

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

1. DATE SUBMITTED:	3. (APPLICANT) SUBRECIPIENT ID NUMBER:	4. DECLARATION NUMBER AND DATE:
2. DATE RECEIVED:		<b>FEMA - 4612-DR-MO Dated: 1 September 21</b>
5. (APPLICANT) SUBRECIPIENT INFORMATION:	6. TYPE OF (APPLICANT) SUBRECIPIENT: Check appropriate box or boxes [ x ]	
A. <u>Legal Name:</u>	A. State Agency [ ]	B. County [ ]
	C. City [ ]	D. Township [ ]
B. <u>FEIN #:</u>	E. Special District [ ]	F. Private Non-Profit [ ]
C. <u>DUNS #:</u>	G. Other [ ]	(Specify)
D. (Applicant's) Subrecipient's Fiscal Year: FROM: _____ TO: _____		
E. <u>Address (St./POB/City/State/Zip):</u>	7. INCIDENT PERIOD: June 24 to July 1, 2021	
	<b>8. <u>State Agency to Receive Request:</u></b> <b>State Emergency Management Agency</b> <b>P. O. Box 116, 2302 Militia Dr.</b> <b>Jefferson City, MO 65102</b> <b>Phone: 573-526-9378</b> <b>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) SUBRECIPIENT AND THE SUBRECIPIENT 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:
	Alternate GAR	



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

DR-4612

\*REQUIRED FIELDS

*NAME/ADDRESS AS SHOWN ON FEDERAL TAX RETURN		*FEDERAL TAX ID NUMBER OR SOCIAL SECURITY NUMBER	
   		*TYPE OF ENTITY <input type="checkbox"/> Corporation <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Individual <input type="checkbox"/> State Employee <input type="checkbox"/> Other _____	
REMIT TO NAME/ADDRESS IF DIFFERENT THAN ABOVE		* NEW TO DOING BUSINESS WITH THE STATE OF MISSOURI? <input type="checkbox"/> YES <input type="checkbox"/> NO	
   		* IF NO, UPDATING EXISTING INFORMATION? <input type="checkbox"/> YES <input type="checkbox"/> NO	
HAVE YOU OR AN IMMEDIATE FAMILY MEMBER EVER SERVED IN THE U.S. ARMED FORCES?  <input type="checkbox"/> YES <input type="checkbox"/> NO		I HAVE RECEIVED A PAYMENT FROM THE STATE OF MISSOURI WITHIN THE LAST 22 MONTHS? <input type="checkbox"/> YES <input type="checkbox"/> NO	
IF YES, WOULD YOU LIKE INFORMATION ABOUT MILITARY-RELATED SERVICES IN MISSOURI?  <input type="checkbox"/> YES <input type="checkbox"/> NO		COMMENTS	
<b>TO BE COMPLETED BY FINANCIAL INSTITUTION</b>			
NAME/ADDRESS OF FINANCIAL INSTITUTION		<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.	
DEPOSITOR ROUTING NUMBER			
DEPOSITOR ACCOUNT NUMBER		<input type="checkbox"/> I (We) hereby cancel my (our) ACH/EFT authorization.	
NAME ON ACCOUNT			
TYPE OF ACCOUNT <input type="checkbox"/> CHECKING <input type="checkbox"/> SAVINGS		*VENDOR SIGNATURE <b>X</b>	
SIGNATURE OF REPRESENTATIVE OF FINANCIAL INSTITUTION		*PRINT NAME	
PRINT NAME		*TITLE	
TITLE		EMAIL ADDRESS	
TELEPHONE NUMBER	DATE	*TELEPHONE	*DATE
<b>CERTIFICATION FOR INTERNAL REVENUE SERVICE (IRS)</b> <input type="checkbox"/> Exempt from Backup Withholding			
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 irs.gov 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.			
SIGNATURE			

**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.**

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.

Wet 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. This must be a wet signature.

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.

Fax to (573) 526-9813 or mail to Office of Administration/Accounting, PO Box 809, Jefferson City, MO 65102.

**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 (subrecipient) 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 scope of work is ineligible. The applicant is responsible for informing SEMA of any condition(s) that create a need to change the Scope of Work 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 subrecipient, 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. 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/portal/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) subrecipient 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 subrecipient's 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 subrecipient **BEFORE** signing the certification. **NO** payments will be made on any (project worksheet) 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 applicants 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 award and 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 (project worksheet/PW) 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 subrecipient should be familiar with the requirements of Code of Federal Regulation (2 CFR Part 200 and 44 CFR). Particularly important is Part 206 (Federal Disaster Assistance for Disasters Declared On or After November 23, 1988)



# Assurance of Compliance with 2 CFR 200.317 – 200.327

This Assurance of Compliance form (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 subrecipient 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 subrecipient 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 – 200.327 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.

<p><b>Common issues for consideration include, but are not limited to:</b></p> <p><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.</p> <p><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.</p> <p><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.</p> <p><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:</p> <p>(1) The item is available only from a single source;</p> <p>(2) The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation;</p> <p>(3) The Federal awarding agency or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the non-Federal entity; or</p> <p>(4) After solicitation of a number of sources, competition is determined inadequate.</p>	<p><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.</p> <p><b>6. 200.321 (b)</b> Affirmative steps must include:</p> <p>(1) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;</p> <p>(2) Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;</p> <p>(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;</p> <p>(4) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority businesses, and women's business enterprises;</p> <p>(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</p> <p>(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.</p> <p><b>7. 200.322</b> As appropriate and to the extent consistent with law, the non-Federal entity should, to the greatest extent practicable under a Federal award, provide a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States (including but not limited to iron, aluminum, steel, cement, and other manufactured products). The requirements of this section must be included in all subawards including all contracts and purchase orders for work or products under this award.</p> <p><b>8. 200.327</b> The non-Federal entity's contracts must contain the applicable provisions describe in appendix II of 2 CFR Part 200.</p>
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## Applicant 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**

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.**

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**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 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 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 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 or organizational conflict of interest, or 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. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 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).
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 IX of the Education Amendments of 1972, as amended (20 U.S.C. §§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. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§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) §§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. §3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions 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 Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide 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 interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal 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. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with 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 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. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§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); 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. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
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-1 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. §§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 Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

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## ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0009  
Expiration Date: 02/28/2022

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**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 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 project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper 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 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 non-discrimination 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 progressive 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 the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 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. §§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. §§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. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§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) §§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. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions 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.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide 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 interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal 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. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with 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 if 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 (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. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§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); and, (h) protection of endangered species under the 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. §§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 protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

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## CERTIFICATION REGARDING LOBBYING

### Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) 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 an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid 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 this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid 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 this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\* APPLICANT'S ORGANIZATION

\* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix:  \* First Name:  Middle Name:   
\* Last Name:  Suffix:   
\* Title:

\* SIGNATURE:

\* DATE:

# DISCLOSURE OF LOBBYING ACTIVITIES

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

OMB Number: 4040-0013

Expiration Date: 02/28/2022

<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
<b>4. Name and Address of Reporting Entity:</b> <input checked="" type="checkbox"/> Prime <input type="checkbox"/> SubAwardee * Name <input style="width:350px;" type="text"/> * Street 1 <input style="width:330px;" type="text"/> Street 2 <input style="width:330px;" type="text"/> * City <input style="width:120px;" type="text"/> State <input style="width:120px;" type="text"/> Zip <input style="width:60px;" type="text"/> Congressional District, if known: <input style="width:150px;" type="text"/>		
<b>5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:</b>     		
<b>6. * Federal Department/Agency:</b> <input style="width:390px;" type="text"/>	<b>7. * Federal Program Name/Description:</b> <input style="width:390px;" type="text"/> CFDA Number, if applicable: <input style="width:240px;" type="text"/>	
<b>8. Federal Action Number, if known:</b> <input style="width:390px;" type="text"/>	<b>9. Award Amount, if known:</b> \$ <input style="width:160px;" type="text"/>	
<b>10. a. Name and Address of Lobbying Registrant:</b> Prefix <input style="width:60px;" type="text"/> * First Name <input style="width:120px;" type="text"/> Middle Name <input style="width:120px;" type="text"/> * Last Name <input style="width:150px;" type="text"/> Suffix <input style="width:60px;" type="text"/> * Street 1 <input style="width:150px;" type="text"/> Street 2 <input style="width:150px;" type="text"/> * City <input style="width:120px;" type="text"/> State <input style="width:120px;" type="text"/> Zip <input style="width:60px;" type="text"/>		
<b>b. Individual Performing Services</b> (including address if different from No. 10a) Prefix <input style="width:60px;" type="text"/> * First Name <input style="width:120px;" type="text"/> Middle Name <input style="width:120px;" type="text"/> * Last Name <input style="width:150px;" type="text"/> Suffix <input style="width:60px;" type="text"/> * Street 1 <input style="width:150px;" type="text"/> Street 2 <input style="width:150px;" type="text"/> * City <input style="width:120px;" type="text"/> State <input style="width:120px;" type="text"/> Zip <input style="width:60px;" type="text"/>		
<b>11.</b> 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: <input style="width:350px;" type="text"/> * Name: Prefix <input style="width:60px;" type="text"/> * First Name <input style="width:120px;" type="text"/> Middle Name <input style="width:120px;" type="text"/> * Last Name <input style="width:150px;" type="text"/> Suffix <input style="width:60px;" type="text"/> Title: <input style="width:150px;" type="text"/> Telephone No.: <input style="width:120px;" type="text"/> Date: <input style="width:120px;" type="text"/>		
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)