic environment.

### **City of New York, New York**

The City of New York requested funding for their regional pandemic preparedness project. The City's COVID-19 response identified several fatality management gaps, particularly among coordination with hospitals, nursing homes, and the funeral industry, that affected the city's ability to meet other significant core capabilities relating to pandemic preparedness. The project will establish a Regional Fatality Management Working Group, comprised of NYC and NY/NJ health and emergency management officials, regional first responders, social services organizations, and area hospital and long-term care (LTC) associations, that will develop a Biological Incident Fatality Management Field Operating Guide (FOG) that can be utilized to manage small- to large-scale incidents including pandemics. The working group will also develop a comprehensive planning, training, and exercise program. In addition to the FOG, specific project deliverables include: development of industry-specific fatality management planning toolkits for hospitals, LTC facilities, and funeral directors; five fatality management trainings; 11 exercises to evaluate the efficacy of the facility/entity-specific plans; and 11 after-action reports and improvement plans created for each exercise. The project's overall goal is to strengthen the City's fatality management capabilities in hospitals and the LTC sector, which will help to improve other pandemic preparedness related capabilities for the City and region. It will allow public health/EMS partners to dedicate more resources and time to critical medical care; help determine policies and resources needed to operationalize a virtual approach in providing health and social services; enable partners to identify alternative approaches to fill any resource gaps and better prioritize resources for allocation to ensure critical services/functions

are available; and will reduce severity of potential public health concerns leading to potential violations and business closures.

### **City of Philadelphia, Pennsylvania**

The City of Philadelphia requested funding to build capability in the Logistics and Supply Chain Management core capability. The City of Philadelphia will develop a regional logistics and supply chain strategy to coordinate logistics staging, resource distribution, and emergency procurement and to plan for supply chain resiliency of critical goods and services in Southeastern Pennsylvania. The project includes an analysis of regional pandemic preparedness capability gaps in logistics and supply chain identified throughout the on-going COVID-19 response. The region will conduct an after-action review of the COVID-19 disaster response to address gaps in health and medical preparedness and response capabilities to develop a regional medical logistics and supply chain plan for the region. This outreach will also inform development of a health and medical training and exercise program for emergency managers and partner agencies to support resource coordination and distribution in response to a pandemic or regional public health emergency. The region will also develop a just-in-time resource delivery plan for non-consumable resources; complete a regional assessment of potential Logistics Staging and Support Areas and Receiving and Distribution Center sites; and develop a Commodity Point of Distribution Operations Plan in coordination with City and regional partners to deliver essential commodities to impacted communities. The region will also conduct an assessment of the regional supply chain network to provide a baseline for developing a regional supply chain resiliency plan that will inform strategic resource production and access considerations in the event of a large-scale incident or catastrophic incident. Finally, the region will develop a regional emergency procurement strategy by producing a crosswalk of emergency procurement procedures in Philadelphia and the surrounding counties and municipalities, identify and integrate best practices in regional resource procurement, and update and/or develop regional resource procurement and distribution mutual aid agreements.

### **State of New York**

The State of New York requested funding for their regional pandemic preparedness project, which will address the needs of the upstate New York Metropolitan Statistical Areas (MSAs) including Buffalo, Albany, Poughkeepsie and Syracuse. The project addresses the specific capability needs of each MSA based on prior preparedness assessments and lessons-learned from the COVID-19 pandemic. For the Buffalo MSA: a regional logistics plan will be developed, and Continuity of Operations Plan updated, to address pandemic considerations; a more robust training program will be developed to support first responder health and wellness during a pandemic; and two workshops and a tabletop exercise will be conducted to test the grant deliverables. For the Albany MSA: drills will be conducted to address both a pandemic and a series of secondary events that challenge pandemic response efforts; two large-scale training sessions will be conducted for emergency response officials; and an exercise will be conducted. For the Poughkeepsie MSA, regional pandemic response plans will be updated and synchronized between the two core cities. For the Syracuse MSA: a detailed After-Action Report and Improvement Plan will be developed to address their COVID-19 efforts; a pandemic capability gap analysis will be conducted and used to inform updates to regional pandemic plans and to conduct training on the revised plans. In addition, the state will use the RCPGP funding to



improve their notification and warning capabilities and to assess various other pandemic preparedness capabilities based on the COVID-19 response.

### **State of Oklahoma**

Oklahoma requested funding for their Housing and Logistics and Supply Chain Management project to build capability and operability within the state through the Community Profile program, improve upon the Shelter-in-a-Box program with Louisiana, and develop a process and correspond with Arkansas on evacuation and emergency sheltering following a large scale earthquake. For the capability and operability building, field staff will assist local emergency managers with identifying resources, assets, and other useful and important information within their jurisdictions. It will allow Oklahoma to identify locations for sheltering displaced residents and their animals. Additionally, locations can be identified for base camps to be used for first responders. Plans must be updated or developed at all levels of response within the state. The Shelter-in-a-Box program initiates Oklahoma as a supporting state to staff shelters in Louisiana when requested and to assist with logistics and supply management for these shelters. Plans will be fully updated to include sheltering guidelines as designated following the Coronavirus pandemic. In addition, training and exercises will be conducted to test the plans before activating them. The final part of the project is to build and develop a plan to support the state of Arkansas with evacuating and sheltering residents following a large-scale earthquake. The New Madrid Sheltering Support Plan will drive a program which assists the State of Arkansas with evacuation and sheltering of affected residents within adjoining counties along the Oklahoma – Arkansas state line. This plan will include the supporting regions, counties, or jurisdiction’s plans regarding sheltering, mass care, and logistics and supply chain management in order to facilitate a large group of evacuees.

### **City of San Antonio, Texas**

The City of San Antonio requested funding for their Housing and Logistics and Supply Chain Management project to improve their effectiveness of providing mutual aid and supply chain management, and develop the tools and information necessary to share knowledge, experience, and information. They will complete their project in three phases: 1) Research and Stakeholder Engagement; 2) Education and Document Drafting; and, 3) Training, Exercising, Plan and Template Finalization. Through Phase 1, San Antonio will develop an overall outlook for the community and analyze residents’ functional needs. The analysis will identify opportunities to proactively create new mutual aid agreements with public and private sector partners. Phase 2 encompasses looking at best practices in disaster housing and supply chain, and drafting the regional catastrophic response plan. This will include conducting two workshops regarding managing short- and long-term community needs, three workshops specific to planning for the needs of people with disabilities, and three workshops to enhance citizen preparedness. Phase 3 will validate the plan through a series of community-wide exercises, finalizing the catastrophic disaster plan, and developing plan templates to be shared with other jurisdictions

### **City of San Francisco, California**

The City of San Francisco funding for their regional catastrophic preparedness project. The project addresses identified gaps in seven core capabilities relating to pandemic preparedness, as noted in the Bay Area’s Stakeholder Preparedness Review. Objectives of the project include: development of a Regional Pandemic Preparedness Framework of best practices based on

lessons-learned from the current COVID-19 response, prior pandemic responses, and gaps identified in the SPR and local after-action reports; perform customized planning updates to local pandemic/emergency response plans across functions to address a pandemic environment; train local staff and whole community partners on response skills necessary for a resilient community in a pandemic environment; and conduct a regional full-scale exercise to test pandemic response capabilities. Among the project's planning activities, a Regional Pandemic Preparedness Framework will be developed to include planning guidance, templates, checklists and other pertinent tools to assist local jurisdictions in updating or preparing local plans related to pandemic response and recovery. Other planning activities include: development of a public information toolkit; estimates of anticipated resource needs to support future pandemic responses; a supplement to the Bay Area's Care and Shelter Planning Toolkit; and customized local planning to support updating of local pandemic preparedness plans. The City will also partner with the California Association of Health Facilities to provide long-term care facility training and regional workshops to inform their planning tasks. Lastly, to test the plans and training, the City will develop and execute a regionwide functional, full-scale pandemic scenario exercise, which will engage the whole community, including hospitals, long-term care facilities, social service organizations, non-profit community-based organizations, private sector partners, volunteer organizations, and others that are integral to responding to, and recovering from, a pandemic event.

#### **City of St. Louis, Missouri**

The East-West Gateway Council of Governments (EWGCOG), on behalf of the City of St. Louis and other regional partners, requested funding for their Logistics and Supply Chain Management (with pandemic considerations) to establish a program that develops, maintains, and improves regional resilient logistics and supply chain management processes in preparation for one or more incidents that negatively impact communities in the region. The EWGCOG will convene a leadership group to develop a final timeline of tasks, outcome measures, and timetables to achieve program goals and overall regional capability targets. They will also conduct scenario-based workshops to elicit concerns and solutions to the supply chain during a pandemic response and a co-incident response and recovery. Workshops will include whole community partners including private businesses, healthcare, policy officials, and Regional Voluntary/Community Organizations Active in Disaster. Seminars will provide ongoing opportunities for a broader audience of community stakeholders to be engaged and informed, including agencies supporting people with access and functional needs and/or limited English proficiency. Tabletop exercises will be used to validate concepts and plans developed during the grant lifecycle. Training in pandemic planning, multi-incident response, logistics and supply management, and business integration with emergency operations centers/first responders will be identified and conducted. Training and exercise activities will be documented as after-action reports/summaries and best practices identified. Reports and summaries will be used to develop a regional multi-threat and hazard logistics and supply management plan. Finally, the EWGCOG will facilitate completing a regional logistics and supply management plan through stakeholder engagement.

#### **City of Virginia Beach, Virginia**

The City of Virginia Beach requested funding for their "Regional Housing Plan Project" to advance regional partnerships and collaboration throughout the Hampton Roads area to develop a framework for a unified plan for long term housing after a catastrophic event. As part of the

project, an extensive effort will be made to identify and take steps to rectify capability gaps related to increasing the number of people able to find and secure long-term housing after a disaster. Specifically, they will assess preliminary housing impact and needs, identify currently available options for temporary housing, and plan for permanent housing; ensure community housing recovery plans continue to address interim needs, assess options for permanent housing and define a timeline for achieving a resilient, accessible and sustainable market; and establish a resilient and sustainable housing market that meets the needs of the community, including the need for accessible housing within the specified timeframe in the recovery plan. The city will also hold training workshops and exercises to educate partners on all available state and federal programs for all phases of housing following a catastrophic event and help them carry out their disaster housing responsibilities.