

**The Department of Homeland Security (DHS)  
Notice of Funding Opportunity (NOFO)  
Fiscal Year 2016 Emergency Management Performance Grant Program (EMPG)**

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

**A. Program Description**

**Issued By**

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

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

97.042

**CFDA Title**

Emergency Management Performance Grant (EMPG) Program

**Notice of Funding Opportunity Title**

Emergency Management Performance Grant Program

**NOFO Number**

<b>Grant Program Title</b>	<b>NOFO Number</b>
EMPG – Region I	DHS-16-GPD-042-01-01
EMPG – Region II	DHS-16-GPD-042-02-01
EMPG – Region III	DHS-16-GPD-042-03-01
EMPG – Region IV	DHS-16-GPD-042-04-01
EMPG – Region V	DHS-16-GPD-042-05-01
EMPG – Region VI	DHS-16-GPD-042-06-01
EMPG – Region VII	DHS-16-GPD-042-07-01
EMPG – Region VIII	DHS-16-GPD-042-08-01
EMPG – Region IX	DHS-16-GPD-042-09-01
EMPG – Region X	DHS-16-GPD-042-10-01

## **Authorizing Authority for Program**

Section 662 of the *Post-Katrina Emergency Management Reform Act of 2006* (PKEMRA), as amended, (Pub. L. No. 109-295) (6 U.S.C. § 762); the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, as amended (Pub. L. No. 93-288) (42 U.S.C. §§ 5121 et seq.); the *Earthquake Hazards Reduction Act of 1977*, as amended (Pub. L. No. 95-124) (42 U.S.C. §§ 7701 et seq.); and the *National Flood Insurance Act of 1968*, as amended (Pub. L. No. 90-448) (42 U.S.C. §§ 4001 et seq.).

## **Appropriation Authority for Program**

*Department of Homeland Security Appropriations Act, 2016* (Pub. L. No. 114-113)

## **Program Type**

New

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

### **Overview**

The purpose of the Emergency Management Performance Grant (EMPG) Program is to provide federal funds to states to assist state, local, territorial, and tribal governments in preparing for all hazards, as authorized by Section 662 of the *Post Katrina Emergency Management Reform Act* (6 U.S.C. § 762) and the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (42 U.S.C. §§ 5121 et seq.). Title VI of the *Stafford Act* authorizes DHS/FEMA to make grants for the purpose of providing a system of emergency preparedness for the protection of life and property in the United States from hazards and to vest responsibility for emergency preparedness jointly in the Federal Government, states, and their political subdivisions. The Federal Government, through the EMPG Program, provides necessary direction, coordination, and guidance, and provides necessary assistance, as authorized in this title, to support a comprehensive all hazards emergency preparedness system. The FY 2016 EMPG will provide federal funds to assist state, local, tribal, and territorial emergency management agencies to obtain the resources required to support the National Preparedness Goal's (the Goal's) associated mission areas and core capabilities. The EMPG program supports the Quadrennial Homeland Security Review Mission to Strengthen National Preparedness and Resilience.

### **Objectives**

The EMPG Program supports a comprehensive, all-hazard emergency preparedness system by building and sustaining the core capabilities contained in the Goal.

Examples of EMPG funded activities include:

- Initiating or achieving whole community approach to security and emergency management;
- Strengthening a state or community's emergency management program;
- Updating emergency plans;
- Completing the State Preparedness Reports (SPR), including the Threat and Hazard Identification and Risk Assessment (THIRA) process;

- Designing and conducting exercises that engage a whole community of stakeholders and validate core capabilities; and
- Conducting training.

**Priorities**

The National Preparedness System is the instrument the Nation employs to build, sustain, and implement core capabilities to achieve the Goal of a secure and resilient Nation. Complex and far-reaching threats and hazards require a collaborative and a whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. The guidance, programs, processes, and systems that support each component of the National Preparedness System allow for the integration of preparedness efforts that build, sustain, and deliver core capabilities and achieve the desired outcomes identified in the Goal.

The Department of Homeland Security expects EMPG recipients and subrecipients to prioritize grant funding to address capability targets and gaps identified through the annual THIRA and SPR process. Recipients and subrecipients should prioritize the use of grant funds to maintain/sustain current capabilities, to validate capability levels, and to increase capability for high-priority core capabilities with low capability levels. Additional information, including guidelines for completing the THIRA and SPR, can be found at: <https://www.fema.gov/media-library/assets/documents/26335> and <http://www.fema.gov/state-preparedness-report>.

Minimum funding amounts are not prescribed by the Department for these priorities; however, recipients are expected to support state, local, regional, tribal, territorial and national efforts to achieve the desired outcomes for these priorities.

For additional details on priorities for the EMPG Program, please refer to [Appendix A – FY 2016 EMPG Program Priorities](#).

**B. Federal Award Information**

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

<b>Available Funding for the EMPG:</b>	\$350,100,000
<b>Period of Performance:</b>	Twenty four months (24 months)

Extensions to the period of performance are allowed. For additional information on period of performance extensions, refer to [Section H](#) of this NOFO.

<b>Projected Period of Performance Start Date(s):</b>	October 1, 2015
<b>Projected Period of Performance End Date(s):</b>	September 30, 2017

**Funding Instrument:**

**Grant**

**C. Eligibility Information**

**Eligible Applicants**

State governments (State Administrative Agency [SAA] or the State's Emergency Management Agency [EMA])

**Eligibility Criteria**

All 56 states and territories, as well as the Republic of the Marshall Islands and the Federated States of Micronesia, are eligible to apply for FY 2016 EMPG Program funds. Either the SAA or the EMA is eligible to apply directly to FEMA for EMPG Program funds on behalf of each state or territory. However, only one application will be accepted from each state or territory.

**Other Eligibility Criteria**

**Emergency Management Assistance Compact (EMAC) Membership**

In support of the Goal, EMPG recipients must belong to, be located in, or act as temporary member states of EMAC, except for American Samoa, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Commonwealth of the Northern Mariana Islands, which are not currently required to belong to EMAC. All assets supported in part or entirely with FY 2016 EMPG Program funding must, where applicable, be readily deployable to support emergency or disaster operations per existing EMAC agreements.

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

Prior to allocation of any federal preparedness awards in FY 2016, recipients must ensure and maintain adoption and implementation of NIMS. Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs. Utilization of the standardized resource management concepts such as typing, credentialing, and inventorying promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and NIMS resource typing definitions and job titles/position qualifications is available under <http://www.fema.gov/resource-management-mutual-aid>.

FEMA developed NIMS Guideline for Credentialing of Personnel to describe national credentialing standards and to provide written guidance regarding the use of those standards. This guideline describes credentialing and typing processes, and identifies tools which Federal Emergency Response Officials (FEROs) and emergency managers at all levels of government may use both routinely and to facilitate multijurisdictional coordinated responses.

Although state, local, tribal, and private sector partners—including nongovernmental organizations—are not required to credential their personnel in accordance with these guidelines, FEMA strongly encourages them to do so in order to leverage federal investment in the Federal Information Processing Standards (FIPS) 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information is available from the <http://www.fema.gov/nims-doctrine-supporting-guides-tools>.

### **Cost Share or Match**

A cost match is required under this program.

The federal share that is used towards the EMPG Program budget shall not exceed 50 percent of the total budget. The state must equally match (cash or in-kind) the federal contribution pursuant to Sections 611(j) and 613 of the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Pub. L. No. 93-288), as amended, (42 U.S.C. §§ 5121et seq.). Unless otherwise authorized by law, federal funds cannot be matched with other federal funds.

FEMA administers cost matching requirements in accordance with 2 C.F.R. § 200.306. To meet matching requirements, the recipient contributions must be verifiable, reasonable, allowable, allocable, and necessary under the grant program and must comply with all federal requirements and regulations. In accordance with 48 U.S.C. § 1469a, match requirements are waived for the insular areas: the U.S. territories of American Samoa, Guam, the U.S. Virgin Islands, the Federated States of Micronesia, the Northern Mariana Islands, and the Republic of the Marshall Islands.

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

### **Key Dates and Times**

<b>Date Posted to Grants.gov:</b>	<b>February 16, 2016</b>
<b>Application Submission Deadline:</b>	<b>March 18, 2016, 11:59:59 PM EST</b>
<b>Anticipated Award Date:</b>	<b>No later than September 30, 2016</b>

All applications **must** be received by the established deadline. The Non-Disaster (ND) Grants System has a date stamp that indicates when an application is submitted. Applicants will receive an electronic message confirming receipt of the full application. In general, FEMA will not review applications that are not received by the deadline or consider them for funding. FEMA may, however, extend the application deadline on request for any applicant who can demonstrate that good cause exists to justify extending the deadline. Good cause for an extension may include technical problems outside of the applicant's control that prevent submission of the application by the deadline, or other exigent or emergency circumstances. Extensions based on exigent or emergency

circumstances will be made on case by case basis with the final determination resting with FEMA. Applicants that experience technical issues, must notify the respective EMPG Regional Program Manager before the application deadline.

**Other Key Dates**

<b>Event</b>	<b>Suggested Deadline For Completion</b>
Obtain DUNS Number	February 19, 2016
Obtain a valid EIN	February 19, 2016
Update SAM registration	February 19, 2016
Start initial application in Grants.gov	March 8, 2016
Complete application in ND Grants	March 18, 2016

**Address to Request Application Package**

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

Applicants experiencing difficulties accessing information or which have any questions, should call the [grants.gov](http://www.grants.gov) customer support hotline at (800) 518-4726.

Hard copies of the NOFO are not available.

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

Applications will be processed through the [Grants.gov](http://www.grants.gov) portal and FEMA’s Non-Disaster Grants (ND Grants) System.

**Content and Form of Application Submission**

Applying for an award under this program is a multi-step process and requires time to complete. To ensure that an application is submitted on time applicants are advised to start the required steps well in advance of their submission. Please review the table above under *Submission Dates and Other Key Dates and Times* for estimated deadlines to complete each of the six steps listed below. Failure of an applicant to comply with any of the required steps before the deadline for submitting their application may disqualify their application from funding.

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

1. **Applying for, updating or verifying their Data Universal Numbering System (DUNS) Number;**
2. **Applying for, updating or verifying their Employer Identification Number (EIN) Number;**
3. Updating or verifying their System for Award Management (SAM) Registration;
4. Establishing an Authorized Organizational Representative (AOR) in Grants.gov;
5. **Submitting an initial application in Grants.gov; and**
6. **Submitting the complete application in ND Grants system.**

For additional information regarding the DUNS Number, EIN Number, SAM Number, and AOR requirements, please see the section below entitled Dun and Bradstreet Universal Numbering System (DUNS) Number, System for Award Management (SAM), and Authorized Organizational Representative (AOR).

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

Before applying for a DHS grant at [grants.gov](http://grants.gov), applicants must have a DUNS number, be registered in SAM, and be approved as an AOR.

**Applicants are encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact the applicant's ability to meet required submission deadlines.**

#### **Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) Number**

The DUNS number must be included in the data entry field labeled "Organizational DUNS" on the SF-424 form. Instructions for obtaining a DUNS number can be found at the following website: <http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>.

The applicant must provide a DUNS number with their application. This number is a required field for all subsequent steps in the application submission. Applicants should verify they have a DUNS number, or take the steps necessary to obtain one. Applicants can receive a DUNS number at no cost by calling the DUNS number request line at (866) 705-5711. *DHS/FEMA cannot assist applicants with questions related to obtaining a current DUNS number.*

#### **Obtain an Employer Identification Number (EIN)**

DHS/FEMA requires both the EIN and a DUNS number prior to the issuance of a financial assistance award and for grant award payment; both the EIN and a DUNS number are required to register with SAM (see below). The EIN base for an organization is the IRS Tax ID number; for individuals it is their social security number. The social security and IRS Tax ID numbers are both nine-digit numbers. Organizations and individuals submitting their applications must correctly identify the EIN from the DUNS

since both are 9-digit numbers. If these numbers are not correctly identified in the application, a delay in the issuance of the funding award and/or incorrect payment to a recipient organization may result.

Organizations [applying for an EIN](#) should plan on a minimum of two full weeks to obtain an EIN. For assistance registering an EIN please contact the [IRS helpline](#). *DHS/FEMA cannot assist applicants with questions related to obtaining a current EIN.*

### **Register with the System for Award Management (SAM)**

Applicants applying for grant funds electronically through [Grants.gov](#) must register with the Federal System for Award Management (SAM). Step-by-step instructions for registering with SAM can be found here:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>. All applicants must register with SAM in order to apply online. Failure to register with the SAM will result in the application being rejected by [Grants.gov](#) during the submissions process.

Payment under any DHS/FEMA award is contingent on the recipient's having a current [SAM](#) registration. The SAM registration process must be completed by the applicant. It is imperative that the information provided by the applicant is correct and current. Please ensure that the organization's name, address, DUNS number and EIN are up to date in SAM and that the DUNS number used in SAM is the same one used to apply for all other DHS/FEMA awards.

SAM registration is a multi-step process including validating the EIN with the Internal Revenue Service (IRS) to obtain a Commercial and Government Entity (CAGE) code. The CAGE code is only valid for one year after issuance and must be current at the time of application.

SAM sends notifications to the registered user via email 60, 30, and 15 days prior to expiration of the SAM registration for the Entity. SAM registration may lapse due to inactivity. To update or renew Entity records(s) in SAM, applicants will need to create a SAM User Account and link it to the migrated Entity records.

For assistance registering, please go to [SAM](#) or call 866-606-8220. *DHS/FEMA cannot assist applicants with questions related to registering in SAM or obtaining a current CAGE code.*

### **Authorized Organization Representative (AOR)**

The next step in the registration process is creating a username and password with Grants.gov to become an AOR. AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR; this step is often missed and it is crucial for valid submissions. To read more detailed instructions for creating a

profile on Grants.gov visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>.

### **AOR Authorization**

After creating a profile on [Grants.gov](http://www.grants.gov), the E-Biz Point of Contact (E-Biz POC) a representative from the applicant organization who is the contact listed for SAM will receive an email to grant the AOR permission to submit applications on behalf of the organization. The E-Biz POC will then log in to [Grants.gov](http://www.grants.gov) and approve an applicant as the AOR, thereby granting permission to submit applications. To learn more about AOR Authorization visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html>. To track an AOR status visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html>.

Applicants are encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not jeopardize required submission deadlines. Approval as an AOR is necessary in order to submit applications online.

### **Electronic Signature**

Applications submitted through Grants.gov constitute a submission as electronically signed applications. When submitting the application through Grants.gov, the name of the applicant's AOR will be inserted into the signature line of the application.

Applicants experiencing difficulties accessing information or who have any questions should call the [grants.gov](http://www.grants.gov) customer support hotline at (800) 518-4726 or email Grants.gov at [support@grants.gov](mailto:support@grants.gov).

The federal awarding agency may not make a federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

### **Submitting an Initial Application in Grants.gov**

All applicants must submit their initial application through [Grants.gov](http://www.grants.gov). Applicants may need to first create a [Grants.gov](http://www.grants.gov) user profile by visiting the Get Registered section of the [Grants.gov](http://www.grants.gov) website. Successful completion of this step is necessary for DHS/FEMA to determine eligibility of the applicant. Applicants should complete this initial step on-line which requires completing:

- Standard Form 424 (SF-424), Application for Federal Assistance, and
- [Grants.gov](http://www.grants.gov) (GG) Form Certification Regarding Lobbying Form.

Both forms are available in the Forms tab under SF-424 Family. The initial application cannot be started or submitted in [Grants.gov](http://Grants.gov) unless the applicant's registration in SAM is confirmed.

Application forms and instructions are available at [Grants.gov](http://Grants.gov) by selecting *Apply for Grants*. Enter the CFDA number or the Opportunity ID Number noted in this NOFO, select *Download Application Package*, and follow the prompts to download the application package. The information submitted in [Grants.gov](http://Grants.gov) will be retrieved by ND Grants, which will allow DHS/FEMA to determine if an applicant is eligible. **Applicants are encouraged to submit their initial application in [Grants.gov](http://Grants.gov) at least ten days before the March 18, 2016 11:59:59 PM (EDT) application deadline.**

For assistance applying through [Grants.gov](http://Grants.gov), please go to the [Grant Application page](#), contact [support@grants.gov](mailto:support@grants.gov), or call 800-518-4726. DHS/FEMA *cannot assist applicants with questions related to registering with [Grants.gov](http://Grants.gov).*

### **Submitting the Complete Application in Non Disaster Grants System (ND Grants)**

Eligible applicants will be notified by DHS/FEMA and asked to proceed with submitting their complete application package in [ND Grants](#). Applicants can register early with ND Grants and are encouraged to begin their ND Grants registration at the time of this announcement. Early registration will allow applicants to have adequate time to start and complete their application.

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

- Standard Form 424A, Budget Information (Non-construction);
- Standard Form 424B, Standard Assurances (Non-construction); and
- Standard Form LLL, Disclosure of Lobbying Activities (if the recipient has engaged or intends to engage in lobbying activities).

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

- Standard Form 424D, Standard Assurances (Construction) if applying for funds to use for construction;
- Standard Form 424C, Budget Information (Construction) if applying for grants to support construction;
- Program Work Plan; and
- Indirect Cost Rate Agreement, if applicable.

The forms can be found here: <http://www.fema.gov/preparedness-non-disaster-grants> and <http://www.grants.gov/web/grants/forms/sf-424-family.html#sortBy=1>

### **Intergovernmental Review**

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

Order 12372 (see <http://www.fws.gov/policy/library/rgeo12372.pdf>). Name and addresses of the SPOCs are maintained at the Office of Management and Budget's home page at [http://www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc) to ensure currency.

### **Funding Restrictions**

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

EMPG Program recipients may only fund activities and projects that were included in the FY 2016 EMPG Program Work Plan that was submitted to and approved by FEMA. Activities and projects may include the sustainment of capabilities supported by previous EMPG Program funds provided the sustainment activity is cited in the FY 2016 Work Plan.

Additionally, pursuant to Executive Order 13688, DHS/FEMA has issued IB 407 which has placed further restrictions on controlled equipment. For more information on the Controlled Equipment List and Prohibited Equipment, see *Appendix B- Funding Guidelines*.

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

As a federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with federal EHP regulations, laws and Executive Orders as applicable. Recipients and subrecipients proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, FEMA also is required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed and approved before funds are released to carry out the proposed project. FEMA will not fund projects that are initiated without the required EHP review.

Additionally, all recipients are required to comply with FEMA EHP Policy Guidance. This EHP Policy Guidance can be found in FP 108-023-1, [Environmental Planning and Historic Preservation Policy Guidance](#), and FP 108.24.4, [Environmental Planning and Historical Preservation Policy](#).

## **SAFECOM**

Recipients (including subrecipients) who receive awards under EMPG that wholly or partially provide funding for emergency communication projects and related activities must comply with the most recent version of the [SAFECOM Guidance on Emergency Communications Grants](#). This guidance provides recommendations to recipients regarding interoperable emergency communications projects, including allowable costs, eligible activities, grants management best practices for emergency communications grants, and information on technical standards that ensure greater interoperability. The guidance is intended to ensure that federally-funded investments are compatible, interoperable, and support the national goals and objectives for improving emergency communications nationwide. Recipients (including subrecipients) investing in broadband-related investments should review [IB 386, Clarification on Use of DHS/FEMA Public Safety Grant Funds for Broadband-Related Expenditures and Investments](#), and consult their FEMA Regional Program Analyst on such investments before developing applications.

### **Pre-award costs**

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

### **Direct Costs**

#### Cost Principles

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

#### Planning

Planning related costs are allowed under this program only as described in this NOFO.

#### Organization

Organization costs are allowed under this program only as described in this NOFO.

#### Equipment

Equipment costs are allowed under this program only as described in this NOFO.

#### Training

Training related costs are allowed under this program only as described in this NOFO.

#### Exercise

Exercise related costs are allowed under this program only as described in this NOFO.

#### Travel

Domestic travel costs are allowed under this program, as provided for in this NOFO. International travel is not an allowable cost under this program unless approved in advance by FEMA.

#### Construction and Renovation

Construction and renovation costs are allowed under this program only as described in this NOFO.

#### Operational Overtime

Operational Overtime costs are allowed under this program only as described in this NOFO.

#### Maintenance and Sustainment

Funding may be used for the sustainment of programs that help achieve core capabilities that, while they may not be physically deployable, support national response capabilities such as Geographic/Geospatial Information Systems (GIS), interoperable communications systems, capabilities as defined under the Response Mission Area of the Goal, and fusion centers.

For additional details on the use of funds, please refer to [Appendix B-FY 2016 EMPG Funding Guidelines](#).

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

Management and Administration (M&A) activities are those directly related to managing and administering the award, such as financial management and monitoring. It should be noted that salaries of state and local emergency managers are not typically categorized as M&A, unless the state or local EMA chooses to assign personnel to specific M&A activities.

M&A costs are allowable for both state and local-level EMAs. The state EMA may use up to five percent (5%) of the EMPG award for M&A purposes. In addition, local EMAs may retain and use up to five percent (5%) of the amount received from the state for local M&A purposes. If the SAA is not the state-level EMA, the SAA is not eligible to retain funds for M&A.

### **Indirect (Facilities & Administrative [F&A]) Costs**

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

cognizant federal agency) is required at the time of application, and must be provided to FEMA before indirect costs are charged to the award.

## **E. Application Review Information**

### **Application Evaluation Criteria**

Prior to making a federal award, the federal awarding agency is required by 31 U.S.C. § 3321 and 41 U.S.C. § 2313 to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information. Therefore, application evaluation criteria may include the following risk based considerations of the applicant: (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing federal awards; (4) reports and findings from audits; and (5) ability to effectively implement statutory, regulatory, or other requirements.

FY 2016 EMPG Program applications will be evaluated for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed Work Plan. The results from the review process may require applicants to revise submissions before the release of EMPG funding.

### **Review and Selection Process**

#### **Initial Review**

Once program guidance and application requirements are released publicly, eligible applicants can submit applications for funding. Application release and review periods are primarily determined through the appropriations process. FEMA's Regional EMPG Program Managers conduct all pre-award reviews for Emergency Management Performance Grants. All EMPG Program Work Plans will require final approval by the appropriate FEMA regional office.

Funds for recipients who have not submitted their EMPG Program Work Plan as part of their application will not be released until such Work Plan is received, reviewed, and approved by FEMA. Recipients will be notified by their FEMA Regional Program Manager should any component of the EMPG Program application require additional information.

#### **Overall Review**

Submitted applications will undergo a complete content review within their respective FEMA Region. Each FEMA Regional EMPG Program Manager will be responsible for reviewing FY 2016 EMPG Program Work Plans for their respective states/territories in order to assess their emergency management sustainment and enhancement efforts for building, sustaining, or delivering the core capabilities.

For additional details on application review information please refer to [Appendix C – FY 2016 EMPG Program Work Plan](#).

If the anticipated federal award amount will be greater than the simplified acquisition threshold, currently \$150,000:

- Prior to making a federal award with a total amount of federal share greater than the simplified acquisition threshold, DHS/FEMA is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).
- An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.
- DHS/FEMA will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 CFR §200.205.

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

### **Notice of Award**

Notification of award approval is made through the ND Grants system through an automatic e-mail to the recipient's authorized official listed in the initial application. The "award date" for EMPG awards will be the date that FEMA approves the award. The recipient should follow the directions in the notification to confirm acceptance of the award.

Recipients must accept their awards no later than 90 days from the award date. The recipient shall notify FEMA of its intent to accept and proceed with work under the award, or provide a written notice of intent to decline. Instructions on accepting or decline an award in the ND Grants System, can be found in the [ND Grants Grantee Training Manual](#).

Funds will remain on hold until the applicant accepts the award through ND Grants and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the grant award within the 90 day timeframe may result in a loss of funds.

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

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

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

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

### **Pass through funding**

Each state shall obligate 100 percent (100%) of its total EMPG Program allocation amount to the designated state-level EMA. If the SAA is also the EMA, this requirement is automatically met. If the SAA is a separate agency, or has a separate budget processes, then EMPG funds must be obligated to the EMA within 15 days of the grant award date. In instances where the state EMA is making sub-awards to local jurisdictions, FEMA expects the state EMA to make these awards as expeditiously as possible.

### **Reporting**

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

### **Federal Financial Reporting Requirements (FFR)**

#### **Federal Financial Report (FFR)**

Recipients must report obligations and expenditures on a quarterly basis through the FFR (SF-425) to FEMA. Recipients must file the FFR electronically using the [Payment and Reporting Systems \(PARS\)](#). An FFR must be submitted quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. The final FFR is due 90 days after the end date of the performance period. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail.

The Federal Financial Reporting Form (FFR) is available online at: [http://www.whitehouse.gov/sites/default/files/omb/grants/approved\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf), SF-425 OMB #00348-0061.

#### **Financial Reporting Periods and Due Dates**

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

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

#### **Financial and Compliance Audit Report**

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all federal funding sources during the fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of U.S. Government Accountability Office's (GAO) Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and the requirements of Subpart F of 2 C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?node=sp2.1.200.f>.

For audits of fiscal years beginning prior to December 26, 2014, recipients that expend \$500,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO’s Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, located at [http://www.whitehouse.gov/omb/circulars/a133\\_compliance\\_supplement\\_2012](http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2012).

**Program Performance Reporting Requirements**

**Performance Progress Reports (SF-PPR)**

Recipients are responsible for providing updated performance reports to FEMA using the [SF-PPR](#) on a quarterly basis. The Quarterly Performance Progress Reports must be based on the approved EMPG Program Work Plan and are due no later than 30 days after the end of the quarter (i.e., on January 30, April 30, July 30, and October 30). Recipients must complete the cover page of the [SF-PPR \(OMB Control Number: 0970-0334\)](#) and submit it as an attachment to the ND Grants system.

Recipients are required to report quarterly on progress towards completing activities and projects approved in their EMPG Program Work Plans, how expenditures support maintenance and sustainment of core capabilities, and progress made towards implementing the National Preparedness System. This includes reporting on the following information:

- List of completed training courses and exercises and the Training and Exercise Data Table (templates are available in [Appendix C – FY 2016 EMPG Program Work Plan](#)).
- Percent completion of the Training and Exercise Plan (TEP) outlined in the FY 2016 EMPG Program Work Plan (templates are available in [Appendix C – FY 2016 EMPG Program Work Plan](#)).

**Programmatic Reporting Periods and Due Dates**

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

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

**Standardized Reporting through the EMPG Program Work Plan Template**

The EMPG Program Work Plan Template has been modified to standardize data collection for improved analysis and reporting. The EMPG Program Work Plan includes five components: (1) Program and Budget Narrative, (2) Personnel Data Table, (3) Training Data Table, (4) Exercise Data Table, and (5) Grant Activities Outline. Baseline data on Personnel, Training, and Exercise as well as the Grant Activities Outline must be

provided in the EMPG Program Work Plan at the time of application and will form the basis of the Quarterly Performance Progress Report (SF-PPR) submissions. The Grant Activities Outline is structured to enable reporting of quarterly activities according to Emergency Management Function (EMF) projects, as well as standardized reporting of activity completion status.

The EMPG Program Work Plan must summarize program activities in the following areas:

- **Planning**: Planning efforts should span all five Goal mission areas. The EMPG Program Work Plan should provide a baseline for determining potential threats and hazards, required capabilities, required resources, and establish a framework for roles and responsibilities. Planning efforts should demonstrate the engagement of the whole community in the development of a strategic, operational, and/or community-based approach to preparedness.
- **Organization**: EMPG Program funds may be used for all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management, including hazard mitigation staffing of the State Hazard Mitigation Officer (SHMO) position, and staffing Community Emergency Response Team (CERT) and Citizen Corps positions at the state and local levels in order to promote whole community engagement in all phases of emergency management and across the mission areas.
- **Equipment**: Allowable equipment categories for the EMPG Program are listed on the web-based version of the Authorized Equipment List (AEL) available at <https://www.fema.gov/authorized-equipment-list>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or FEMA-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.
- **Training**: EMPG Program funds may be used for a range of emergency management-related training activities to enhance the capabilities of State and local emergency management personnel through the establishment, support, conduct, and attendance of training. Training activities should align to a current, Multi-Year TEP developed through an annual Training and Exercise Plan Workshop (TEPW).
- **Exercises**: Exercises conducted with grant funds should test and evaluate performance towards meeting capability targets, established through the development of a jurisdiction's THIRA for the core capabilities needed to address their greatest risks. Exercise priorities should align to a current, Multi-Year TEP developed through an annual TEPW.

For more details on the EMPG Program Work Plan, please refer to [Appendix C-FY 2016 EMPG Program Work Plan](#).

### **Threat and Hazard Identification and Risk Assessment (THIRA)**

States and territories should review and, if necessary, revise and update the THIRA by December 31 on an annual basis. Further details on the THIRA as it relates to EMPG Program requirements can be found in [Appendix A – FY 2016 EMPG Program Priorities](#). For additional guidance on THIRA, please refer to Comprehensive Preparedness Guide (CPG) 201, Second Edition, available at <https://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>.

### **State Preparedness Report (SPR)**

Section 652(c) of the *Post-Katrina Emergency Management Reform Act of 2006* (Pub. L. No. 109-295), 6 U.S.C. §752(c), requires any state that receives federal preparedness assistance to submit an SPR (OMB Control Number: 1660-0131) to FEMA. States submitted their most recent SPRs by December 31 annually, thus satisfying this requirement to receive funding under the FY 2016 EMPG Program.

### **Emergency Operations Plan (EOP)**

Recipients must update their EOP at least once every two years to comply with Comprehensive Preparedness Guide (CPG) 101 v.2, *Developing and Maintaining Emergency Operations Plans*. Recipients will use the SPR to communicate their compliance with this reporting requirement.

### **Biannual Strategy Implementation Reports (BSIR)**

In addition to the Quarterly Performance Progress Reports, recipients are responsible for completing and submitting BSIR reports. The BSIR is due within 30 days of the end of the reporting period (July 30 for the reporting period of January 1 through June 30 (the summer BSIR); and January 30 for the reporting period of July 1 through December 31 (the winter BSIR). Updated obligations and expenditure information must be provided within the BSIR to show progress made toward meeting strategic goals and objectives as well as how expenditures support Planning, Organization, Equipment, Training and Exercise (POETE) activities. Accordingly, expenditures should support gaps identified in the recipient's THIRA and SPRs.

### **FY 2016 Unified Reporting Tool (URT)**

The URT is FEMA's collection mechanism for THIRA/SPR and other related preparedness information. The FY 2016 SPR includes questions related to NIMS adoption and implementation, and CPG 101 v 2.0 compliance. Information on the URT, to include when recipients will receive the tool and how to use the tool, will be sent to recipients in summer 2016.

### **Closeout Reporting Requirements**

FEMA will close out the grant award when it determines that all applicable administrative actions and all required work of the EMPG Program award have been completed by the recipient. This section summarizes the actions that the recipient must take to complete the closeout process in accordance with 2 C.F.R. § 200.343 at the end of the grant's period of performance or the expiration of an approved extension via Grant Adjustment Notice (GAN) issued to close out the grant.

Within 90 days of the end of the period of performance, or after expiration of a close out extension via GAN, recipients must submit a final FFR and final performance progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance, as well as all the following documentation:

- 1) Final request for payment, if applicable;
- 2) SF-425 –Final Federal Financial Report;
- 3) SF-PPR – Final Performance Progress Report to include final Activity Outline Report from Work Plan;
- 4) A qualitative summary of the impact of accomplishments throughout the entire period of performance. The summary is submitted to the respective Regional Program Manager in a Word document;
- 5) SF-428 – Tangible Personal Property Report – Inventory of all tangible personal property acquired using funds from this award; and
- 6) Other documents required by program guidance or terms and conditions of the award.

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

Additionally, the recipient must liquidate all obligations incurred under the EMPG Program award no later than 90 calendar days after the end date of the period of performance or expiration of a GAN that closes out the award, whichever comes first. If a recipient fails to liquidate their obligations within this time period, FEMA may disallow the costs associated with those unliquidated obligations. Recipients also are responsible for promptly returning to FEMA the balance of any funds that have been drawn down, but remain unliquidated.

After final reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds the recipient has not drawn down that will be deobligated, and address requirements for record retention, and disposition and reporting requirements for any equipment or real property purchased using EMPG grant funding.

In addition, any EMPG recipient that issues subgrants to any subrecipients is responsible for closing out those subgrants as described in 2 C.F.R. § 200.343. EMPG recipients must ensure that they complete the closeout of their subgrants in time to submit all necessary documentation and information to FEMA during the closeout of their own grant award.

#### **G. DHS Awarding Agency Contact Information**

## Contact and Resource Information

### Centralized Services and Information Desk (CSID)

The Centralized Services Information Desk (CSID) is a non-emergency comprehensive management and information resource developed by DHS/FEMA for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the federal, state, and local levels. When necessary, recipients will be directed to a federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800) 368-6498 or by e-mail at [ASKCsid@fema.gov](mailto:ASKCsid@fema.gov), Monday through Friday, 9:00 a.m. – 5:00 p.m. EST.

### GPD Grant Operations Division

GPD's Grant Operations Division Business Office provides support regarding financial matters and budgetary technical assistance. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to [ASK-GMD@dhs.gov](mailto:ASK-GMD@dhs.gov).

### FEMA Regional Offices

FEMA Regional offices manage, administer, and conduct the application budget review, create the award package, approve, amend, and close out awards, as well as conduct cash analysis, financial and programmatic monitoring, and audit resolution for the EMPG Program. The Regions also provide technical assistance to EMPG Program awardees. FEMA Regional Office contact information is available [here](#).

### Systems Information

*Grants.gov.* For technical assistance with Grants.gov, please call the [Grants.gov](#) customer support hotline at (800) 518-4726.

*Non Disaster (ND) Grants.* For technical assistance with the ND Grants system, please contact [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076.

### GPD Environmental Planning and Historic Preservation (GPD EHP)

The FEMA GPD EHP Team provides guidance and information about the EHP review process to recipients and subrecipients. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to [gpdehpinfo@fema.gov](mailto:gpdehpinfo@fema.gov). EHP Technical Assistance, including the EHP Screening Form, can be found at [http://www.fema.gov/media-library-data/20130726-1806-25045-2839/gpd\\_ehp\\_screening\\_form\\_omb\\_1660\\_0115\\_june\\_2011.pdf](http://www.fema.gov/media-library-data/20130726-1806-25045-2839/gpd_ehp_screening_form_omb_1660_0115_june_2011.pdf).

## H. Additional Information

### National Preparedness

DHS coordinates with local, state, territorial, and tribal governments as well as with other federal agencies and private and nonprofit organizations to facilitate a whole community, risk driven, and capabilities-based approach to preparedness. This approach is grounded in the identification

and assessment of risk through the THIRA. States must maintain and update their THIRAs and their SPRs annually to ensure that the community's shared understanding of risk evolves to account for changes in the risk landscape, including successful mitigation efforts, emerging threats, hazards, and associated consequences. Information on the National Preparedness System can be found in the <http://www.fema.gov/national-preparedness-system>, which is posted on the FEMA website. Additional details regarding the National Preparedness System and how it is supported by the EMPG Program can be found in [Appendix A – FY 2016 EMPG Program Priorities](#).

### **Payments**

DHS/FEMA utilizes the DHS/FEMA [Payment and Reporting System \(PARS\)](#) for financial reporting, invoicing and tracking payments.

### **Monitoring**

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

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

### **Conflict of Interest**

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

The recipient or pass-through entity must disclose to FEMA, in writing, any real or potential conflict of interest as defined by the federal, state, local, or tribal statutes or regulations or their own existing policies that may arise during the administration of the federal award. Recipients and pass-through entities must disclose any real or potential conflicts to their Regional EMPG Program Manager within five days of learning of the conflict of interest. Similarly, subrecipients must disclose any real or potential conflict of interest to the pass-through entity as required by the Recipient's conflict of interest policies, or any applicable state, local, or tribal statutes or regulations.

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

## **Extensions**

Extensions to this program are allowed. Extensions to the initial period of performance identified in the award will only be considered through formal, written requests to the recipient's respective Regional EMPG Program Analyst and must contain specific and compelling justifications as to why an extension is required. EMPG recipients are advised to coordinate with the Regional EMPG Program Analyst, as needed, when preparing an extension request. All extension requests must address the following:

- 1) Grant Program, Fiscal Year, and award number;
- 2) Reason for delay – this must include details of the legal, policy, or operational challenges being experienced that prevent the final outlay of awarded funds by the applicable deadline;
- 3) Current status of the activity/activities;
- 4) Approved period of performance termination date and new project completion date;
- 5) Amount of funds drawn down to date;
- 6) Remaining available funds, both federal and non-federal;
- 7) Budget outlining how remaining federal and non-federal funds will be expended;
- 8) Plan for completion, including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
- 9) Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work, as described in the investment justification and approved by DHS/FEMA.

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

- Contractual commitments by the grant recipient with vendors or sub-recipients prevent completion of the project within the existing Period of Performance;
- The project must undergo a complex environmental review that cannot be completed within existing Period of Performance;
- Projects are long-term by design and therefore acceleration would compromise core programmatic goals; and
- Where other special circumstances exist.

Recipients must submit all proposed extension requests to DHS/FEMA for review and approval no later than 120 days prior to the end of the period of performance. In accordance with GPD policy, extensions are typically granted for no more than a six month time period.

## FY 2016 EMPG Allocations

Emergency Management Performance Grant (EMPG) awards are based on Section 662 of the *Post-Katrina Emergency Management Reform Act of 2006*, as amended, (6 U.S.C. § 762). All 50 states, the District of Columbia, and Puerto Rico receive a base amount of 0.75 percent of the total available funding appropriated for the EMPG program. Four territories (American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) receive a base amount of 0.25 percent of the total available funding appropriated for the EMPG program. The balance of the funds appropriated for the EMPG Program funds are distributed on a population-share basis. Pursuant to Article X of the Federal Programs and Services Agreement of the *Compact of Free Association Act* (Pub. L. No. 108-188), a set amount of funds (\$100,000 total) are also available from the Disaster Relief Fund for the Federated States of Micronesia and for the Republic of the Marshall Islands.

<b>FY2016 Emergency Management Performance Grants (EMPG) Funding Allocations</b>			
<b>State/Territory</b>	<b>Allocation</b>	<b>State/Territory</b>	<b>Allocation</b>
Alabama	\$5,762,090	New Hampshire	\$3,484,077
Alaska	\$3,101,752	New Jersey	\$8,408,538
Arizona	\$7,033,385	New Mexico	\$3,971,203
Arkansas	\$4,547,810	New York	\$15,405,703
California	\$27,897,964	North Carolina	\$9,108,907
Colorado	\$6,147,913	North Dakota	\$3,113,693
Connecticut	\$4,943,374	Ohio	\$10,122,943
Delaware	\$3,235,721	Oklahoma	\$5,150,267
District of Columbia	\$3,059,009	Oregon	\$5,226,218
Florida	\$15,712,687	Pennsylvania	\$10,890,646
Georgia	\$9,219,993	Rhode Island	\$3,306,975
Hawaii	\$3,549,282	South Carolina	\$5,786,086
Idaho	\$3,693,468	South Dakota	\$3,179,251
Illinois	\$10,927,764	Tennessee	\$6,886,333
Indiana	\$6,898,846	Texas	\$20,359,810
Iowa	\$4,641,875	Utah	\$4,559,247
Kansas	\$4,504,835	Vermont	\$3,029,190
Kentucky	\$5,481,960	Virginia	\$8,037,289
Louisiana	\$5,640,547	Washington	\$7,254,374
Maine	\$3,483,250	West Virginia	\$3,815,619
Maryland	\$6,502,897	Wisconsin	\$6,351,133
Massachusetts	\$7,011,664	Wyoming	\$3,003,407
Michigan	\$9,031,286	Puerto Rico	\$4,868,027
Minnesota	\$6,169,232	U.S. Virgin Islands	\$941,870
Mississippi	\$4,556,932	American Samoa	\$910,085
Missouri	\$6,552,785	Guam	\$979,453
Montana	\$3,291,900	Northern Mariana Islands	\$908,795
Nebraska	\$3,849,232	Republic of the Marshall Islands	\$50,000
Nevada	\$4,491,408	Federated States of Micronesia	\$50,000
<b>Total</b>			<b>\$350,100,000</b>

## Appendix A - FY 2016 EMPG Program Priorities

### Alignment of the EMPG Program to the National Preparedness System

The Nation utilizes the National Preparedness System to build, sustain, and deliver core capabilities in order to achieve the [National Preparedness Goal](#) (the Goal) of “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.” The objective of the National Preparedness System is to facilitate an integrated, whole community, risk informed, capabilities-based approach to preparedness. The guidance, programs, processes, and systems that support each component of the National Preparedness System enable a collaborative, whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (<http://www.fema.gov/whole-community>).

The FY 2016 EMPG Program contributes to the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities. Core capabilities are essential for the execution of critical tasks for each of the five mission areas outlined in the Goal. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The EMPG Program’s allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas described in the Goal.

Emphasis is placed on capabilities that address the greatest risks to the security and resilience of the United States, and the greatest risks along the Nation’s borders. When applicable, funding should support deployable assets that can be utilized anywhere in the Nation through automatic assistance and mutual aid agreements, including but not limited to the Emergency Management Assistance Compact (EMAC).

The FY 2016 EMPG Program supports investments that improve the ability of jurisdictions nationwide to:

- Prevent a threatened or an actual act of terrorism;
- Protect our citizens, residents, visitors, and assets against the greatest threats and hazards;
- Mitigate the loss of life and property by lessening the impact of future disasters;
- Respond quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident; and/or
- Recover through a focus on the timely restoration, strengthening, and revitalization of infrastructure, housing, and a sustainable economy, as well as the health, social, cultural, historic, and environmental fabric of communities affected by a catastrophic incident.

The core capabilities contained in the Goal are highly interdependent and require the use of existing preparedness networks and activities, to improved training and exercise programs, innovation, and appropriate administrative, finance, and logistics systems.

Recipients will use the components of the National Preparedness System to support building, sustaining, and delivering these core capabilities. The components of the National Preparedness System are: Identifying and Assessing Risk; Estimating Capability Requirements; Building and Sustaining Capabilities; Planning to Deliver Capabilities; Validating Capabilities; and Reviewing and Updating. Additional information on the National Preparedness System is available at <http://www.fema.gov/national-preparedness-system>.

## **Reporting on the Implementation of the National Preparedness System**

### ***Identifying and Assessing Risk and Estimating Capability Requirements***

In order to qualify for EMPG Program funding, all recipients shall develop and maintain a THIRA, which informs and supports an annual SPR. A THIRA provides a comprehensive approach for identifying and assessing risks and associated impacts. It expands on existing local, tribal, territorial, and state Hazard Identification and Risk Assessments (HIRAs) and other risk methodologies by broadening the factors considered in the process, incorporating the whole community throughout the entire process, and by accounting for important community-specific characteristics. A guide on how to complete a THIRA is available at <https://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>.

In Step Four of the THIRA process, a jurisdiction should estimate the resources required to deliver the capability targets established in their THIRAs. Communities express resource requirements as a list of resources needed to successfully manage their threats and hazards. Through the capability estimation process, jurisdictions should identify the resources from across the whole community needed to meet capability targets. Each jurisdiction should decide which combination of resources is most appropriate to achieve its capability targets.

The SPR is an annual self-assessment of state preparedness submitted by the 56 states and territories to the FEMA. The *Post-Katrina Emergency Management Reform Act of 2006* (PKEMRA) requires an SPR from any state or territory receiving Federal preparedness assistance administered by the Department of Homeland Security.

### **Reporting:**

- States are required to submit an annual update to their THIRA. For FY 2016, EMPG recipients should complete THIRA, Step 4 for all Response and Recovery core capabilities, including the common core capabilities for those mission areas. States will submit their THIRA update along with their SPR through the URT and email a copy of the URT to their respective FEMA Regional Federal Preparedness Coordinator and copy [fema-spr@fema.dhs.gov](mailto:fema-spr@fema.dhs.gov). THIRA submissions shall be in alignment with CPG 201, Second Edition. State submissions of the THIRA and SPR are due no later than December 31 annually.

### ***Building and Sustaining Core Capabilities***

EMPG Program recipients should ensure that grant funding is utilized to sustain critical core capabilities within the National Preparedness System that were funded by past EMPG Program funding cycles. New capabilities should not be built at the expense of maintaining current and critically needed core capabilities. If new capabilities are being built utilizing EMPG Program

funding, recipients must ensure that the capabilities are deployable outside of their community, where applicable, to support regional and national efforts or otherwise shareable with regional partners and aligned with a capability target identified in the THIRA or a capability gap identified through the SPR.

**Reporting:**

- Recipients will be required to: (1) describe how expenditures support maintenance and sustainment of current Goal core capabilities, and (2) describe how expenditures support filling capability target gaps identified in the THIRA or the SPR and report these within the quarterly performance progress reports.

***NIMS Implementation***

Recipients receiving EMPG funding are required to implement NIMS, and EMPG funds may be used to meet the requirements described below. NIMS uses a systematic approach to integrate the best existing processes and methods into a unified national framework for incident management. Incident management refers to how incidents are managed across all homeland security activities, including prevention, protection, and response, mitigation, and recovery. FY 2016 EMPG recipients must use standardized resource management concepts for resource typing, credentialing, and an inventory to facilitate the effective identification, dispatch, deployment, tracking, and recovery of resources.

**Reporting**

- Recipients report on NIMS implementation through the SPR.

***Planning to Deliver Capabilities***

All EMPG Program recipients shall maintain, or revise as necessary, jurisdiction-wide, all threats and hazards EOPs consistent with the CPG 101 v2, which serves as the foundation for state, local, tribal, and territory emergency planning. CPG 101 v2 can be found at <https://www.fema.gov/media-library/assets/documents/25975>. Recipients must update their EOP at least once every two years.

In building future EOPs, planners should anticipate the increasing complexity and decreasing predictability of the future operating environment. These efforts should actively use strategic foresight, including the multiple driving forces of change and the associated evolving strategic needs shown in FEMA’s *Crisis Response and Disaster Resilience 2030 Report*. The Report can be found at <http://www.fema.gov/strategic-planning-analysis-spa-division/strategic-foresight-initiative>.

**Reporting**

- Recipients will report EOP compliance with CPG 101 v2 in the SPR.

***Validating Capabilities***

Recipients should develop long-term training and exercise priorities that examine, validate and/or address capability targets identified through their annual THIRA and or capability gaps identified through their annual SPR. Recipients should also review and consider areas for improvement identified from real-world events and exercises, and national areas for

improvement identified in the most recent National Preparedness Report when developing exercise priorities.

The Multi-year Training and Exercise Plan (TEP) should consider the risks and capability requirements described in the THIRA along with the guidance provided by elected and appointed officials to identify and set training and exercise program priorities and develop a multi-year schedule of exercise events and supporting training activities to meet those priorities. A TEP that is developed from a Training and Exercise Planning Workshop (TEPW) provides a roadmap to accomplish the multi-year priorities identified by elected and appointed officials and whole community stakeholders. These priorities help curriculum and exercise planners design and develop a progressive program of training and exercises that build, sustain, and increase the ability to deliver core capabilities. Information related to TEPs and TEPWs can be found on the Homeland Security Exercise and Evaluation Program (HSEEP) website at <https://www.fema.gov/exercise>.

In addition to training activities aligned to and addressed in the TEP, all EMPG Program funded personnel shall complete the following training requirements and record proof of completion: NIMS Training, Independent Study (IS) 100, IS 200, IS 700, and IS 800. In addition, personnel shall complete *either* the Independent Study courses identified in the Professional Development Series *or* the National Emergency Management Basic Academy delivered either by the Emergency Management Institute (EMI) or at a sponsored State, local, tribal, territorial, regional or other, designated location. Further information on the National Emergency Management Basic Academy and the Emergency Management Professional Program can be found at: <https://training.fema.gov/empp/>. Previous versions of the IS courses meet the NIMS training requirement. A complete list of Independent Study Program Courses may be found at <http://training.fema.gov/is>. A list of the Professional Development Series courses can be found in Appendix B.

All recipients will develop and maintain a progressive exercise program, consistent to the degree practical, HSEEP in support of the National Exercise Program (NEP). The NEP is critical to our Nation's ability to test and validate core capabilities. Grant recipients are highly encouraged to nominate exercises into the NEP. For additional information on the NEP, please refer to <http://www.fema.gov/national-exercise-program>.

Recipients shall conduct no less than four quarterly exercises (i.e., one EMPG-funded exercise and/or an exercise that includes EMPG-funded personnel per quarter) of any type (i.e., discussion-based or operations-based) and one full-scale exercise within a 12-month period. The five exercises shall be linked to common program priorities and reflect a series of increasingly complex exercises with each building upon the previous one while incorporating prior lessons learned. All EMPG-funded personnel shall participate in no fewer than three exercises in a 12-month period.

A progressive, multi-year exercise program enables organizations to participate in a series of increasingly complex exercises, with each successive exercise building upon the previous one while also taking into account prior lessons learned. Regardless of the exercise type, each

exercise within the progressive series is linked to a set of common program priorities and designed to test associated capabilities.

### **Reporting:**

- Recipients are required to develop a multi-year TEP that identifies a combination of exercises and associated training requirements that address priorities identified in the TEPW. The TEP shall be submitted to [hseep@fema.dhs.gov](mailto:hseep@fema.dhs.gov) 90 days after the completion of the TEPW. States are encouraged to post their training and exercise schedules to the National Exercise Scheduling System (NEXS) at <https://www.fema.gov/exercise>.
- Recipients should provide a list of completed training courses and exercises and the Training and Exercise Data Table to be included in the Quarterly Performance Progress Report.
- Recipients must include the percent completion of the TEP outlined in the FY 2016 EMPG Program Work Plan to be included in the Quarterly Performance Progress Report.
- In order to report on the required exercises, recipients can either submit one After Action Report/Improvement Plan (AAR/IP) for the culminating full-scale exercise from all 5 exercises conducted within a 12-month period; or individual AAR/IPs for each of the 5 exercises to [hseep@fema.dhs.gov](mailto:hseep@fema.dhs.gov), and the appropriate Regional EMPG Program Manager no later than 90 days after completion of the exercise. In accordance with HSEEP guidance recipients are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise cycle. Recipients are encouraged to use the HSEEP AAR/IP template located at <https://www.fema.gov/exercise> and utilize the Corrective Action Program (CAP) System at <https://hseep.dhs.gov/caps/>, as a means to track the implementation of corrective actions listed in the AAR/IP.

If a state/territory/local jurisdiction has experienced a major disaster, and would like to request exemptions for a scheduled exercise, the recipient should send this request to its assigned FEMA Regional EMPG Program Manager through the Quarterly Performance Progress Report. Exemptions will be reviewed on a case-by-case basis by the Regional EMPG Program Manager.

### ***Reviewing and Updating***

On a recurring basis, capability levels, resources, and plans should be reviewed to determine if they remain relevant or need to be updated. This review should be based on a current risk assessment and utilize information gathered during the capability validation process. These reviews will provide a means to determine priorities, direct preparedness actions, and calibrate goals and objectives.

### **Additional considerations**

#### ***Strengthening Governance Integration***

DHS/FEMA preparedness grant programs are intended to support the core capabilities across the five mission areas of Prevention, Protection, Mitigation, Response, and Recovery that are necessary to prepare for incidents that pose the greatest risk to the Nation's security. Each

program reflects the Department's intent to build and sustain an integrated network of national capabilities across all levels of government and the whole community. Disparate governance structures must be integrated and refined to ensure resources are targeted to support the most critical needs of a community based on risk driven, capabilities-based planning. Strong and inclusive governance systems better ensure that disparate funding streams are coordinated and applied for maximum impact.

DHS/FEMA requires that all governance processes that guide the allocation of preparedness grant funds adhere to the following guiding principles:

- *Coordination of Investments* – resources must be allocated to address the most critical capability needs as identified in their SPR and coordinated among affected preparedness stakeholders.
- *Transparency* – stakeholders must be provided visibility on how preparedness grant funds are allocated and distributed, and for what purpose.
- *Substantive Local Involvement* – the tools and processes that are used to inform the critical priorities, which DHS/FEMA grants support must include local government representatives. At the state and regional levels, local risk assessments must be included in the overarching analysis to ensure that all threats and hazards are accounted for.
- *Flexibility with Accountability* – recognition of unique preparedness gaps at the local level, as well as maintaining and sustaining existing capabilities.
- *Support of Regional Coordination* – recognition of inter/intra-state partnerships and dependencies at the state and regional levels, and within metropolitan areas.

## **Appendix B – FY 2016 EMPG Funding Guidelines**

### **Allowable Costs**

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

M&A activities are those defined as directly relating to the management and administration of EMPG Program funds, such as financial management and monitoring. It should be noted that salaries of state and local emergency managers are not typically categorized as M&A, unless the state or local EMA chooses to assign personnel to specific M&A activities.

If the SAA is not the EMA, the SAA is not eligible to retain funds for M&A. M&A costs are allowable for both state and local-level EMAs. The state EMA may use up to five percent (5%) of the EMPG award for M&A purposes. In addition, local EMAs may retain and use up to five percent (5%) of the amount received from the state for local M&A purposes.

#### **Indirect Costs**

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

#### **Planning**

Planning spans all five National Preparedness Goal (the Goal) mission areas and provides a baseline for determining potential threats and hazards, required capabilities, required resources, and establishes a framework for roles and responsibilities. Planning provides a methodical way to engage the whole community in the development of a strategic, operational, and/or community-based approach to preparedness.

EMPG Program funds may be used to develop or enhance emergency management planning activities. Some examples include:

- Development of THIRA and SPR
- Development of an all-hazards mitigation plan based on identified risks and hazards

#### **Emergency Management/Operation Plans**

- Maintaining a current EOP that is aligned with guidelines set out in CPG 101v.2 <https://www.fema.gov/media-library/assets/documents/25975>
- Modifying existing incident management and emergency operations plans
- Developing/enhancing large-scale and catastrophic event incident plans

#### **Communications Plans**

- Developing and updating Statewide Communication Interoperability Plans
- Developing and updating Tactical Interoperability Communications Plans

### Continuity/Administrative Plans

- Developing/enhancing Continuity of Operation (COOP)/Continuity of Government (COG) plans
- Developing/enhancing financial and administrative procedures for use before, during, and after disaster events in support of a comprehensive emergency management program

### Whole Community Engagement/Planning

- Developing/enhancing emergency operations plans to integrate citizen/volunteer and other non-governmental organization resources and participation
- Engaging the whole community in public education and awareness activities such as America's PrepareAthon!—The America's PrepareAthon! website, [ready.gov/prepare](http://ready.gov/prepare), includes customizable promotional materials and easy-to-use resources)
- Planning to foster public-private sector partnerships, including innovation for disasters initiatives that support the mission areas identified in the Goal
- Executing an America's PrepareAthon! activity to engage the whole community in a hazard-specific activity on the National Day of Action
- Establishing a Citizen Corps Whole Community Council that brings together representatives of the whole community to provide input on emergency operations plans, risk assessments, mitigation plans, alert and warning systems, and other plans; assist in outreach and education of community members in preparedness activities; and build volunteer capability to support disaster response and recovery
- Delivering the CERT Basic Training Course and supplemental training for CERT members who have completed the basic training, the CERT Train-the-Trainer Course, and the CERT Program Manager course (strongly encouraged)
- Developing or enhancing mutual aid agreements/compacts, including required membership in EMAC
- Information on Citizen Corps Whole Community Councils and CERT programs can be found at: <http://www.ready.gov/citizen-corps> for Citizen Corps Whole Community Councils and at <http://www.fema.gov/community-emergency-response-teams> for CERT Programs.
- Other preparedness activities include Youth Preparedness programs that support practitioners as they create and run programs in their communities. Resources are available at [www.ready.gov/youth-preparedness](http://www.ready.gov/youth-preparedness). The Youth Preparedness Catalogue. The catalogue describes national, regional, and state-level programs. <http://www.fema.gov/media-library/assets/documents/94775>. For more information on the Council please visit: [www.ready.gov/youth-preparedness-council](http://www.ready.gov/youth-preparedness-council).

### Resource Management Planning

- Developing/enhancing logistics and resource management plans
- Developing/enhancing volunteer and/or donations management plans
- Acquiring critical emergency supplies such as: shelf stable food products, water, and/or basic medical supplies. Acquisition of critical emergency supplies requires

each state to have FEMA's approval of a five-year viable inventory management plan if planned grant expenditure is over \$100,000; an effective distribution strategy; sustainment costs for such an effort

#### Evacuation planning

- Developing/enhancing evacuation plans, including plans for: alerts/warning, crisis communications, pre-positioning of equipment for areas potentially impacted by mass evacuations, sheltering, and re-entry.

#### Recovery Planning

- Disaster housing planning, such as creating/supporting a state disaster housing task force and developing/enhancing state disaster housing plans
- Pre-event response/recovery/mitigation plans in coordination with state, local, and tribal governments
- Developing/enhancing other response and recovery plans
- Developing recovery plans and preparedness programs consistent with the principles and guidance in the National Disaster Recovery Framework (NDRF) that will provide the foundation for recovery programs and whole-community partnerships. Preparedness and pre-disaster planning was given special attention within the NDRF with specific guidance: *Planning for a Successful Disaster Recovery* (pages 63-70).

For more information on the NDRF see

<http://www.fema.gov/pdf/recoveryframework/ndrf.pdf> and

[http://www.fema.gov/media-library-data/1423604728233-](http://www.fema.gov/media-library-data/1423604728233-1d76a43cabf1209678054c0828bbe8b8/EffectiveCoordinationofRecoveryResourcesGuide020515vFNL.pdf)

[1d76a43cabf1209678054c0828bbe8b8/EffectiveCoordinationofRecoveryResourcesGuide020515vFNL.pdf](http://www.fema.gov/media-library-data/1423604728233-1d76a43cabf1209678054c0828bbe8b8/EffectiveCoordinationofRecoveryResourcesGuide020515vFNL.pdf)

#### Federal (and Mutual Aid) Emergency Response Official (F/ERO) Credentialing and Validation

- Working group meetings and conferences relating to emergency responder credentialing and validation
- Compiling data to enter into an emergency responder repository
- Coordinating with other state, local, territorial, and tribal partners to ensure interoperability among existing and planned credentialing and validation systems and equipment
- Planning to incorporate emergency responder identity and credential validation into training and exercises.

#### Organization

Per the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, as amended, (42 U.S.C. §§ 5121-5207), EMPG Program funds may be used for all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management, including hazard mitigation staffing of the State Hazard Mitigation Officer (SHMO) position; staffing CERT and Citizen Corps positions at the state and local levels in order to promote whole community engagement in all phases of emergency management; performing close-out activities on FEMA Disaster Assistance grants; staffing permanent technical advisors on children's needs at the state, local, tribal and territorial levels and supporting fusion center analysts who are directly involved in all-hazards preparedness activities

as defined by the Stafford Act. Proposed staffing activities should be linked to accomplishing the activities outlined in the EMPG Program Work Plan. Recipients are encouraged to fund at least one dedicated Planner, Training Officer, and Exercise Officer.

Personnel costs, including salary, overtime, compensatory time off, and associated fringe benefits, are allowable costs with EMPG Program funds. These costs must comply with 2 C.F.R. Part 200, Subpart E – Cost Principles.

### **Equipment**

Allowable equipment categories for the EMPG Program are listed on the web-based version of the Authorized Equipment List (AEL) at <https://www.fema.gov/authorized-equipment-list>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or FEMA-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

Allowable equipment includes equipment from the following AEL categories:

- Personal Protective Equipment (PPE) (Category 1)
- Information Technology (Category 4)
- Cybersecurity Enhancement Equipment (Category 5)
- Interoperable Communications Equipment (Category 6)
- Detection Equipment (Category 7)
- Power Equipment (Category 10)
- Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) Reference Materials (Category 11)
- CBRNE Incident Response Vehicles (Category 12)
- Physical Security Enhancement Equipment (Category 14)
- CBRNE Logistical Support Equipment (Category 19)
- Other Authorized Equipment (Category 21)

In addition to the above, general purpose vehicles are allowed to be procured in order to carry out the responsibilities of the EMPG Program. If recipients have questions concerning the eligibility of equipment not specifically addressed in the AEL, they should contact their Regional EMPG Program Manager for clarification.

Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Large equipment purchases must be identified and explained. For more information regarding property management standards for equipment, please reference 2 C.F.R. Part 200, including 2 C.F.R. §§ 200.310, 200.313, and 200.316.

### **Controlled Equipment**

Grant funds may be used for the purchase of Controlled Equipment, however, because of the nature of the equipment and the potential impact on the community, there are additional and

specific requirements in order to acquire this equipment. Refer to Information Bulletin 407 *Use of Grant Funds for Controlled Equipment* for the complete *Controlled Equipment List*, information regarding the *Controlled Equipment Request Form*, and a description of the specific requirements for acquiring controlled equipment with DHS/FEMA grant funds. For additional information on controlled equipment refer to [Executive Order \(EO\) 13688 Federal Support for Local Law Enforcement Equipment Acquisition](#), and the [Recommendations Pursuant to Executive Order 13688](#).

### **Requirements for Small Unmanned Aircraft System**

All requests to purchase Small Unmanned Aircraft System (SUAS) with FEMA grant funding must also include the policies and procedures in place to safeguard individuals' privacy, civil rights, and civil liberties of the jurisdiction that will purchase, take title to, or otherwise use the SUAS equipment, see Presidential Memorandum: [Promoting Economic Competitiveness While Safeguarding Privacy, Civil Rights, and Civil Liberties, in Domestic Use of Unmanned Aircraft Systems](#), issued February 20, 2015.

### **Training**

EMPG Program funds may be used for a range of emergency management-related training activities to enhance the capabilities of state and local emergency management personnel through the establishment, support, conduct, and attendance of training. Training activities should align to a current, Multi-Year TEP developed through an annual TEPW. Further guidance concerning the TEP and the TEPW can be found at <http://www.fema.gov/exercise>. Training should foster the development of a community oriented approach to emergency management that emphasizes engagement at the community level, strengthens best practices, and provides a path toward building sustainable resilience.

EMPG Program funds used for training should support the nationwide implementation of NIMS. The NIMS Training Program establishes a national curriculum for NIMS and provides information on NIMS courses; recipients are encouraged to place emphasis on the core competencies as defined in the NIMS Training Program. The NIMS Training Program can be found at <http://www.fema.gov/training-0>.

The NIMS *Guideline for Credentialing of Personnel* provides guidance on the national credentialing standards. The NIMS Guidelines for Credentialing can be found at <http://www.fema.gov/nims-doctrine-supporting-guides-tools>.

Professional Development Series courses include:

- IS-120.a An Introduction to Exercises
- IS-230.d Fundamentals of Emergency Management
- IS-235.b Emergency Planning
- IS-240.b Leadership and Influence
- IS-241.b Decision Making and Problem Solving
- IS-242.b Effective Communication
- IS-244.b Developing and Managing Volunteers

To ensure the professional development of the emergency management workforce, the recipients must ensure a routine capabilities assessment is accomplished and a TEP is developed and implemented.

For additional information on review and approval requirements for training courses funded with preparedness grants please refer to the following policy: [http://www.fema.gov/media-library-data/1115d44e06367bb89510aafbe79c1875/FINAL\\_GPD+Training+Three+for+Free+Policy\\_09+10+13.pdf](http://www.fema.gov/media-library-data/1115d44e06367bb89510aafbe79c1875/FINAL_GPD+Training+Three+for+Free+Policy_09+10+13.pdf).

Additional types of training or training related activities include, but are not limited to, the following:

- Developing/enhancing systems to monitor training programs
- Conducting all hazards emergency management training
- Attending Emergency Management Institute (EMI) training or delivering EMI train-the-trainer courses
- Attending other FEMA-approved emergency management training
- State-approved, locally-sponsored CERT training
- Mass evacuation training at local, state, and tribal levels

Allowable training-related costs include the following:

- ***Funds Used to Develop, Deliver, and Evaluate Training.*** This includes costs related to administering the training: planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the Multi-year TEP and addressed in the training cycle. States are encouraged to use existing training rather than developing new courses. When developing new courses states are encouraged to apply the Analysis Design Development and Implementation Evaluation (ADDIE) model for instruction design.
- ***Overtime and Backfill.*** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at FEMA and/or approved training courses and programs are allowable. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or FEMA, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- ***Travel.*** Travel costs (e.g., airfare, mileage, per diem, and hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.

- ***Hiring of Full or Part-Time Staff or Contractors/Consultants.*** Full or part-time staff or contractors/consultants may be hired to support direct training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the state or unit(s) of local government and have the approval of the state or FEMA, whichever is applicable.
- ***Certification/Recertification of Instructors.*** Costs associated with the certification and re-certification of instructors are allowed. States are encouraged to follow the FEMA Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses which involve training of trainers.

## **Exercises**

Allowable exercise-related costs include:

- ***Funds Used to Design, Develop, Conduct and Evaluate an Exercise.*** This includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. Recipients are encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Exercises should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Gaps identified during an exercise including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the exercise cycle.
- ***Hiring of Full or Part-Time Staff or Contractors/Consultants.*** Full or part-time staff may be hired to support direct exercise activities. Payment of salaries and fringe benefits must be in accordance with the policies of the state or unit(s) of local government and have the approval of the state or FEMA, whichever is applicable. The services of contractors/consultants may also be procured to support the design, development, conduct and evaluation of exercises.
- ***Overtime and Backfill.*** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or FEMA, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- ***Travel.*** Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise activities.
- ***Supplies.*** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise activities (e.g., gloves, non-sterile masks, and disposable protective equipment).
- ***Implementation of HSEEP.*** This refers to costs related to developing and maintaining an exercise program consistent with HSEEP.

- **Other Items.** These costs are limited to items consumed in direct support of exercise activities such as the rental of space/locations for planning and conducting an exercise, rental of equipment, and the procurement of other essential nondurable goods. Recipients are encouraged to use free public space/locations, whenever available, prior to the rental of space/locations. Costs associated with inclusive practices and the provision of reasonable accommodations and modifications that facilitate full access for children and adults with disabilities are allowable.

**Unauthorized** exercise-related costs include:

- Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles) and emergency response apparatus (e.g., fire trucks, ambulances). The only vehicle costs that are reimbursable are fuel/gasoline or mileage.
- Equipment that is purchased for permanent installation and/or use, beyond the scope of exercise conduct (e.g., electronic messaging signs)
- Durable and non-durable goods purchased for installation and/or use beyond the scope of exercise conduct

### **Construction and Renovation**

Construction and renovation projects for a state, local, territorial, or Tribal government's principal Emergency Operations Center (EOC) as defined by the SAA are allowable under the EMPG Program.

Written approval must be provided by FEMA prior to the use of any EMPG Program funds for construction or renovation. Requests for EMPG Program funds for construction of an EOC must be accompanied by an EOC Investment Justification (FEMA Form 089-0-0-3; OMB Control Number 1660-0124 ([http://www.fema.gov/pdf/government/grant/2011/fy11\\_eoc\\_inv.pdf](http://www.fema.gov/pdf/government/grant/2011/fy11_eoc_inv.pdf))) to their Regional EMPG Program Manager for review. Additionally, recipients are required to submit a SF-424C Budget and Budget detail citing the project costs.

When applying for funds to construct communication towers, recipients and subrecipients must submit evidence that the Federal Communication Commission's (FCC) Section 106 review process has been completed and submit all documentation resulting from that review to GPD prior to submitting materials for EHP review. Recipients and subrecipients are also encouraged to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects, compliance with all state and EHP laws and requirements). Projects for which the recipient believes an Environmental Assessment (EA) may be needed, as defined in 44 C.F.R. § 10.8, must also be identified to the FEMA EMPG Regional Program Manager within six months of the award and completed EHP review materials must be submitted no later than 12 months before the end of the period of performance. EHP review packets should be sent to [gpdehpinfo@fema.gov](mailto:gpdehpinfo@fema.gov).

EMPG Program recipients using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. §§ 3141 *et seq.*). Grant recipients must ensure that their contractors or subcontractors for construction projects pay workers no less than the prevailing wages for

laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the state in which the work is to be performed. Additional information regarding compliance with the *Davis-Bacon Act*, including Department of Labor (DOL) wage determinations, is available from the following website:

<http://www.dol.gov/compliance/laws/comp-dbra.htm>.

### **Maintenance and Sustainment**

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active grant awards, unless otherwise noted.

EMPG Program grant funds are intended to support the Goal and fund activities and projects that build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide recipients the ability to meet this objective, the policy set forth in [GPD's IB 379](#) (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding) allows for the expansion of eligible maintenance and sustainment costs, which must be in: (1) direct support of existing capabilities; (2) must be an otherwise allowable expenditure under the applicable grant program; (3) be tied to one of the core capabilities in the five mission areas contained within the Goal, and (4) shareable through the EMAC. Additionally, eligible costs may also be in support of equipment, training, and critical resources that have previously been purchased with either federal grant funding or any other source of funding other than DHS/FEMA preparedness grant program dollars. Additional guidance is provided in FEMA Policy FP 205-402-125-1, *Maintenance Contracts and Warranty Coverage Funded by Preparedness Grants*, located at: <http://www.fema.gov/media-library/assets/documents/32474>.

### **Unallowable Costs**

- **Prohibited Equipment:** Grant funds may not be used for the purchase of Prohibited Equipment. Refer to Information Bulletin 407 *Use of Grant Funds for Controlled Equipment* for the complete *Prohibited Equipment List*. For additional information on Prohibited Equipment see [Executive Order \(EO\) 13688 Federal Support for Local Law Enforcement Equipment Acquisition](#), and the [Recommendations Pursuant to Executive Order 13688](#).
  - Expenditures for weapons systems and ammunition
  - Costs to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities
  - Activities and projects unrelated to the completion and implementation of the EMPG Program

In general, recipients should consult with their EMPG Regional Program Manager prior to making any investment that does not clearly meet the allowable expense criteria established in this Guidance.

## **Appendix C – FY 2016 EMPG Program Work Plan**

### **EMPG Program Work Plan Instructions**

All EMPG Program applicants are encouraged to use the templates to submit a required Work Plan that outlines the state's emergency management sustainment and enhancement efforts, including new and ongoing activities and projects, proposed for the EMPG Program period of performance. The Work Plan consists of a Program and Budget Narrative, Personnel Data Table, Training Data Table, Exercise Data Table, and Grant Activities Outline. EMPG Regional Program Managers will work closely with states to monitor Work Plans during the performance period and may request further documentation from the recipients to clarify the projected work plan. In addition, EMPG Regional Program Managers must approve final Work Plans before states may draw down EMPG Program funds. Grant funds will be released upon approval of the state's final Work Plan.

### **Program and Budget Narrative**

Provide a brief description of the state emergency management priorities and initiatives that will be addressed with EMPG Program funds. In addition, the narrative should address the following:

- Overview of the state's risk profile resulting from the current THIRA
- Areas of need identified through assessment processes such as the SPR, Emergency Management Accreditation Program Assessment Process, National Emergency Communications Plan Goal Assessments, or other emergency management assessment processes
- Baseline inventory of where states are now relative to goals and objectives identified in relevant strategic plans per CPG 101 v.2
- State emergency management priorities and planning focus for current budget year (including linkage to the core capabilities identified in the Goal)
- Detailed Budget Narrative justifying the requested funding for the identified Work Plan activities
- Description of how projects and programmatic activities support the building or sustainment of the core capabilities as outlined in the Goal

### **Personnel Data Table**

To facilitate consistent data reporting and performance measures collection, a Personnel Data Table should be completed for state, local, tribal and territory (SLTT) personnel supported with EMPG Program funds. This will assist in documenting the extent to which EMPG Program funding supports personnel at the state-level. Submit this template with the EMPG Program Work Plan and a roster of EMPG-funded personnel. The roster of EMPG-funded personnel should be updated only if numbers change more than 10 percent during the award period of performance.

## Personnel Data Table Template

Personnel Metrics	Data
EMPG Program funds (Federal and match) allocated towards state emergency management personnel	
EMPG Program funds (Federal and match) allocated towards non-state emergency management personnel (local, Tribal, territories)	
Total Number of state emergency management full-time equivalent (FTE) personnel (including those supported and not supported by the EMPG Program)	
Number of state emergency management full-time equivalent (FTE) personnel supported (fully or partially) by the EMPG Program	
Total Number of state, local, Tribal and territory (SLTT) emergency management personnel supported (fully or partially) by the EMPG Program	

### Personnel Data Table Definitions

Line 1 – All EMPG Program funds (Fed & match) allocated for state emergency management personnel

Line 2 – All EMPG Program funds (Fed & match) allocated towards non-state emergency management personnel (Local, Tribal, Territories)

Line 3 – Total Number of state emergency management full-time equivalent (FTE) personnel (including those supported and not supported by the EMPG Program)

Line 4 – Number of state emergency management full-time equivalent (FTE) personnel supported by the EMPG Program

Line 5 – Total Number of state and local emergency management personnel funded (fully or partially) by the EMPG Program. This number provides the "Universe" number for the Training & Exercise templates

### Training Data Table

To facilitate consistent data reporting and performance measures collection, a Training Data Table should be completed for training courses that meet the EMPG reporting requirements. This template should reflect training activities outlined in the Multi-Year TEP and completion of EMPG Program training requirements. EMPG Program funded personnel should complete the listed training requirements and record proof of completion.

**Training Data Table Template**

Name of Training	EMPG Required Training? (Y/N)	Number of Personnel Trained	Total # of SLTT EMPG Funded Personnel	Total # of SLTT EMPG Funded Personnel that completed the Course	Training Identified in TEP (Y/N)

**Training Data Table Definitions:**

Col 1 – Name of Training

Col 2 – Is the course required of EMPG-funded personnel?

Col 3 – # of Personnel Trained

Col 4 – Total # of SLTT EMPG Funded Personnel (Universe)

Col 5 – Total # of SLTT EMPG Funded Personnel that completed the Course

Col 6 – Is the training identified in the multi-year TEP?

**Exercise Data Table**

To facilitate consistent data reporting and performance measure collection, an Exercise Data Table should be completed for any exercises that meet EMPG requirements and/or exercises conducted in whole or part with EMPG funds. Recipients shall conduct no less than four quarterly exercises and one full-scale exercise within a 12-month period. The five exercises shall be linked to common program priorities and reflect a progressive exercise series of increasingly complex exercises with each building upon the previous one while incorporating prior lessons learned. The exercises should be part of the recipient’s progressive exercise program and outlined in the Multi-year TEP. EMPG Program funded personnel shall participate in no less than three exercises.

**Exercise Data Table Template**

Name/ Description of Exercise	Date Exercise Scheduled/ Completed	Type of Exercise	Total # of SLTT EMPG Funded Personnel	Number of SLTT EMPG Program Funded Personnel Participating in Exercise

## Exercise Data Table Definitions:

Col 1 – Name/Description of Exercise

Col 2 – Date of exercise

Col 3 – Type of exercise (e.g., seminar, workshop, tabletop, games, drills, functional, and/or full-scale)

Col 4 – Total # of SLTT EMPG Funded Personnel (Universe)

Col 5 – Total # of SLTT EMPG Funded Personnel Participating in Exercise

## Grant Activities Outline

To facilitate performance measures and focus on outcomes, an EMPG Program Grant Activities Outline should be completed for activities supported with FY 2016 EMPG Program funds (including construction and renovation projects). The data outlined in this template will be used to evaluate the timely completion of planned emergency management activities. Recipients are encouraged to complete a separate Grant Activities Outline for each Emergency Management Function (EMF). Quarterly training activities should be reported against EMF #13, “Training,” and quarterly exercise activities should be reported against EMF #14, “Exercises, Evaluations and Corrective Actions.” Recipients should complete a template as shown on the next page and address the following areas:

- **EMF Number.** Identify how the grant activities relate to the EMFs outlined in the September 2013 version of the Emergency Management Accreditation Program (EMAP) Standard (e.g. Resource Management, Communications and Warning, etc.) The link to the EMAP 2013 Standard is at <http://www.emap.org/index.php/what-is-emap/the-emergency-management-standard>
- **Name of Planned Project.** Provide a descriptive name of each planned project. Examples include “Development of Emergency Function Annexes”, “Development of Earthquake Scenario Loss Estimations”, “Implementation of Statewide Interoperability Plan”, “NIMS Training for Emergency Management Personnel”, “Development of Emergency Preparedness Plan for Individuals with Disabilities”, etc.
- **Project Objective.** Briefly explain the major objective of the project, including how the project will address gaps identified through various assessments conducted.
- **Core Capability Addressed.** Briefly describe which of the 32 core capabilities (multiple can be selected) the project addresses.
- **Performance Measure and Basis of Evaluation.** Indicate the performance measure that will be used to evaluate this project.

- **Challenges/Risks.** Identify any challenges to implementing this project or any of its activities.
- **Quarterly Activity.** Break each project down into quarterly activities. For each quarter, briefly identify the activities that will accomplish the planned project. This information will provide the foundation for the second component of the Quarterly Performance Progress Report.
- **Step.** Provide the status of planned quarterly activities (Initiate, Plan, Execute, Control, and Closeout).
- **Comments.** Briefly describe the reason for the project status and provide other comments as needed. Include the number of training sessions funded and the number of personnel trained in this section.

### Grant Activities Outline - Template

Name of Planned Project:			
Project Objective:			
Core Capabilities Addressed:			
Performance Measure and Basis of Evaluation:			
Challenges/Risks:			
1 <sup>st</sup> Quarter Activity (10/1/15-12/31/15)	Planned Activities:	Step:	Comments:
2 <sup>nd</sup> Quarter Activity (1/1/16-3/31/16)	Planned Activities:	Step:	Comments:
3 <sup>rd</sup> Quarter Activity (4/1/16-6/30/16)	Planned Activities:	Step:	Comments:
4 <sup>th</sup> Quarter Activity (7/1/16-9/30/16)	Planned Activities:	Step:	Comments:
5 <sup>th</sup> Quarter Activity (10/1/16-12/31/16)	Planned Activities:	Step:	Comments:
6 <sup>th</sup> Quarter Activity (1/1/17-3/31/17)	Planned Activities:	Step:	Comments:
7 <sup>th</sup> Quarter Activity (4/1/17-6/30/17)	Planned Activities:	Step:	Comments:
8 <sup>th</sup> Quarter Activity (7/1/17-9/30/17)	Planned Activities:	Step:	Comments:

### Project Management Lifecycle

Steps	Description	Process
Initiate	The authorization to begin work or resume work on any particular activity	Involves preparing for, assembling resources and getting work started. May apply to any level, e.g. program, project, phase, activity, task.

Plan	The purposes of establishing, at an early date, the parameters of the project that is going to be worked on as well as to try to delineate any specifics and/or any peculiarities to the project as a whole and/or any specific phases of the project.	Involves working out and extending the theoretical, practical, and/or useful application of an idea, concept, or preliminary design. This also involves a plan for moving a project concept to a viable project.
Execute	The period within the project lifecycle during which the actual work of creating the project's deliverables is carried out.	Involves directing, accomplishing, managing, and completing all phases and aspects of work for a given project.
Control	A mechanism which reacts to the current project status in order to ensure accomplishment of project objectives. This involves planning, measuring, monitoring, and taking corrective action based on the results of the monitoring.	Involves exercising corrective action as necessary to yield a required outcome consequent upon monitoring performance. Or, the process of comparing actual performance with planned performance, analyzing variances, evaluating possible alternatives, and taking appropriate correct action as needed.
Close Out	The completion of all work on a project. Can also refer to completion of a phase of the project.	Involves formally terminating and concluding all tasks, activities, and component parts of a particular project, or phase of a project