

**STATE OF MISSOURI**  
**APPLICATION FOR FEDERAL/STATE PUBLIC ASSISTANCE**  
**(PL 93-288 AS AMENDED/RSMo. CHAPTER 44)**

1. DATE SUBMITTED:	3. (APPLICANT) SUB-RECIPIENT ID NUMBER:	4. DECLARATION NUMBER AND DATE:
2. DATE RECEIVED:		<b>FEMA - 4552 - DR - MO Dated: July 9, 2020</b>
5. (APPLICANT) SUB-RECIPIENT INFORMATION:	6. TYPE OF (APPLICANT) SUB-RECIPIENT: Check appropriate box or boxes [ x ]	
A. <u>Legal Name</u> :	A. State Agency [ ]	B. County [ ]
	C. City [ ]	D. Township [ ]
B. <b>FEIN #</b> :	E. Special District [ ]	F. Private Non-Profit [ ]
C. <b>DUNS #</b> :	G. Other [ ]	(Specify)
D. (Applicant's) Sub-recipient's Fiscal Year: FROM:_____ TO:_____		
E. <u>Address (St./POB/City/State/Zip)</u> :	7. INCIDENT PERIOD: <b>May 3 to May 4, 2020</b>	
	8. State Agency to Receive Request: <b>State Emergency Management Agency P. O. Box 116, 2302 Militia Dr. Jefferson City, MO 65102 Phone: 573-526-9234 sema.pa@sema.dps.mo.gov</b>	
9. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION IS TRUE AND CORRECT, THE DOCUMENT HAS BEEN TRULY AUTHORIZED BY THE GOVERNING BODY OF THE (APPLICANT) SUB-RECIPIENT AND THE (APPLICANT) SUB-RECIPIENT WILL COMPLY WITH ALL ASSURANCES IF THE ASSISTANCE IS AWARDED.		
A. Name of Authorized Representative (Typed or Printed):	B. Title:	C. Telephone Number (Include Area Code):
D. Signature of Authorized Representative:		E. Date Signed:

**BELOW THIS LINE FOR SEMA USE ONLY**

FUNDING REQUEST:	BUNDLE #: _____	
	SA # and Version #:	
A. Federal:	B. State:	C. Total:

**SEMA REVIEW**

PREPARED BY:		
Signature:	Title:	Date of Approval:



STATE OF MISSOURI  
OFFICE OF ADMINISTRATION  
**VENDOR INPUT/ACH-EFT APPLICATION**

DR-4552

<b>*NAME/ADDRESS AS SHOWN ON FEDERAL TAX RETURN</b>    		<b>*FEDERAL TAX ID NUMBER OR SOCIAL SECURITY NUMBER</b>    	
<b>REMIT TO NAME/ADDRESS IF DIFFERENT THAN ABOVE</b>    		<b>*TYPE OF ENTITY</b> <input type="checkbox"/> Corporation <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Individual <input type="checkbox"/> State Employee <input type="checkbox"/> Other _____	
		DATE OF CHANGE	
		<b>PREVIOUS FEDERAL TAX ID NUMBER OR SOCIAL SECURITY NUMBER</b>    <b>PREVIOUS NAME</b>    <b>PREVIOUS ADDRESS</b>    <b>COMMENTS</b>    	
<b>PURCHASE ORDER NAME/ADDRESS IF DIFFERENT THAN ABOVE</b>    			
<b>NAME/ADDRESS OF FINANCIAL INSTITUTION</b>    		<input type="checkbox"/> I (We) hereby authorize the State of Missouri, to initiate credit entries to my (our) account at the depository financial institution named and to credit the same such account. I (We) acknowledge that the origination of ACH transactions to my (our) account must comply with the provision of U.S. law.  This authorization is to remain in full force and effect until the State of Missouri, Office of Administration, has received written notification from me (us) of its termination in such time and in such manner as to afford the State of Missouri and the financial institution a reasonable opportunity to act on it.	
<b>DEPOSITOR ROUTING NUMBER</b>			
<b>DEPOSITOR ACCOUNT NUMBER</b>		<input type="checkbox"/> I (We) hereby cancel my (our) ACH/EFT authorization.	
<b>NAME ON ACCOUNT</b>			
<b>TYPE OF ACCOUNT</b> <input type="checkbox"/> CHECKING <input type="checkbox"/> SAVINGS		<b>*VENDOR SIGNATURE</b>  <b>X</b>	
<b>SIGNATURE OF REPRESENTATIVE OF FINANCIAL INSTITUTION</b>		<b>*PRINT NAME</b>	
<b>PRINT NAME</b>		<b>*TITLE</b>	
<b>TITLE</b>		<b>EMAIL ADDRESS</b>	
<b>TELEPHONE NUMBER</b>	<b>DATE</b>	<b>*TELEPHONE</b>	<b>*DATE</b>
<b>CERTIFICATION FOR INTERNAL REVENUE SERVICE (IRS)</b> Under penalties of perjury, I certify that: I. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), <b>and</b> II. I am not subject to backup withholding because: <b>(a)</b> I am exempt from backup withholding, or <b>(b)</b> I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or <b>(c)</b> the IRS has notified me that I am no longer subject to backup withholding, <b>and</b> III. I am a U.S. person (including a U.S. resident alien). <b>Certification instructions.</b> You must cross out item II above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For all real estate transactions, item II does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. (See W-9 Instructions on <a href="http://irs.gov">irs.gov</a> website for more information.) The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.			
<b>SIGNATURE</b>			

**VENDOR INPUT FORM INSTRUCTIONS**

The purpose of this form is to add a vendor record or to make changes to a vendor record. A vendor is a person or business being paid by the State of Missouri.

**THESE FIELDS ARE REQUIRED TO BE COMPLETED FOR ALL CIRCUMSTANCES. (SHADED FIELDS)**

- Enter NAME/ADDRESS AS SHOWN ON FEDERAL TAX RETURN.
- Enter the FEDERAL TAX ID NUMBER OR SOCIAL SECURITY NUMBER that is used for income taxes for the name entered.
- Check the correct TYPE OF ENTITY.
- Signature is required at VENDOR SIGNATURE along with PRINT NAME, TITLE, TELEPHONE, and DATE.

**CONDITIONAL FIELDS**

- If payments are to be sent to a different address, enter a REMIT TO NAME/ADDRESS.
- If purchase orders are to be sent to a different address, enter a PURCHASE ORDER NAME/ADDRESS.
- If you are making a change to your vendor record, fill out these additional fields:
  - DATE OF CHANGE is the effective date of the change in business structure/activity
  - PREVIOUS FEDERAL TAX ID NUMBER OR SOCIAL SECURITY NUMBER
  - PREVIOUS NAME
  - PREVIOUS ADDRESS
  - COMMENTS are for additional information that may be helpful including reason for the change.

**TO SET UP OR TO CHANGE DIRECT DEPOSIT INFORMATION, FILL IN THE FOLLOWING, INCLUDING THE REQUIRED FIELDS FROM ABOVE.**

- NAME/ADDRESS OF FINANCIAL INSTITUTION where you want the money to be deposited. A representative from the financial institution must complete and sign this section.
- Check appropriate box for electronic deposits.
- If changing bank account information, fill in DATE OF CHANGE.

**CERTIFICATION FOR INTERNAL REVENUE SERVICE (IRS)**

This certifies that the Taxpayer Identification Number (TIN) on this form is the correct number and whether backup withholding applies.

**State of Missouri**  
**Public Assistance Grant Certifications Form**

The individuals identified below are hereby authorized to execute and file Application for Public Assistance on behalf of the designated jurisdiction for the purpose of obtaining and administering available state and federal financial assistance under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, (Public Law 93-288 as amended) or otherwise available. These individuals are authorized to represent and act for this jurisdiction in all dealings with the State of Missouri for all matters pertaining to such disaster assistance required by the agreements and assurances listed on FEMA Form 20-16, the SEMA Public Assistance Program Checklist, and the SEMA Audit Compliance Requirements Checklist. By signing this certification we are verifying that we have read and understand the information and requirements listed on the three documents mentioned above. We further understand that we remain responsible for compliance with all other pertinent federal, state, and local policies and procedures in the administration of Public Assistance funds received as a result of this application. Failure to comply with these requirements will result in the de-obligation of federal/state funds associated with that non-compliance.

**Applicant Organization**

**Mailing Address:**

**Senior Elected Official**

\_\_\_\_\_  
Name & Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Telephone Number

\_\_\_\_\_  
Email

\_\_\_\_\_  
Fax Number

**Chief Financial Officer**

\_\_\_\_\_  
Name & Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Telephone Number

\_\_\_\_\_  
Email

\_\_\_\_\_  
Fax Number

**Authorized Representative**

\_\_\_\_\_  
Name & Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Telephone Number

\_\_\_\_\_  
Email

\_\_\_\_\_  
Fax Number

**MISSOURI STATE EMERGENCY MANAGEMENT AGENCY (SEMA)  
PUBLIC ASSISTANCE PROGRAM CHECKLIST**

1. The applicant must identify and report all Disaster related damage within sixty days of their Recovery Scoping Meeting with FEMA. Damages identified after FEMA has conducted the applicant's Recovery Transition Meeting must be reported to SEMA.
2. (Project Worksheets/PWs/SA's) Sub-award's are written to restore disaster damaged eligible facilities to their pre-disaster condition and function.
3. Codes and Standards which change the pre-disaster construction of a facility are eligible for consideration only if they are in writing and they were formally adopted by the applicant PRIOR to the disaster declaration date or if they are a legal Federal or State requirement applicable to the type of restoration.
4. Applicants must follow the Scope of Work (SOW) in the approved (PW/SA) sub-award. Work not identified in the SOW is ineligible. The applicant is responsible for informing SEMA of any condition(s) that create a need to change the SOW BEFORE incurring costs or proceeding with the work.
5. All project work must be completed by the project completion deadline assigned to the applicable (PW/SA) sub-award. Only costs incurred up to the approved completion date will be considered for reimbursement. If additional time is needed, due to circumstances beyond the control of the applicant, a written request must be sent to SEMA.
6. The applicant MUST submit a written request for an Improved or Alternate project to SEMA and receive a written approval prior to starting construction.
7. An applicant may submit an appeal for additional small project funding if the actual cost for ALL small projects exceeds the approved project amount for ALL small projects by 15% or more. The written appeal must be submitted to SEMA no later than 60 days after the last small project work was completed. The appeal must include cost documentation for ALL small projects.
8. The FEMA Project Completion and Certification Report, P.4, must be completed, signed and returned to SEMA once the project work of the (PWs/SAs) sub-awards on the P.4 is completed.
9. Suspended (PWs/SAs) sub-awards will not receive funding until ALL the requirements identified in the comments section of the (PW/SA) sub-award are met.
10. Applicants with large (PWs/SAs) sub-awards must submit a project cost summary and all associated invoices to SEMA following the completion of each large project. The project cost summary must list all labor, equipment, materials, and contract costs associated with the (PW's/SA's) sub-award's scope of work.
11. The applicant understands and accepts responsibility under the Code of Federal Regulations (CFR) Section 13.21 to minimize the time elapsing between the transfer of funds to us and the disbursement of those funds.
12. The applicant shall promptly, but at least quarterly, remit interest earned to SEMA for return to FEMA.

13. The Missouri State Prevailing Wage Laws are applicable for all public works construction that would have previously been covered. The Governor will determine the applicability of the Missouri State Prevailing Wage Laws for each disaster.
14. The applicant certifies that they will not contract with any entity identified on the General Services Administration **System for Award Management (SAM)**, <https://www.sam.gov/SAM/>, Excluded Parties List (Debarred List) or the **Missouri State Attorney General's Know MO** web link, <https://ago.mo.gov/app/search>.
15. The applicant certifies they will adhere to Revised Statutes of Missouri (RSMo) Sections 285.525 through 285.555 regarding the hiring of Illegal Immigrants by the (applicant) sub-recipient or any contractor or subcontractor. We understand that failure to comply with this requirement will subject us to the penalties described in the references mentioned above.
16. The applicant is required to submit quarterly reports to SEMA on all projects that have not received final payment.
17. The applicant may appeal any determination previously made by FEMA or SEMA. The applicant's appeal must be made in writing and submitted to SEMA within sixty (60) days after receipt of notice of the action which is being appealed.
18. If an applicant expends \$750,000.00 or more in total Federal financial assistance in one applicant's fiscal year (including **ALL** Federal funds, not just disaster assistance) a copy of the Single Audit or Program Audit (as required by the Single Audit Act of 1984) must be submitted to SEMA.
19. Applicants must maintain all source documentation for each project for 3 years after the date of transmission of the final expenditure report for project completion as certified by the Recipient. [2 CFR 200.302(b)(3)]
20. **Payments may be delayed until SEMA receives required documentation such as Corps of Engineers permit or Missouri Department of Natural Resources 401 permit.**
21. The applicant will immediately notify SEMA if/when they receive any other funds (insurance, CDBG, DNR, USACE, donations, etc.) that will be applied to the (PW/SA) sub-award Scope of Work or non-Federal share.
22. Contracting with small and minority businesses, women's business enterprises, and labor surplus area firms. The applicant must take all necessary affirmative steps to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible. See 2 CFR §200.321 for additional details.

**Missouri State Emergency Management Agency (SEMA)**  
**Audit Compliance Requirements Checklist**

As a result of recent decisions by the U.S. Department of Homeland Security Office of the Inspector General (OIG) it has become necessary to obtain additional certification of each Public Assistance applicants' understanding of federal requirements associated with the receipt and expending of federal grants.

**(IMPORTANT:** Approval of your procurement procedures, cost documentation, source documents, etc..., by representatives of the Federal Emergency Management Agency (FEMA) does **NOT** provide any assurance that the U.S. Department of Homeland Security OIG auditors will not require that you return disaster grant funds should they (OIG) disagree with those procedures.)

These procedures have been implemented as a direct result of U.S. DHS OIG audit reports and to prevent the potentially devastating effects of having to return federal funds following a disaster.

The State Emergency Management Agency reserves the right (as the recipient for federal disaster funds) to conduct periodic records reviews of any applicant records and to cease payments to any applicant found to be non-compliant with these requirements.

The following items **must be read and understood** by each applicant **BEFORE** signing the certification. **NO** payments will be made on any (PW/SA) sub-award until this and all other required documents/forms have been completed, signed, and provided to Missouri SEMA.

1. The applicant's accounting practices must identify the application of federal funds or account for costs by specific project as required by federal regulations and FEMA guidelines. The Code of Federal Regulations (CFR) 44 13.20(b) states that the applicant must maintain records that adequately identify the source and application of funds for financially assisted activities.
2. Effective control and accountability must be maintained for all (grant) award and (subgrant) sub-award cash, real and personal property, and other assets.
3. The applicant must establish a project file (or site file for multiple-site projects) containing the corresponding (PW/SA) sub-award and all documentation pertaining to the project (or site).
4. The applicant must follow the same or more stringent internal controls when accounting for and expending disaster grant funds as it does for its annual operating revenue.
5. The applicant must maintain documentation by project, reconcile source documentation to invoices, and determine the validity of all project invoices before filing claims.
6. The applicant must follow federal procurement standards as set forth in Code of Federal Regulations (CFR) 44 and 2 CFR Part 200, to include:
  - a. Performance of procurement transactions in a manner providing full and open competition except under certain circumstances.
  - b. Applicants must maintain records sufficient to detail the significant history of the procurement, including rationale for the method of procurement, the basis of contractor selection, and basis for the contract price.

- c. Applicants must document a cost or price analysis in connection with every procurement action including contract modifications.
  - d. Time and material type contracts are prohibited unless no other contract is suitable and the contract includes a ceiling price that the contractor exceeds at its own risk. FEMA also generally limits these contracts to seventy (70) hours.
  - e. The applicant must negotiate profits as a separate element for contracts lacking price competition and in all cases where cost analyses are performed.
  - f. The Applicant must take the affirmative steps, as established in 2 C.F.R. § 200.321(a).
7. The applicant understands that improperly contracted work will result in the total ineligibility for the project.
8. This checklist is NOT all inclusive and each applicant should be familiar with the requirements of Code of Federal Regulation (2 CFR Part 200 and 44 CFR). Particularly important are Part 13 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments) and Part 206 (Federal Disaster Assistance for Disasters Declared On or After November 23, 1988).



## Assurance of Compliance with 2 CFR 200.317 – 200.326

This Assurance of Compliance from (SEMA PA-4) satisfies the requirements of 2 CFR 200.331 which stipulates that SEMA, as a pass-through entity, provide required information related to, but not limited to, procurement as follows:

- (2) All requirements imposed by the pass-through entity on the sub-recipient so that the Federal award is used in accordance with Federal statutes, regulations, and the terms and conditions of the Federal award;
- (3d) Monitor the activities of the sub-recipient as necessary to ensure that the sub-award is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the sub-award; and that sub-award performance goals are achieved.

1. Review your **Procurement Policy** for compliance with Federal Procurement Policy Standards and 2 CFR 200.317 – 200.326 and submit your **Jurisdictional Review** to SEMA;
2. Submit a copy of your **Procurement Policy** to SEMA, with the submission of State Forms, for review of compliance.
3. SEMA will review your **Procurement Policy**, in accordance with your **Jurisdictional Review**, for compliance and will recommend solutions for any issue(s) which may cause risk to the preservation of eligibility.

Common issues for consideration include, but are not limited to:	
<b>1. 200.318(a)</b> The non-Federal entity must use its own documented procurement procedures which reflect applicable State, local, and tribal laws and regulations, provided that the procurements conform to applicable Federal law and the standards identified in this section.	(3) The Federal awarding or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the non-Federal entity; or
<b>2. 200.320(b)</b> Procurement by small purchase procedures. Small purchase procedures are those relatively simple and informal procurement methods for securing services, supplies, or other property that do not cost more than the Simplified Acquisition Threshold. If small purchase procedures are used, price or rate quotations must be obtained from an adequate number of qualified sources.	(4) After solicitation of a number of sources, competition is determined inadequate.
<b>3. 200.320(c)</b> Procurement by sealed bids (formal advertising). Bids are publicly solicited and a firm fixed price contract (lump sum or unit price) is awarded to the responsible bidder whose bid, conforming to all the material terms and conditions of the invitation for bids, is the lowest in price. The sealed bid method is the preferred method for procuring construction, if the conditions in paragraph (c) (1) of this section apply.	<b>5. 200.321 (a)</b> The non-Federal entity must take all necessary <u>affirmative steps</u> to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible.
<b>4. 200.320 (f)</b> Procurement by noncompetitive proposals. Procurement by noncompetitive proposals is procurement through solicitation of a proposal from only one source and may be used only when one or more of the following circumstances apply:	<b>6. 200.321(b)</b> Affirmative steps must include:
(1) The item is available only from a single source;	(1) Placing qualified small and minority business and women's business enterprises on solicitation lists;
(2) The public exigency or emergency for the requirement will not permit a delay resulting from the competitive solicitation;	(2) Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
	(3) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses, and women's business enterprises;
	(4) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority businesses, and women's business enterprises.
	(5) Using the services and assistance, as appropriate of such organizations as the Small Business Administration and the Minority Business Development Agency of the Department of Commerce; and
	(6) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (1) through (5) of this section.

We, the responsible parties of the Sub-Recipient, hereby certify full compliance with 2 CFR 200.317 – 200.326, as applicable to our Procurement Policy, with the intention of preserving the eligibility of funding as obligated by the Federal Public Assistance grant.

### Name of Jurisdiction:

Authorized Representative		Senior Jurisdictional Authority*	
Print Name		Print Name	
Title		Title	
Signature		Signature	
Date		Date	
Phone Number		Phone Number	
Email Address		Email Address	

\*If the Authorized Representative also holds the position of Senior Jurisdictional Authority, please include the signature and contact information of another jurisdictional authority who can certify compliance. (Example: county clerk, fiscal manager, etc.)

U.S. DEPARTMENT OF HOMELAND SECURITY  
FEDERAL EMERGENCY MANAGEMENT AGENCY  
**SUMMARY SHEET FOR ASSURANCES AND CERTIFICATIONS**

**DR-4552**

O.M.B. No. 1660-0025  
Expires July 31, 2007

FOR

CA FOR (Name of Recipient)

FY \_\_\_\_\_

This summary sheet includes Assurances and Certifications that must be read, signed, and submitted as a part of the Application for Federal Assistance.

An applicant must check each item that they are certifying to:

**Part I** ☐ FEMA Form 20-16A, Assurances-Nonconstruction Programs

**Part II** ☐ FEMA Form 20-16B, Assurances-Construction Programs

**Part III** ☐ FEMA Form 20-16C, Certification Regarding Lobbying;  
Debarment, Suspension, and Other Responsibility  
Matters; and Drug-Free Workplace Requirements

**Part IV** ☐ SF LLL, Disclosure of Lobbying Activities (*If applicable*)

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the identified attached assurances and certifications.

\_\_\_\_\_  
Typed Name of Authorized Representative

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date Signed

**NOTE:** By signing the certification regarding debarment, suspension, and other responsibility matters for primary covered transaction, the applicant agrees that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by FEMA entering into this transaction.

The applicant further agrees by submitting this application that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the FEMA Regional Office entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions. (Refer to 44 CFR Part 17.)

**Paperwork Burden Disclosure Notice**

Public reporting burden for this form is estimated to average 1.7 hours per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing, reviewing, and maintaining the data needed, and completing and submitting the form. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, U.S. Department of Homeland Security, Federal Emergency Management Agency, 500 C Street, SW, Washington DC 20472. You are not required to complete this form unless a valid OMB control number is displayed in the upper corner on this form. **Please do not send your completed form to the above address.**

**Paperwork Burden Disclosure Notice**

Paperwork reporting burden for this form is estimated to average 1.7 hours per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing, reviewing, and submitting the form. You are not required to respond to this collection of information unless a valid OMB control number appears in the upper right corner of this form. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden estimate to: Information Collection Management, U. S. Department of Homeland Security, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472. **NOTE: Do not send your completed form to the above address.**

**NOTE:**

Certain of these assurances may not be applicable to your project or program. If you have any questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (*including funds sufficient to pay the non-Federal share of project costs*) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. Section 4727-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P. L. 88-352) which prohibits discrimination on the basis of race, color, or national origin; (b) Title IV of the Education Amendments of 1972, as amended (20 U.S.C. Sections 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. Section 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. Sections 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) Sections 523 and 527 of the Public Health Service Act of 1912, (42 U.S.C. 290-dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Acts of 1968 (42 U.S.C. Section 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provision in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Title II and III of the Uniformed Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or Federally assisted programs. These requirements apply to all interest in real property acquired for project purposes regardless of Federal participation in purchase.
8. Will comply with provisions of Hatch Act (5 U.S.C. Sections 1501-1508 and 7324-7328) which limit the political activities of employees whose principle employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. Sections 276a to 276a-7) the Copeland Act (40 U.S.C. Section 276c and 18 U.S.C. Sections 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. Sections 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable with flood insurance purchase requirements of Section 102a of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. Sections 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176 (c) of the Clear Air Act of 1955, as amended (42 U.S.C. Section et seq.); (g) protection underground sources of drinking water under Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the wild and Scenic Rivers Act of 1968 (16 U.S.C. Sections 1271 et seq.) related to protecting components of the national wild and scenic rivers systems.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. Sections 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.
19. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act (29 U.S.C. 201), as they apply to employees of institutions of higher education, hospitals, and other non-profit organizations.

U. S. DEPARTMENT OF HOMELAND SECURITY  
FEDERAL EMERGENCY MANAGEMENT AGENCY  
**ASSURANCES-CONSTRUCTION PROGRAM**

**DR-4552**

**O.M.B. No. 1660-0025**  
**Expires July 31, 2007**

**PAPERWORK BURDEN DISCLOSURE NOTICE**

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**NOTE"**

Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain federal assistance awarding agencies may require applicants to certify additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (*including funds sufficient to pay the non-Federal Share of project cost*) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the comptroller General of the United States, and if appropriate, the States, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a paper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or state.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with Intergovernmental Personnel Act of 1970 (42 U.S.C. Sections 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's standards for a Merit System of Personnel Administration (5 C.F.R. 900-subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. Sections 4801-et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. Sections 1681-1683, and 1685-1686) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. Sections 794) which prohibits discrimination on the basis of; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. Sections 6101-61-7) which prohibits discrimination on the basis of age; (e) the Drug Abuse Office Treatment Act of 1972 (P.L. 93-255), as amended, relating to non-discrimination on the bases of abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the bases of alcohol abuse or alcoholism; (g) Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. Sections et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) and other non-discrimination provisions in the specific statutes(s) under which application for Federal assistance is being made, and (j) the requirements on any other non-discrimination Statutes(s) which may apply to the application.
11. Will comply, or has already complied, with the requirements of Title II and III of the Uniform Relocation Assistance and Real Property Acquisition policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and Federally assisted programs. These requirements apply to all interest in real property acquired for project purpose regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. Sections 1501-1508 and 7324-7328) which limit the political activities of employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. Sections 27a to 276a-7), the Copeland Act (40 U.S.C. Section 276c and 18 U.S.C. Section 874), the Contract Work Hours and Safety Standards Act (40 U.S.C. Sections 327-333) regarding labor standards for Federally assisted construction subagreements.

14. Will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance in the total cost of insurable construction and acquisition is \$ 10,000 or more.

15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (E.O.) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management programs developed under the Coastal Zone Management Act of 1973 (16 U.S.C. Sections 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementations Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. Section 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); (H) Protection of Endangered species Act of 1973, as amended, (P.L. 93-205).

16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. Sections 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 46s-1 et seq.).

18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

19. Will comply with all applicable requirements of all other Federal laws, Executive Orders, regulations and policies governing this program.

20. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act (29 U.S.C. 201), as they apply to employees of institutions of higher education, hospitals, and other non-profit organizations.

21. It will obtain approval by the appropriate Federal agencies of the final working drawings and specifications before the project is advertised or placed on the market for bidding; that it will construct the project, or cause it to be constructed, to final completion in accordance with the application and approved plans and specifications; that it will submit to the appropriate Federal agency for prior approval changes that alter the cost of the project, use of space, or functional layout; that it will not enter into a construction contract(s) for the project or undertake other activities until the conditions of the construction grant program(s) have been met.

22. It will operate and maintain the facility in accordance with the minimum standards as may be required or prescribed by the applicable Federal, State, and local agencies for the maintenance and operation of such facilities.

23. It will require the facility to be designed to comply with the "American Standard Specifications for Making Buildings and Facilities Accessible to, and Usable by, the Physically Handicapped," Number A117-1961, as modified (41CFR 101-17.703). The applicant will be responsible for conducting inspections to ensure compliance with these specifications by the contractor.

24. If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the applicant, this assurance shall obligate the applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits.

25. In making subgrants with nonprofit institutions under this Comprehensive Cooperative Agreement, it agrees that such grants will be subject to OMB Circular A-122, "Cost Principles for Non-profit Organization" including but not limited to, the "Lobbying Revision" published in vol 49, Federal Register, pages 18260 through 18277 (April 27, 1984).

U. S. DEPARTMENT OF HOMELAND SECURITY  
FEDERAL EMERGENCY MANAGEMENT AGENCY  
**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND  
OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

O.M.B. No. 1660-0025  
Expires July 31, 2007

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Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 44 CFR Part 18, "New Restrictions on Lobbying" and 28 CFR Part 17, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Federal Emergency Management Agency (FEMA) determines to award the transaction, grant, or cooperative agreement.

**1. LOBBYING**

As required by section 1352, Title 31 of the U.S. Code, and implemented at 44 CFR Part 18, for persons entering into a grant or cooperating agreement over \$ 100,000, as defined at 44 CFR Part 18, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement.

(b) If any other funds than Federal appropriated funds have been paid or will be paid to any other person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or an employee of Congress, or employee of a member of Congress in connection with this Federal Grant or cooperative agreement, the undersigned shall complete and submit Stand Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

☐ Standard Form-LLL "Disclosure of Lobbying Activities" attached  
(This form must be attached to certification if nonappropriated funds are to be used to influence activities.)

**2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 44 CFR Part 67, for prospective participants in primary covered transactions, as defined at 44 CFR Part 17, Section 17.510-A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of a or had a civilian judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or perform a public a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1) (b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause of default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

**3. DRUG-FREE WORKPLACE  
(GRANTEE OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 44 CFR Part 17, Subpart F, for grantees, as defined at 44 CFR Part 17.615 and 17.620-

A. The applicant certifies that it will continue to provide a drug-free workplace by;

(a) Publishing a statement notifying employees that the unlawful manufacture, distributions

(b) Establishing an on-going drug free awareness program to inform employees about-

- (1) The dangers of drug abuse in the workplace;
- (2) The grantee's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant to be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the term of the statement; and

(2) Notify the employee in writing of his or her conviction for a violation of a criminal drug statute occurring on the workplace no later than five calendar days after such convictions;

(e) Notifying the agency, in writing, with 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position, title, to the applicable FEMA awarding office, i.e., regional office or FEMA office.

**DR-4552**

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is convicted-

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation act of 1973, as amended; or

(2) Requiring such an employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug free workplace through implementation of paragraphs (a),(b),(c),(d),(e) and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, City, County, State, Zip code)

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Check ☐ If there are workplaces on file that are not identified here.

Section 17.630 of the regulations provide that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for FEMA funding. States and State agencies may elect to use a state wide certification.

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## DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB

4040-0013

<b>1. * Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. * Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. * Report Type:</b> <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
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**4. Name and Address of Reporting Entity:**  
☒ Prime    ☐ SubAwardee  
 \* Name   
 \* Street 1  Street 2   
 \* City  State  Zip   
 Congressional District, if known:

**5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:**

<b>6. * Federal Department/Agency:</b> <input style="width: 350px;" type="text"/>	<b>7. * Federal Program Name/Description:</b> <input style="width: 350px;" type="text"/> CFDA Number, if applicable: <input style="width: 150px;" type="text"/>
<b>8. Federal Action Number, if known:</b> <input style="width: 350px;" type="text"/>	<b>9. Award Amount, if known:</b> \$ <input style="width: 150px;" type="text"/>

**10. a. Name and Address of Lobbying Registrant:**  
 Prefix  \* First Name  Middle Name   
 \* Last Name  Suffix   
 \* Street 1  Street 2   
 \* City  State  Zip

**b. Individual Performing Services** (including address if different from No. 10a)  
 Prefix  \* First Name  Middle Name   
 \* Last Name  Suffix   
 \* Street 1  Street 2   
 \* City  State  Zip

**11.** Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.  
 \* Signature:   
 \* Name: Prefix  \* First Name  Middle Name   
               \* Last Name  Suffix   
 Title:  Telephone No.:  Date:

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