

**The Department of Homeland Security  
Notice of Funding Opportunity  
National Dam Safety Program**

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

**A. Program Description**

**Issued By**

U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA), Federal Insurance and Mitigation Administration (FIMA), National Dam Safety Program (NDSP) Office

**Catalog of Federal Domestic Assistance (CFDA) Number**

97.041

**CFDA Title**

National Dam Safety Program

Notice of Funding Opportunity Title: Fiscal Year 2017 National Dam Safety Program

**NOFO Number:**

Region 1 - DHS-17-MT-041-01-01  
Region 2 - DHS-17-MT-041-02-01  
Region 3 - DHS-17-MT-041-03-01  
Region 4 - DHS-17-MT-041-04-01  
Region 5 - DHS-17-MT-041-05-01  
Region 6 - DHS-17-MT-041-06-01  
Region 7 - DHS-17-MT-041-07-01  
Region 8 - DHS-17-MT-041-08-01  
Region 9 - DHS-17-MT-041-09-01  
Region 10 - DHS-17-MT-041-10-01

## **Authorizing Authority for Program**

Section 8 of the *National Dam Safety Program Act*, as amended, (Pub. L. No. 104-303) (33 U.S.C. § 467f).

## **Appropriation Authority for Program**

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

## **Program Type**

Continuation

## **Program Overview, Objectives, and Priorities**

The National Dam Safety Program's mission is to reduce risks to lives, property, and the environment from dam failure by reducing risks to life and property associated with dams; increasing awareness of the benefits and risks related to dams; and advancing the state of practice of dam risk management. The National Dam Safety Program supports the Department of Homeland Security's mission of Strengthening National Preparedness and Resilience as reflected in the Quadrennial Homeland Security Review.

### **Priorities**

The National Dam Safety Program (NDSP) supports state dam safety programs as they develop of regulations for the design, construction, operation, and maintenance of dams; perform dam inspections; develop Emergency Action Plans for dams; and educate dam owners and the public about the necessity of dam safety.

### **Objectives**

The objectives of the Program are to:

- Ensure that new and existing dams are safe through the development of technologically and economically feasible programs and procedures for national dam safety hazard reduction;
- Encourage acceptable engineering policies and procedures to be used for dam site investigation, design, construction, operation, maintenance, and emergency preparedness;
- Encourage the establishment and implementation of effective dam safety programs in each State based on State standards;
- Develop and implement a comprehensive dam safety hazard education and public awareness initiative to assist in preparing for, mitigating, responding to, and recovering from dam incidents;
- Develop mechanisms with which to provide Federal technical assistance for dam safety to non-Federal dam safety practitioners; and
- Develop technical assistance materials, seminars, and guidelines to improve security for dams in the United States.

## **B. Federal Award Information**

### **Award Amounts, Important Dates, and Extensions**

Available Funding for the NOFO: \$6,800,000.00

**Projected number of Awards 51**

**Period of Performance:** 12 months

An extension to the Period of Performance for this program is allowed. For details on the requirements for requesting an extension to the Period of Performance, please refer to Section G of this announcement.

**Projected Period of Performance Start Date(s):** 08/01/2017

**Projected Period of Performance End Date(s):** 07/31/2018

**Funding Instrument**  
Grant

### **Environmental Planning and Historic Preservation (EHP) Compliance**

As a Federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal EHP regulations, laws and Executive Orders as applicable. FEMA has prepared a Record of Environmental Consideration; dated 06/01/17, that documents EHP compliance for the range of activities eligible for funding under this NOFO pursuant to FEMA's Instructions on Implementation of the Environmental Planning and Historic Preservation Responsibilities and Program requirements, FEMA Instruction 108-1-1.

### **C. Eligibility Information**

#### **Eligible Applicants**

This funding opportunity is restricted to the state dam safety program for eligible entities meeting the statutory definition of a "state" (*See* 33 U.S.C. § 467(10)). Per 33 U.S.C. § 467(10), the term "State" means each of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any other territory or possession of the United States.

#### **Eligibility Criteria**

For a State to be eligible for assistance under this program, a State dam safety program must be authorized by State legislation and working toward meeting certain criteria and budgeting requirements. Eligible State dam safety programs must:

1. Have the authority to review and approve plans and specifications to construct, enlarge, modify, remove, and abandon dams;

2. Have the authority to perform periodic inspections during dam construction to ensure compliance with approved plans and specifications;
3. Maintain a requirement that, on completion of dam construction, State approval must be given before operation of the dam;
4. Have the authority to require or perform periodic evaluations of all dams and reservoirs to determine the extent of the threat to human life and property in case of failure;
5. Have the authority to require or perform the inspection, at least once every five (5) years, of all dams and reservoirs that would pose a significant threat to human life and property in case of failure to determine the continued safety of the dams and reservoirs;
6. Maintain procedures for conducting more detailed and frequent safety inspections, if necessary;
7. Maintain a requirement that all inspections be performed under the supervision of a State-registered professional engineer with experience in dam design and construction;
8. Have the authority to require dam owners to perform necessary maintenance or remedial work, install and monitor instrumentation, improve security, revise operating procedures, or take other actions, including breaching dams when necessary;
9. Maintain regulations for carrying out the State legislation described in this subparagraph;
10. Have access to funds necessary—
  - a. to ensure timely repairs or other changes to, or removal of, a dam in order to protect human life and property; and
  - b. to take appropriate action as expeditiously as practicable if a dam owner does not take action described in 10.a.;
11. Maintain emergency procedures to be used if a dam fails or if the failure of a dam is imminent; and
12. Identify—
  - a. each dam the failure of which could be reasonably expected to endanger human life;
  - b. the maximum area that could be flooded if such dams failed; and
  - c. critical public facilities that would be affected by the flooding.

**Maintenance of Effort (MOE)**

Assistance may not be provided to a State under this program for a fiscal year unless the State maintains the aggregate expenditures of the State from all other sources for programs to ensure dam safety for the protection of human life and property at or above a level equal to the average annual level of such expenditures for the two fiscal years preceding the current fiscal year.

**Cost Share or Match**

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

**D. Application and Submission Information**

**Key Dates and Times:**

**Proposed Date to Post to Grants.gov:** 06/05/2017

**Application Submission Deadline:** 7/03/2017 at 11:59:00 /PM [EDT]

**Anticipated Funding Selection Date:** 08/01/2017

**Anticipated Award Date:** 08/01/2017

**Other Key Dates:**

<b>Event</b>	<b>Suggested Deadline For Completion</b>
Obtaining DUNS Number	4 weeks before grant submission deadline
Obtaining a Valid EIN	4 weeks before grant submission deadline
Updating SAM registration	4 weeks before grant submission deadline
Starting application in Grants.gov	2 weeks before actual submission deadline
Submitting Complete Application in ND Grants	One week before actual submission deadline

**Address to Request Application Package**

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Applicants” then “Apply for Grants,” Read the registration requirements and register if necessary (**Allow up to 7-10 business days after you submit before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information.**) In order to obtain the application package select “Download a Grant Application Package.” Enter the CFDA (97.014) and/or the funding opportunity number located on the cover of this NOFO, select “Download Package,” and then follow the prompts to download the application package.

For a hardcopy of the full NOFO, please access and download from the common electronic “storefront” [www.Grants.gov](http://www.Grants.gov).

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

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

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

### **Content and Form of Application Submission**

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

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

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

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

In ND Grants, applicants will be prompted to submit all of the information contained in the forms identified below. Applicants should review these forms before applying to ensure they have all the information required:

<http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=0>

- Budget Information for Non-Construction Programs (SF-424A);
- Assurances for Non-Construction Programs (SF-424B);
- Grants.gov Lobbying Form (if the grantee has engaged or intends to engage in lobbying activities).

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

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

- A detailed budget and budget narrative, submitted as an attachment in the ND Grants system. The budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs and any appropriate narrative. Applicants proposing to spend over \$5,000 on equipment must submit a detailed justification in their budget for equipment purchases in excess of that amount. The justification must address the need the equipment will serve within the applicant’s dam safety program.
- Verification of state-appropriated funds (non-federal funds) necessary to carry out a

state dam safety program and documentation that the State maintains the aggregate expenditures of State programs to ensure dam safety for the protection of human life and property at or above a level equal to the average annual level of such expenditures for the two fiscal years preceding the current fiscal year.

- A programmatic work plan. The recipient's proposed work plan must incorporate performance metrics listed in Section F of this NOFO and clearly identify how the state's proposed task will address the following NDSP goals:
  - Goal #1: Reduce risks to life and property associated with dams.
  - Goal #2: Increase awareness of the benefits and risks related to dams.
  - Goal #3: Advance the state of practice of dam risk management.
  
- An approved and current Indirect Cost Agreement, for those applicants whose budget includes indirect costs.

### **Unique Entity Identifier and System for Award Management (SAM)**

Prior to an eligible applicant applying for a DHS grant at Grants.gov, you are required to:

- (i) Be registered in SAM before submitting your application;
- (ii) Provide a valid DUNS number within your application; and
- (iii) 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.

FEMA may not make a Federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant. Before you can apply for a DHS grant at grants.gov, you must have a DUNS number, be registered in SAM, and be approved as an Authorized Organizational Representative (AOR).

**Applicants are encouraged to register early. The registration process can take four weeks or more to be completed. Once completed, it may then take an additional 24 hours for Grants.gov to recognize your information. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines.**

**Submission deadlines will not be extended for eligible applicants with an expired SAM registration or DUNS number and failed to register in a timely manner.**

**DUNS number.** Instructions for obtaining a DUNS number can be found at the following website: <http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>. The DUNS number must be included in the



data entry field labeled "Organizational DUNS" on the Standard Forms (SF-424) forms submitted as part of this application.

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

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

**Authorized Organizational Representative (AOR).** The next step in the registration process is creating a username and password with Grants.gov to become an AOR. AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR; this step is often missed and it is crucial for valid submissions. To read more detailed instructions for creating a profile on Grants.gov visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>.

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

<http://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html>.

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

**Electronic Signature.** Applications submitted through Grants.gov constitute a submission as electronically signed applications. When you submit the application through Grants.gov, the name of your AOR on file will be inserted into the signature line of the application. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR; this step is often missed and it is crucial for valid submissions.

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

FEMA may not make a Federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time FEMA is ready to make a Federal 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.

### **Intergovernmental Review**

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

### **Funding Restrictions**

Federal funds made available through this award may only be used for the purpose set forth in this award and must be consistent with the statutory authority for the award. Award funds cannot be used to construct or repair any Federal or non-Federal dam. Award funds may not be used for matching funds for any other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the Federal government or any other government entity.

#### **Pre-award costs**

Pre-award costs are NOT allowed.

#### **Direct Costs**

##### Cost Principles

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

##### Planning

Planning related costs are allowed under this program.

##### Training

Training related costs are allowed under this program.

##### Exercises

Exercise related costs are allowed under this program.

##### Equipment

Equipment costs are allowed under this program.

##### Travel

###### *Domestic*

Domestic travel costs are allowed under this program as described in this NOFO.

### *International*

International travel is not an allowable cost under this program unless approved in advance by FEMA.

### Construction and Renovation

Construction and renovation costs are not allowed under this program.

### **Other Cost Requirements**

#### *Environmental Planning and Historic Preservation (EHP) Compliance*

As a Federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal EHP regulations, laws and Executive Orders as applicable. Recipients and sub-recipients proposing projects that have the potential to impact the environment, including but not limited to 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 that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/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. The EHP review process must be completed before funds are released to carry out the proposed project. FEMA will not fund projects that are initiated without the required EHP review.

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

M&A costs are not allowable under this program

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

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

**Other Submission Requirements: N/A**

## **E. Application Review Information**

### **Application Evaluation Criteria**

Prior to making a Federal award, FEMA is required by 31 U.S.C. 3321 and 41 U.S.C. 2313 to review information available through any OMB-designated repositories of government wide eligibility qualification or financial integrity information. Application evaluation criteria may include the following risk based considerations of the applicant: (1) financial stability; (2) quality of management

systems and ability to meet management standards; (3) history of performance in managing federal award; (4) reports and findings from audits; and (5) ability to effectively implement statutory, regulatory, or other requirements.

Applications will also be reviewed to ensure conformance with the Eligibility Criteria in Section C of this NOFO, consistency with the goals and objectives of the National Dam Safety Program (NDSP), and consistency with the Application Submission Criteria in Section D. Applicants that do not meet eligibility or application submission requirements will be removed from consideration.

FEMA will review submitted work plans for approval and/or discuss recommended modification of the planned tasks given the circumstances for that individual state (e.g. delinquent inspections, revised EAPs, or need for inspections).

FEMA will review state funding documentation submitted with applications. States unable to document state-appropriated funds will be deemed ineligible to participate.

### **Review and Selection Process**

Applications will be reviewed and recommended for funding by FEMA Regional Offices and Headquarters. Applicants will be evaluated and selected for funding based on the following:

- The applicant has the authority and demonstrates the expertise necessary to fulfill the requirements of the National Dam Safety Program.
- The applicant's proposed work plan employs sound concepts and techniques, and realistic timetables. Proposed projects are deliverable, sustainable, and compatible with the goals of the National Dam Safety Program.
- The applicant proposes costs that are complete, reasonable, and cost-effective in relation to proposed projects and tasks.

Funds will not be made available for obligation, expenditure, or drawdown until the applicant's budget (to include Indirect Cost Agreement, if applicable) and budget narrative have been approved by FEMA and the grant award accepted by the recipient.

If the anticipated FEMA grant award amount will be greater than the simplified acquisition threshold, currently \$150,000 (see 2 CFR §200.88), then the following additional DHS requirements will apply:

- i. DHS is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).
- ii. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment

on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

- iii. DHS will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR §200.205 Federal awarding agency review of risk posed by applicants.”

## **F. Federal Award Administration Information**

### **Notice of Award**

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

Recipients must accept their awards no later than 90 days from the award date. The recipient shall notify 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 pages 40 – 43 in the [ND Grants Grantee Training Manual](#). Funds will remain on hold until the recipient accepts the award through the ND Grants system and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the grant award within the 90-day timeframe may result in a loss of funds.

### **Administrative and National Policy Requirements**

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions, which are available online at: <https://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions>

### **DHS Standard Terms and Conditions**

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

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

## Reporting

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

**Financial and Program Reporting Periods and Due Dates:** The following reporting periods and due dates apply:

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

## Federal Financial Reporting Requirements

The Federal Financial Reporting Form (FFR) is available online at:

[http://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf), SF-425 OMB #00348-0061

## Financial and Compliance Audit Report

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

C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?SID=55e12ead565605b4d529d82d276105c&node=2:1.1.2.1.1.6&rgn=div6>.

For audits of fiscal years beginning prior to December 26, 2014, recipients that expend \$500,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO's Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations,

Located at:

[http://www.whitehouse.gov/omb/circulars/a133\\_compliance\\_supplement\\_2012](http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2012). Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year.

### **Program Reporting Requirements**

States will report on a quarterly basis on the following program metrics:

- Number (#) of dams that fail during the year; and
- Number (#) of lives lost in association with dam failure.

### **Program Performance Reporting Requirements**

Grant recipients are responsible for providing performance reports on a quarterly basis. Performance progress reports should be submitted as either a word document or a pdf file. Performance progress reports are due within 30 days after the end of each reporting period, must be submitted via ND Grants, and must include at a minimum the following:

- A progress report reflecting how dam safety grant objectives are being met;
- Program updates for each task proposed in the work plan, to include a comparison of actual accomplishments to the approved proposed project objectives and performance metrics; and
- Program reports on the standard program metrics listed below.

The program work plan shall also be updated on a quarterly basis and submitted through the ND Grants system for review. Work plan modifications must include updated project objectives and performance metrics, as appropriate.

Metric 1 - Safety Inspections: The number of high hazard potential dams inspected expressed as a percentage of the number of high hazard potential dams due for inspection. This metric will be calculated as follows:

- Divide the number of high hazard potential dams inspected by the number of high hazard potential dams due for inspection.
- Multiply the resulting number by 100 to obtain a percentage.

Metric 2 - Emergency Action Plans: The percentage of high hazard potential dams that have emergency action plans in place. This metric will be calculated as follows:

- Divide the number of high hazard potential dams with emergency action plans by the total number of high hazard potential dams.
- Multiply the resulting number by 100 to obtain a percentage.

Metric 3 - Condition Assessments: The percentage of high hazard potential dams with condition assessments entered into the NID. <sup>1</sup>

This metric will be calculated as follows:

- Divide the number of high hazard dams with condition assessments entered into the NID by the total number of high hazard potential dams.
- Multiply the resulting number by 100 to obtain a percentage.

State performance towards each metric listed above will be classified as low, intermediate, or high, as follows:

Performance	Metric Value
Low	0 to 49%
Intermediate	50 to 74%
High	75 to 100%

States will identify dam safety/dam risk management tasks to accomplish in the FY 2017 proposed work plan. (see Section G of this NOFO).

If a State has at least one intermediate performing metric, the State must dedicate a minimum of ten (10) percent of the remaining grant award to improving one or more of the intermediate performing metrics.

If a State has at least one low performing metric, the State must dedicate a minimum of thirty-three (33) percent of the remaining grant award to improving one or more of the low performing metrics.

States that, over two consecutive grant cycles, do not meet the performance objectives they proposed in their work plans may lose five percent of funding from their next year grant award.

#### **Close Out Reporting Requirements.**

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

If applicable, an inventory of all construction projects that used funds from this program has to be reported using the Real Property Status Report (Standard Form SF 429) available at [http://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/sf-429.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-429.pdf).

After these reports have been reviewed and approved by the corresponding Regional Dam Safety Grant Specialist a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The recipient is responsible for returning any funds that have been drawn down but remain as unliquidated on recipient financial



records.

The final report is due ninety (90) days after the end of the grant performance period. This report shall document and summarize the results of the entire project for the entire period of performance. The report shall provide a qualitative assessment of the impact this effort had related to emergency responder roadway operational safety public education and outreach, as well as documentation of met performance measures, risk mitigation, and the recipient's overall accomplishments during the grant period.

**G. DHS Awarding Agency Contact Information**

**Contact and Resource Information**

**For Program Questions**

Refer to the contact information below for each FEMA Region.

**For Financial and Administrative Questions**

The FEMA Region Program and Grants Offices manage, administer, and conduct application and budget review, create the award package, approve, amend and close out awards, as well as conduct audit resolution for this program. Refer to the contact information below for each FEMA Region.

**Office of Environmental Planning and Historic Preservation (OEHP)**

The Office of Environmental Planning and Historic Preservation (OEHP) provides guidance and information about the EHP review process to FEMA programs and its recipients and sub-recipients. All inquiries and communications about EHP compliance for FEMA grant projects or the EHP review process should be sent to [mailto: Portia.Ross@fema.dhs.gov](mailto:Portia.Ross@fema.dhs.gov)

## **FEMA Regions Contact Information**

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## **Additional Information**

### **Extensions**

Extensions to the initial period of performance (PoP) identified in the award will be considered only through formal, written requests to the recipient's respective FEMA Regional Program Office and must contain specific and compelling justifications as to why an extension is required. States are advised to coordinate with their Regional Dam Safety Grant Specialist as needed, when preparing an extension. All extension requests must address the following:

1. Grant Program, Grant Year, and award number;
2. Reason for delay – this must include details of the legal, policy, or operational challenges being experienced that prevent the final outlay of awarded funds by the applicable deadline. The reason must also be of significant extenuating circumstances (e.g. local flooding disaster);
3. Current status of the activity/activities;
4. Approved period of performance termination date and new project completion date (*New recommended PoP*);
5. Amount of funds drawn down to date;
6. Remaining available funds;
7. Revised delineated budget outlining how remaining Federal grant funds will be expended by approved task;
8. Plan for completion including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
9. Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work approved by FEMA.

Applicants must submit extension request within ten (10) calendar days prior to the period of performance end date, through ND Grants system for review by their respective Regional Dam Safety Grants Specialist. The request is then submitted within ND Grants system to the Regional Grants Division for final review and Amendment approval consideration. Extension requests must also meet the Extensions requirements as listed above. Extensions shall not exceed six (6) months beyond the original twelve (12) month period of performance.

### **Payment**

FEMA utilizes the Payment and Reporting System (PARS) for financial reporting, invoicing and tracking payments. Additional information can be obtained at:

<https://isource.fema.gov/sf269/execute/Login?sawContentMessage=true>.

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

## **Monitoring**

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

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

## **Conflict of Interest**

Recipients and pass-through entities must follow their own policies and procedures for eliminating or reducing conflicts of interest when making subawards. Recipients and pass-through entities are also required to follow any applicable State, local, or Tribal statutes or regulations governing conflicts of interest in the making of subawards.

Conflicts of interest may arise during the process of FEMA making a Federal award—for instance, in situations where an employee, officer, or agent; any members of the individual's immediate family; or his or her partner has a close personal relationship, business relationship, or professional relationship with an applicant, sub-applicant, recipient, sub-recipient, or employee of one of those entities.

The recipient or pass-through entity must disclose to FEMA in writing any real or potential conflict of interest, as defined by the Federal, State, local or Tribal statutes or regulations or its own existing policies that may arise during the administration of the federal award. Recipients and pass-through entities must disclose any real or potential conflicts to the Federal Approving Official within 15 days of learning of the conflict of interest. Similarly, sub-recipients must disclose any real or potential conflict of interest to the pass-through entity as required by the recipient's conflict of interest policies or any applicable State, local, or Tribal statutes or regulations. This requirement starts when the application period opens, continues during the entire POP, and ends when the last audit is completed.

For conflict of interest requirements for procurement under awards, all applicants, sub-applicants, and non-Federal entities must follow the requirements under the procurement regulations found at 2 C.F.R. §§ 200.317–200.326.