

SENT ON BEHALF OF KEVIN DAVIS, DIRECTOR
Governor's Office of Homeland Security and Emergency Preparedness

Congratulations, GOHSEP is pleased to announce the local agency awards for the Fiscal Year (FY) 2013 Emergency Management Performance Grant (EMPG).

As detailed on the attached Grant Award Sheet, your agency is conditionally awarded FY 2013 EMPG funding until acceptance and completion of required grant special conditions have been satisfied. The performance period for this grant award is October 1, 2012 through May 31, 2014.

Please review all grant award information carefully and thoroughly.

The attached Grant Award Package includes the following:

- Grant Award Sheet (Document Must be Signed on Page 1 and Returned to GOHSEP)
 - Includes 3 Total Pages, with Special Conditions.
- Applicant Designated Point of Contact/FFATA Reporting Form (Document Must be Signed and Returned to GOHSEP)
 - Includes details of the FFATA reporting requirements.
- Federal Grant Agreement Articles (Document Must be Signed on Page 4 and Returned to GOHSEP)
 - Includes all Federal Grant Terms and Conditions.

All documents listed above must be completed and returned to your designated Homeland Security Grant Specialist by **October 30, 2013**.

Additionally, we have attached the Funding Opportunity Announcement (FOA), which includes the FY 2013 EMPG Federal Grant Guidance.

To assist your agency in tracking grant deadlines and requirements, we have included a FY 2013 EMPG Checklist, which can be placed in your grant file to refer to throughout the grant process.

Once all special conditions have been satisfied, your HLS Grant Specialist will notify you and begin to review the FY 2013 EMPG Project Application Forms and the procedures to seek reimbursement.

In order to better serve our applicants, our Homeland Security Grant staff will facilitate a conference call on **Wednesday, August 28, 2013 at 10:00 a.m.** to review the FY 2013 EMPG requirements and answer questions. Conference Call Information is listed below:

Conference Call Phone Number: (225) 358-5515
4 - Digit Code: 8031
6 - Digit Pin: 818250

Thank you for your commitment towards emergency management activities and I look forward to our continued partnership.

Respectively,
Kevin Davis



**GOVERNOR'S OFFICE OF HOMELAND SECURITY
AND EMERGENCY PREPAREDNESS
STATE OF LOUISIANA**



GRANT AWARD SHEET

1. APPLICANT NAME AND ADDRESS (INCLUDING ZIP CODE) Legal Entity Name Authorized Representative Address City, State Zip	3. GRANT AWARD NUMBER EMW-2013-EP-00062-S01
	4. CFDA NUMBER 97.042
	5. ACTION INITIAL GRANT AWARD
2. GRANT TITLE Emergency Management Performance Grant - Fiscal Year 2013	6. AWARD DATE ????
	7. GOHSEP GRANT SPECIALIST HLS Specialist 225-???-???? email@la.gov

SECTION I. GRANT AWARD AMOUNT	8. GRANT AWARD AMOUNT \$0.00
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SECTION II. GRANT PERFORMANCE PERIOD

9. GRANT PERFORMANCE PERIOD
BEGIN DATE <u>10/1/2012</u> END DATE <u>5/31/2014</u>

SECTION III. GRANT AWARD SPECIAL CONDITIONS

10. SPECIAL CONDITIONS

The above named grant and related award package is conditionally awarded to your agency subject to your agency's acceptance of 1) special conditions as set forth by GOHSEP and 2) federal grant agreement articles. Additionally all applicants must be in compliance with the federal grant guidance issued for this award. See attached grant agreement articles and grant guidance for specific details.

Please make sure you read and understand the special conditions, articles and guidance as they outline the terms and conditions of your grant award. A copy of these documents should be maintained for your official file.

This grant award is 100% federal funding. The Applicant is not required to provide either in-kind match or cash match.

Before you request and receive any of the federal grant funds awarded to your agency, you must establish acceptance of the grant by satisfying the following:

- 1) to establish acceptance of the grant, special conditions and grant agreement articles, please sign and date both the Grant Award Sheet (page 1) and attached grant agreement articles (page 5),
- 2) complete the designated applicant point of contact/FFATA reporting requirement form and return to your GOHSEP Homeland Security Grant Specialist, and

SPECIAL CONDITIONS CONTINUED ON PAGE 2.

SECTION IV. SAA AUTHORIZATION

11. TYPED NAME OF SAA OR AUTHORIZED REPRESENTATIVE Kevin Davis Director	12. SIGNATURE OF SAA OR AUTHORIZED REPRESENTATIVE / DATE  8/23/2013
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SECTION V. SUBGRANTEE ACCEPTANCE

By my signature below, I attest that I am the duly authorized representative to sign on behalf of the Applicant participating in this grant and, on behalf of the Applicant, accept and will comply with the special conditions, grant agreement articles and grant guidance, which are required for participation in this grant program.

13. PRINTED NAME/TITLE OF AUTHORIZED REPRESENTATIVE	14. SIGNATURE OF AUTHORIZED REPRESENTATIVE / DATE
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GOVERNOR'S OFFICE OF HOMELAND SECURITY
AND EMERGENCY PREPAREDNESS

STATE OF LOUISIANA

AWARD CONTINUATION SHEET



GRANT AWARD NO. EMW-2013-EP-00062-S01

CFDA NO. 97.042

AWARD DATE: 08/23/2013

SPECIAL CONDITIONS CONTINUED

A. SAA Pre-Approval of all Applicant Expenditures

All applicants must obtain approval of their project application by the SAA prior to any obligation/expenditure for equipment, training, exercise, planning, organizational and/or management & administrative projects. Failure to obtain prior approval by the SAA may result in de-obligation of funding.

B. Compliance with all SAA Established Deadlines

As established by the SAA, all applicants must meet imposed deadlines regarding grant award timelines. If extensions to the established deadlines are warranted, the applicant will be required to submit detailed justification, in which the SAA may or may not grant the extension.

C. La. R.S. 29:727

The applicant shall comply with La. R.S. 29:727, including the requirement in La. R.S. 29:727(l) that requires each Parish or Police Jury President, through the Parish Director of Homeland Security and Emergency Preparedness, to form a Parish Emergency Management Advisory Committee (PEMAC). Failure to comply with La. R.S. 29:727 for awarded grant funds may jeopardize all grant funding awarded by the SAA potentially resulting in the suspension and/or de-obligation of this award.

D. Data Collection

The applicant agrees to cooperate with any national and state; assessments, evaluation efforts, and/or data and information collection requests.

E. Compliance with Reporting Requirements

All applicants must comply with all SAA Reporting Requirements including, but not limited to, EMPG Quarterly Reports due to the SAA no later than 15 days past the last day of the quarter (i.e, Quarter 1 = 1/15/2014, Quarter 2 = 4/15/2014, Quarter 3 = 7/15/2014, and Closeout = 10/15/2014). SAA will send notices to applicants and provide reporting formats in advance.

F. Critical Emergency Supplies

Each applicant may utilize their EMPG funds for Critical Emergency Supplies, such as shelf stable food products, water, and basic medical supplies to meet the needs of first responders for the first 72 hours after a disaster or have an alternate plan in place to support first responder needs. Critical emergency supplies, such as shelf stable food products, water, and basic medical supplies are an allowable expense under this EMPG award. Prior to allocating grant funds for critical emergency supplies, applicant must have an approved viable inventory management plan, an effective distribution strategy, sustainment costs for such an effort, and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning. Approval must be received through GOHSEP Logistics.

G. Emergency Operation Plans

All applicants must submit their existing Emergency Operations Plans (EOPs) to the SAA annually. Applicants must update their EOP at least once every two years. An evaluation matrix to describe and calculate the percentage towards compliance with CPG 101 v.2 is available at <http://www.fema.gov/national-preparedness-plan>. All applicants are required to report all progress towards ensuring their EOP is compliant with CPG 101 v.2 as part of the EMPG Quarterly Report submitted to the SAA.

H. Risk Survey Requirements

In order to qualify for EMPG Program funding, all applicants shall complete an annual Risk Survey developed by the SAA.



GOVERNOR'S OFFICE OF HOMELAND SECURITY AND EMERGENCY PREPAREDNESS

STATE OF LOUISIANA

AWARD CONTINUATION SHEET



GRANT AWARD NO. EMW-2013-EP-00062-S01

CFDA NO. 97.042

AWARD DATE: 08/23/2013

SPECIAL CONDITIONS CONTINUED

I. Multi-Year Training and Exercise Plans (TEPs)

All applicants are required to develop a Multi-Year Training & Exercise Plan (TEP), and update it annually. Applicants must submit their existing TEPs to the SAA in order to be eligible for this EMPG award. Applicants may contribute to the State Multi-Year Training & Exercise Plan (TEP) to satisfy this requirement. All applicants are required to report their TEPs and/or their contribution to the State TEP as part of the EMPG Quarterly Report submitted to the SAA.

J. Exercise Requirements

- A. All applicants must develop and maintain a progressive exercise program consistent with the National Exercise Program base plan and the Homeland Security Exercise and Evaluation Program (HSEEP) guidelines. Exercise activities should align to a current, TEP developed through an annual TEPW. All applicants must report the percent completion of the progressive exercise series as part of the EMPG Quarterly Report submitted to the SAA.
B. All EMPG funded personnel must participate in no less than three exercises (of any type exercise) in a 12-month period (October 1st through September 30th). All applicants must report the percent completion of personnel participation as part of the EMPG Quarterly Report submitted to the SAA.
C. An After Action Report/Improvement Plan (AAR/IP) shall be completed for each exercise and submitted to the SAA. All applicants must report all AAR/IPs for each of the four quarterly exercises and one full-scale exercise to include a summary of all collected corrective action items and a tracking of their implementation in the EMPG Quarterly Report submitted to the SAA.

K. Training Requirements

- A. All EMPG funded personnel shall complete the following training requirements and record proof of completion:
1. National Incident Management System (NIMS) Training
IS 100
IS 200
IS 700
IS 800
2. FEMA Professional Development Series (PDS)
IS-120.A
IS 230.C
IS 235.B
IS 240.a
IS 241.a
IS 242.a
IS 244.b

Applicants must include a report of all EMPG funded personnel along with the training completed in the EMPG Quarterly Report submitted to the SAA.

L. Management and Administrative Requirements

Management and Administration (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 local emergency managers are not typically categorized as M&A, unless local Emergency Management Agency (EMA) chooses to assign personnel to specific M&A activities. The local EMAs may retain and use up to three percent (3%) of the amount received from the State for local M&A purposes.



**GOVERNOR'S OFFICE OF HOMELAND SECURITY
AND EMERGENCY PREPAREDNESS
STATE OF LOUISIANA
DESIGNATION OF
APPLICANT POINT OF CONTACT**



The Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP) requires each Applicant to designate an individual to be the Point of Contact to administer the grant award listed below. The Point of Contact is designated as the Administer of this grant award and is the only person required to submit and/or make adjustments to project applications and submit reimbursement requests and quarterly reports on behalf of the Applicant. If a change is required to the designated Point of Contact during the performance period of this grant award, a new Point of Contact Form must be completed and submitted to GOHSEP.

PARISH		GRANT TITLE	
AWARD AMT		GRANT NUMBER	

POINT OF CONTACT INFORMATION

Name (First and Last) _____

Title _____

POC Agency Name _____

Address	City	State	Zip Code
Phone Number	Email Address		

APPLICANT INFORMATION

Legal Entity Agency Name *(The Legal Entity may be different from the Applicant POC's agency name, if the POC's agency name is a department/division within the Legal Entity)* _____

Tax ID Number	DUNS Number
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APPLICANT FFATA REQUIREMENTS (Please check ONLY one)

<input type="checkbox"/>	This Agency is Exempt from the reporting requirements as defined under the Federal Funding Accountability and Transparency Act of 2006 (FFATA) (Public Law 109-282), as amended by Section 6202(a) of the Government Funding Transparency Act of 2008 (Public Law 110-252).
<input type="checkbox"/>	This Agency is NOT Exempt from the reporting requirements as defined under the Federal Funding Accountability and Transparency Act of 2006 (FFATA) (Public Law 109-282), as amended by Section 6202(a) of the Government Funding Transparency Act of 2008 (Public Law 110-252). <i>If not exempt, you are subject to completing the following FFATA Reporting Requirements below.</i>

If the FFATA conditions apply, please list the names (first and last) and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year.

<input type="checkbox"/>	This Agency does not meet the conditions to report the 5 most highly compensated officers.
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Name (First & Last)	Title	Total Compensation

SIGNATURE OF AUTHORIZED REPRESENTATIVE

By my signature below, I attest that I am the duly authorized representative to sign on behalf of the Applicant participating in this grant and, on behalf of the Applicant, I have designated the individual named above to be the Point of Contact for this grant award.

Printed Name of Authorized Representative (First and Last)	Title
Signature of Authorized Representative	Date



**GOVERNOR'S OFFICE OF HOMELAND SECURITY
AND EMERGENCY PREPAREDNESS
STATE OF LOUISIANA**



FFATA Reporting Requirements

Reporting Sub-awards and Executive Compensation

Reporting Requirements under the Federal Funding Accountability and Transparency Act of 2006 (FFATA) (Public Law 109-282), as amended by Section 6202(a) of the Government Funding Transparency Act of 2008 (Public Law 110-252).

As defined by the OMB, all new Federal awards of \$25,000.00 or more as of October 1, 2010, are subject to FFATA reporting requirements. All sub-grantees must comply with the following:

A. Reporting of first-tier sub-awards.

a. Applicability.

i. Unless you are exempt as provided in paragraph c. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a sub-award to an entity (see definitions).

ii. Where and When to Report.

(a) You must report each obligating action described in paragraph a.i. of this award term to the SAA;

(b) For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010).

iii. What to report.

(a) You must report the information about each obligating action to the SAA. The SAA will follow all submission instructions posted at <http://www.fsrs.gov>.

b. Reporting of Total Compensation of Sub-recipient Executives.

i. Applicability and what to report.

(a) Unless you are exempt as provided in paragraph c. of this award term, for each first-tier sub-recipient under this award, you shall report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if:

(i) In the sub-recipient's preceding fiscal year, the sub-recipient received:

(1) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and sub-awards); and

(2) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards);

(ii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>).

ii. Where and when to report.

(a) You must report sub-recipient executive total compensation described in paragraph c.i. of this award term:

(i) To the SAA.

(ii) By the end of the month following the month during which you make the sub-award. For example, if a sub-award is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the sub-recipient by November 30 of that year.

c. Exemptions

i. If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:



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FFATA Reporting Requirements

Reporting Sub-awards and Executive Compensation

- (a) Sub-awards; and
 - (b) The total compensation of the five most highly compensated executives of any sub-recipient
- d. Definitions. For purposes of this award term:
- i. Entity means all of the following, as defined in 2 CFR part 25:
 - (a) A Governmental organization, which is a State, local government, or Indian tribe;
 - (b) A foreign public entity;
 - (c) A domestic or foreign nonprofit organization;
 - (d) A domestic or foreign for-profit organization; and
 - (e) A Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.
 - ii. Executive means officers, managing partners, or any other employees in management positions.
 - iii. Sub-award
 - (a) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible sub-recipient.
 - (b) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").
 - (c) A sub-award may be provided through any legal agreement, including an agreement that you or a sub-recipient considers a contract.
 - iv. Sub-recipient means an entity that:
 - (a) Receives a sub-award from the SAA as the recipient under this award; and
 - (b) Is accountable to the SAA for the use of the Federal funds provided by the sub-award.
 - v. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
 - (a) Salary and bonus;
 - (b) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
 - (c) Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
 - (d) Change in Pension Value.
 - (i) This is the change in present value of defined benefit and actuarial pension plans.
 - (e) Above-market earnings on deferred compensation which is not tax-qualified.
 - (f) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.00.



U.S. Department of Homeland Security

Washington, D.C. 20472

AGREEMENT ARTICLES

Emergency Management Performance Grants

GRANTEE: Governor's Office of Homeland Security & Emergency Preparedness
PROGRAM: Emergency Management Performance Grants
AGREEMENT NUMBER: EMW-2013-EP-00062-S01

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Article I - Assurances, Administrative Requirements and Cost Principles

a. Recipients of DHS federal financial assistance must complete OMB Standard Form 424B Assurances – Non-Construction Programs. Certain assurances in this form may not be applicable to your project or program, and the awarding agency may require applicants to certify to additional assurances. Please contact the program awarding office if you have any questions.

The administrative requirements that apply to DHS award recipients originate from two sources:

- Office of Management and Budget (OMB) Circular A-102, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (also known as the "A-102 Common Rule"). These A-102 requirements are also located within DHS regulations at Title 44, Code of Federal Regulations (CFR) Part 13.
- OMB Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, relocated to 2 CFR Part 215.

b. The cost principles that apply to DHS award recipients through a grant or cooperative agreement originate from one of the following sources:

- OMB Circular A-21, Cost Principles for Educational Institutions, relocated to 2 CFR Part 220.
- OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments, relocated to 2 CFR Part 225.
- OMB Circular A-122, Cost Principles for Non-Profit Organizations, relocated to 2 CFR Part 230.

The audit requirements for State, Local and Tribal recipients of DHS awards originate from:

- OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations.

Article II - Acknowledgement of Federal Funding from DHS

All recipients must acknowledge their use of federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds.

Article III - Activities Conducted Abroad

All recipients must ensure that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.

Article IV - Best Practices for Collection and Use of Personally Identifiable Information (PII)

All award recipients who collect PII are required to have a publically-available privacy policy that describes what PII they collect, how they use the PII, whether they share PII with third parties, and how individuals may have their PII corrected where appropriate.

Award recipients may also find as a useful resource the DHS Privacy Impact Assessments:

http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_guidance_june2010.pdf and http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_template.pdf, respectively.

Article V - Copyright

All recipients must affix the applicable copyright notices of 17 U.S.C. § 401 or 402 and an acknowledgement of Government sponsorship (including award number) to any work first produced under Federal financial assistance awards, unless the work includes any information that is otherwise controlled by the Government (e.g., classified information or other information subject to national security or export control laws or regulations).

Article VI - Debarment and Suspension

All recipients must comply with Executive Orders 12549 and 12689, which provide protection against waste, fraud and abuse by debarring or suspending those persons deemed irresponsible in their dealings with the Federal government.

Article VII - Drug-Free Workplace Regulations

All recipients must comply with the Drug-Free Workplace Act of 1988 (41 U.S.C. § 701 et seq.), which requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. These regulations are codified at 2 CFR 3001.

Article VIII - Duplication of Benefits

State, Local and Tribal Recipients must comply with 2 CFR Part §225, Appendix A, paragraph (C)(3)(c), which provides that any cost allocable to a particular Federal award or cost objective under the principles provided for in this authority may not be charged to other Federal awards to overcome fund deficiencies.

Article IX - False Claims Act and Program Fraud Civil Remedies

All recipients must comply with the requirements of 31 U.S.C. § 3729 which set forth that no recipient of federal payments shall submit a false claim for payment. See also 38 U.S.C. § 3801-3812 which details the administrative remedies for false claims and statements made.

Article X - Federal Debt Status

All recipients are required to be non-delinquent in their repayment of any Federal debt. Examples of relevant debt include delinquent payroll and other taxes, audit disallowances, and benefit overpayments. See OMB Circular A-129 and form SF-424, item number 17 for additional information and guidance.

Article XI - Fly America Act of 1974

All recipients must comply with Preference for U.S. Flag Air Carriers: Travel supported by U.S. Government funds requirement, which states

preference for the use of U.S. flag air carriers (air carriers holding certificates under 49 U.S.C. § 41102) for international air transportation of people and property to the extent that such service is available, in accordance with the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. § 40118) and the interpretative guidelines issued by the Comptroller General of the United States in the March 31, 1981, amendment to Comptroller General Decision B138942.

Article XII - Hotel and Motel Fire Safety Act of 1990

In accordance with Section 6 of the Hotel and Motel Fire Safety Act of 1990, 15 U.S.C. §2225(a), all recipients must ensure that all conference, meeting, convention, or training space funded in whole or in part with Federal funds complies with the fire prevention and control guidelines of the Federal Fire Prevention and Control Act of 1974, 15 U.S.C. §2225.

Article XIII - Lobbying Prohibitions

All recipients must comply with 31 U.S.C. § 1352, which provides that none of the funds provided under an award may be expended by the recipient to pay any person to influence, or attempt to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any Federal action concerning the award or renewal.

Article XIV - Non-supplanting Requirement

All recipients must ensure that Federal funds do not replace (supplant) funds that have been budgeted for the same purpose through non-Federal sources. Applicants or award recipients may be required to demonstrate and document that a reduction in non-Federal resources occurred for reasons other than the receipt of expected receipt of Federal funds.

Article XV - Trafficking Victims Protection Act of 2000

All recipients of financial assistance will comply with the requirements of the government-wide award term which implements Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. § 7104), located at 2 CFR Part 175. This is implemented in accordance with OMB Interim Final Guidance, Federal Register, Volume 72, No. 218, November 13, 2007.

In accordance with the statutory requirement, in each agency award under which funding is provided to a private entity, Section 106(g) of the TVPA, as amended, requires the agency to include a condition that authorizes the agency to terminate the award, without penalty, if the recipient or a subrecipient —

- (a) Engages in severe forms of trafficking in persons during the period of time that the award is in effect;
- (b) Procures a commercial sex act during the period of time that the award is in effect; or
- (c) Uses forced labor in the performance of the award or subawards under the award.

Full text of the award term is provided at 2 CFR § 175.15.

Article XVI - USA Patriot Act of 2001

All recipients must comply with the requirements of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA PATRIOT Act), which amends 18 U.S.C. §§ 175–175c. Among other things, the USA PATRIOT Act prescribes criminal penalties for possession of any biological agent, toxin, or delivery system of a type or in a quantity that is not reasonably justified by a prophylactic, protective, bona fide research, or other peaceful purpose.

Article XVII - Use of DHS Seal, Logo and Flags

All recipients must obtain DHS's approval prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.

Article XVIII - DHS Specific Acknowledgements and Assurances

All recipients of financial assistance must acknowledge and agree—and require any sub-recipients, contractors, successors, transferees, and assignees acknowledge and agree—to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.

1. Recipients must cooperate with any compliance review or complaint investigation conducted by DHS.
2. Recipients must give DHS access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations and other applicable laws or program guidance.
3. Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.
4. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
5. If, during the past three years, the recipient has been accused of discrimination on the grounds of race, color, national origin (including

limited English proficiency), sex, age, disability, religion, or familial status, the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS awarding office and the DHS Office of Civil Rights and Civil Liberties.

6. In the event any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status against the recipient, or the recipient settles a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS Component and/or awarding office. The United States has the right to seek judicial enforcement of these obligations.

Article XIX - Compliance with Funding Opportunity Announcement

The recipient agrees that all allocations and use of funds under this grant will be in accordance with the Funding Opportunity Announcement.

Article XX - Acceptance of Post Award Changes

In the event FEMA determines that changes are necessary to the award document after an award has been made, including changes to period of performance or terms and conditions, recipients will be notified of the changes in writing. Once notification has been made, any subsequent request for funds will indicate recipient acceptance of the changes to the award. Please call the FEMA/GMD Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov if you have any questions.2012-10-01 00:00:00.0

By my signature below, I attest that I am the duly authorized representative to sign on behalf of the Applicant participating in this grant and, on behalf of the Applicant, accept and will comply with the grant agreement articles as listed in this document, which are required for participation in this grant program.

Signature of Authorized Representative

Print Name (First & Last)

Title

Date



**GOVERNOR'S OFFICE OF HOMELAND SECURITY
AND EMERGENCY PREPAREDNESS**



STATE OF LOUISIANA

GRANT AWARD CHECKLIST & GENERAL INFORMATION

GRANT AWARD NO. EMW-2013-EP-00062-S01

CFDA NO. 97.042

AWARD DATE: 8/23/2013

I. FY 2013 EMPG Grant Award Packet:

The following **MUST** be returned to GOHSEP by Wednesday, October 30, 2013:

Completed	Document Description	Due Date	Description
	Grant Award Sheet	10/30/2013	Formal Award Letter. Includes Special Conditions and Requirements <i>* Needs To Be Signed by Authorized Representative</i>
	Applicant Point of Contact (POC) Sheet	10/30/2013	Authorized Representative's designated POC to administer the grant award <i>* Needs To Be Signed by Authorized Representative</i>
	Grant Agreement Articles	10/30/2013	Federal Terms and Conditions <i>* Needs To Be Signed by Authorized Representative</i>
	Funding Opportunity Announcement (FOA)	N/A	Federal guidance, regulations, and law requirements
	Grant Award Checklist & General Info	N/A	Applicant's checklist for identified documents

II. FY 2013 EMPG Performance Period:

The performance period for FY 2013 EMPG will be 10/1/2012 – 5/31/2014. Any funds not obligated in accordance with the spending plan will be de-obligated at the end of this period.

III. FY 2013 EMPG Reporting Requirements:

EMPG Quarterly Report

The Quarterly Report must be completed by all applicants. GOHSEP will provide a **reporting format** regarding the FY 2013 EMPG requirements to include, but not limited to:

1. % of required trainings completed by parish personnel who are funded by the EMPG Program;
2. % of required exercises completed by parish personnel who are funded by the EMPG Program;
3. % of progressive exercises completed by the parish/sub-grantee;
4. Confirmation that AAR/IPs were completed for all exercises conducted by the parish;
5. Confirmation that TEPs were completed by the parish and/or confirmation parish has contributed to the State TEP;
6. Confirmation that all parishes have EOPs compliant with CPG 101v.2; and
7. Parish quarterly activities according to the Emergency Management Functions including an activity description and project objectives.

Reporting requirements are fully described in the grant award special conditions and the FOA.

Quarterly Reports are due the month following each reporting period as follows:

Completed	Quarter	Reporting Period	Due Date
	Quarter 1	10/1/2013 – 12/31/2013	1/15/2014
	Quarter 2	1/01/2014 – 3/30/2014	4/15/2014
	Quarter 3	4/1/2014 – 6/30/2014	7/15/2014
	Closeout Quarter	7/1/2014 – 9/30/2014	10/15/2014

IV. FY 2013 EMPG Forms

Copies of all grant forms (some in fillable form) are available on the GOHSEP website:

<http://gohsep.la.gov/hsgrantprgindex.aspx>

**FY 2013 EMERGENCY MANAGEMENT PERFORMANCE GRANTS
(EMPG) PROGRAM
FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)**

OVERVIEW INFORMATION

Issued By

U.S. Department of Homeland Security (DHS): Federal Emergency Management Agency (FEMA)

Catalog of Federal Domestic Assistance (CFDA) Number

97.042

CFDA Title

Emergency Management Performance Grants

Funding Opportunity Announcement Title

Fiscal Year (FY) 2013 Emergency Management Performance Grants (EMPG) Program

Authorizing Authority for Program

National Flood Insurance Act of 1968 (42 U.S.C. 4001 et seq.); Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.); Earthquake Hazards Reduction Act of 1977 (42 U.S.C. 7701 et seq.); Reorganization Plan No. 3 of 1978 (5 U.S.C. App.); and, Section 662 of the *Post-Katrina Emergency Management Reform Act of 2006* (PKEMRA), Public Law 109-295, as amended, (6 U.S.C. § 762).

Appropriation Authority for Program

The Department of Homeland Security Appropriations Act, 2013 (Public Law 113-6)

FOA Number

Grant Program Name	Opportunity Number
Emergency Management Performance Grants (EMPG) – Region I	DHS-13-GPD-042-001-01
Emergency Management Performance Grants (EMPG) – Region II	DHS-13-GPD-042-002-01
Emergency Management Performance Grants (EMPG) – Region III	DHS-13-GPD-042-003-01
Emergency Management Performance Grants (EMPG) – Region IV	DHS-13-GPD-042-004-01
Emergency Management Performance Grants (EMPG) – Region V	DHS-13-GPD-042-005-01
Emergency Management Performance Grants (EMPG) – Region VI	DHS-13-GPD-042-006-01
Emergency Management Performance Grants (EMPG) – Region VII	DHS-13-GPD-042-007-01
Emergency Management Performance Grants (EMPG) – Region VIII	DHS-13-GPD-042-008-01
Emergency Management Performance Grants (EMPG) – Region IX	DHS-13-GPD-042-009-01
Emergency Management Performance Grants (EMPG) – Region X	DHS-13-GPD-042-010-01

Key Dates and Time

Application Start Date: 05/21/2013

Application Submission Deadline Date: 06/24/2013 at 11:59:59 p.m. EST

Anticipated Funding Selection Date: 08/02/2013

Anticipated Award Date: 09/30/2013

Other Key Dates

Applying for FY 2013 EMPG Program funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One immediately after the FOA is published, but no later than June 17, 2013, by submitting a complete Standard Form 424 to Grants.gov. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions of Step One to Grants.gov could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two, which involves submitting the full application package via the Non Disaster (ND) Grants system. The submission deadline for the full application package is June 24, 2013. For additional details see Section X of the full FOA.

Intergovernmental Review

Is an intergovernmental review required?

Yes No

If yes, applicants must contact their State's Single Point of Contact (SPOC) to determine if the program has been selected for State review and comply with the State's process under Executive Order 12372. Names 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.

FOA EXECUTIVE SUMMARY

Program Type

Select the applicable program type:

New Continuing One-time

Date of origin for Program: 01/01/2001

Opportunity Category

Select the applicable opportunity category:

Discretionary Mandatory Competitive Non-competitive

Application Process

DHS makes all funding opportunities available through <http://www.grants.gov>. If you experience difficulties accessing information or have any questions, please call the Grants.gov customer support hotline at (800) 518-4726.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants," and then select "Download Application Package." Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select "Download Application Package," and then follow the prompts to download the application package. To download the instructions, go to "Download Application Package" and select "Instructions."

For additional details on how to apply, please refer to Section X of the full FOA.

Eligible Applicants

The following entities are eligible to apply directly to FEMA under this solicitation:

State governments

For additional information, see the *Eligibility Criteria* section of this FOA.

Type of Funding Instrument

Select the applicable funding instrument:

Grant Cooperative Agreement

Cost Share or Match

Select the applicable requirement:

Cost Match Cost Share None Required

In FY 2013, the Federal share of funds made available under the program shall not exceed 50 percent (50%) of the total budget. 42 U.S.C. § 5196(j). Unless otherwise authorized by law, Federal funds cannot be matched with other Federal funds.

FEMA administers EMPG Program cost matching requirements in accordance with 44 CFR §13.24. To meet matching requirements, the grantee contributions must be 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 U.S. territories of American Samoa, Guam, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands.

Maintenance of Effort

Is there a Maintenance of Effort (MOE) requirement?

Yes No

Management and Administration

Management and Administration (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 Emergency Management Agency (EMA) chooses to assign personnel to specific M&A activities.

If the State Administrative Agency (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%) 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 only if the applicant has an approved indirect cost rate with the cognizant Federal agency. 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. Indirect costs will be evaluated as part of the application for Federal funds to determine if allowable and reasonable.

FULL FOA

I. Funding Opportunity Description

Program Overview and Priorities

The purpose of the EMPG Program is to make grants to States to assist State, local, territorial, and tribal governments in preparing for all hazards, as authorized by the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (42 U.S.C. 5121 et seq.). Title VI of the *Stafford Act* authorizes 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 so that a comprehensive emergency preparedness system exists at all levels for all hazards.

Program Objectives

The FY 2013 EMPG Program plays an important role in the implementation of the National Preparedness System (NPS) by supporting the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal (NPG) of a secure and resilient Nation. 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 FY 2013 EMPG Program's allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas.

Examples of tangible outcomes from the EMPG Program include building and sustaining core capabilities through:

- Building and sustaining core capabilities
- Completion of the Threat and Hazard Identification and Risk Assessment (THIRA) process
- Strengthening governance integration
- Approved emergency plans
- Development and maintenance of multi-year Training and Exercise Plans (TEPs)
- Targeted training and verification of personnel capability
- Whole community approach to security and emergency management

For additional details on priorities for the EMPG Program please refer to Appendix B – *FY 2013 EMPG Program Priorities*.

II. Funding Information

Award Amounts, Important Dates, and Extensions

Available Funding for the FOA: \$332,456,012

Projected number of awards: 58

Projected Award Start Date(s): 10/01/2012

Projected Award End Date(s): 09/30/2014

Period of Performance: 24 months

Grantees must accept their grant awards no later than 90 days from the notification of award. The grantee shall notify the awarding agency of its intent to accept and proceed with work under the award, or provide a written notice of intent to decline. Funds will remain on hold until the grantee accepts the award through official correspondence, (e.g., written, electronic signature, signed letter or fax to the Grant Programs Directorate [GPD]), 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.

For details on funding amounts, please refer to Appendix A – *FY 2013 EMPG Program Allocations*.

Period of Performance

Is an extension to the period of performance permitted?

Yes No

Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications as to why an extension is required. Extension requests should be submitted to the FEMA Regional Program Manager.

Additional Funding Information

In FY 2013, the total amount of funds distributed under this grant will be \$332,456,012. FY 2013 EMPG Program funds will be allocated in compliance with Section 662 of the *Post-Katrina Emergency Management Reform Act of 2006* (6 U.S.C. 762). All 50 States, the District of Columbia, and Puerto Rico will receive a base amount of 0.75 percent of the total available grant funding. Four territories (American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) will receive a base amount of 0.25 percent of the total available grant funding. The balance of EMPG Program funds is distributed on a population-share basis. Pursuant to Title II of the *Compact of Free Association Amendments Act of 2003* (Public Law 108-188), funds are also available for the Federated States of Micronesia and for the Republic of the Marshall Islands.

III. Eligibility Information

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 2013 EMPG Program funds.

Either the SAA or the State's EMA are eligible to apply directly to FEMA for EMPG Program funds on behalf of State and local emergency management agencies, however only one application will be accepted from each State or territory.

IV. Funding Restrictions

Restrictions on Use of Award Funds

DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award.

EMPG Program grantees may only fund activities and projects that were included in the FY 2013 Work Plan that was submitted to and approved by a FEMA Regional Program Manager. Activities and projects may include the sustainment of capabilities supported by previous EMPG Program funds.

For additional details on restrictions on the use of funds, please refer to Appendix C - *Funding Guidelines*.

V. Application Review Information and Selection Process

Application Review Information

Submitted applications will undergo a complete content review within their respective FEMA Region. Each FEMA Region will be responsible for reviewing the FY 2013 EMPG Program Work Plan for their respective States/territories in order to assess their emergency management sustainment and enhancement efforts as well as the linkage to the core capabilities identified in the NPG.

For additional details on application review information please refer to Appendix D – *FY 2013 EMPG Program Work Plan*.

Application Selection Process

All Work Plans will require final approval by the corresponding FEMA Region. Funds for grantees who have not submitted their Work Plan as part of their application will not be released until such Work Plan is received, reviewed, and approved by the FEMA Region. Grantees will be notified by their FEMA Regional Program Manager should any component of the EMPG Program application require additional information.

VI. Post-Selection and Pre-Award Guidelines

Notice of Award

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions available within Section 6.1.1 of <http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>.

Upon approval of an application, the award will be made in the form of a grant. Notification of award approval is made through the ND Grants system through an automatic e-mail to the grantee point of contact listed in the initial application. Once an award has been approved and recorded in the system, a notice is sent to the authorized grant official. Follow the directions in the notification to accept your award documents. The authorized grant official should carefully read the award package for instructions on administering the grant and to learn more about the terms and conditions associated with responsibilities under Federal awards.

Obligation of Funds

EMPG Program awards must be accepted by grantees within 30 days of the issuance of the Award Letter. 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 separate budget processes, then these funds must be obligated to the EMA within 15 days of the grant award date.

Administrative and Federal Financial Requirements

Grantees are obligated to submit various financial and programmatic reports as a condition of their award acceptance. Please see below for a summary of financial and/or programmatic reports as required. Future awards and fund drawdowns may be withheld if these reports are delinquent.

- 1. Federal Financial Report (FFR) – required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through Payment and Reporting System (PARS).
- 2. Grant Close-Out Process.** Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance. After these 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 that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records. As part of the final report, grantees must submit the Tangible Personal Property Report (SF-428), available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-428.pdf, to provide an inventory of all tangible personal property acquired using EMPG Program funds. An inventory of all construction projects that used EMPG Program funds has to be reported using the Real Property Status Report (Standard Form SF 429) available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-429.pdf.

Programmatic Reporting Requirements

- 1. State Preparedness Report (SPR) Submittal.** Section 652(c) of the *Post-Katrina Emergency Management Reform Act of 2006* (Public Law 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 in December 2012 thus satisfying this requirement to receive funding under the FY 2013 EMPG Program.
- 2. Quarterly Performance Progress Reports (SF-PPR).** EMPG Program Quarterly Performance Progress Reports must be submitted to the Regional Program Manager located at the FEMA regional office on a quarterly basis through the ND Grants system. 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 31, April 30, July 31 and October 31. The Quarterly Performance Progress Report must be completed using the cover page of the SF-PPR (OMB Control Number: 0970-0334), available at http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf.

Grantees are required to report quarterly on progress towards completing activities and projects approved in their Work Plans as well as progress made towards implementing performance measures as described in Appendix B – *FY 2013 EMPG Program Priorities*.

- Percentage completion towards CPG 101 v.2 compliance (Available at <http://www.fema.gov/national-preparedness/plan>);
- Percent completion of the progressive exercise series to include percent completion of planned personnel participation;
- Any After Action Reports/Improvements Plans (AAR/IP) that relate to the four quarterly exercises and one full-scale exercise;
- A roster of EMPG Program funded personnel at both the State and local levels, along with the training completed together with the Personnel Data Table Template (available in Appendix D – *FY 2013 EMPG Program Work Plan*); and

- Percent completion of the Training and Exercise Plan (TEP) outlined in the FY 2013 EMPG Program Work Plan together with the Training and Exercise Data Tables Template (available in Appendix D – *FY 2013 EMPG Program Work Plan*).

- 3. Biannual Strategy Implementation Reports (BSIR).** In addition to the Quarterly Reports grantees are responsible for completing and submitting BSIR reports. The BSIR is due within 30 days after 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. 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 Exercises (POETE). The first BSIR is not due until at least six months after the award notice has been received by the grantee.
- 4. Exercise Evaluation and Improvement.** Exercises implemented with grant funds should evaluate performance of the capabilities against the level of capabilities required to respond to the exercise scenario. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation Program (HSEEP) located at <https://hseep.dhs.gov>.
- 5. Monitoring.** Grant recipients will be monitored on an annual and as needed basis by FEMA staff, both programmatically and financially, to ensure that the activities and project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

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

VII. DHS FEMA Contact Information

Contact and Resource Information

This section describes several resources that may help applicants in completing a FEMA grant application. These points of contact are also available for successful applicants who may require assistance during execution of their award.

Financial and Administrative Information

1. **FEMA Regions.** FEMA Regions manage, administer and conduct application budget review, create the award package, approve, amend and close out awards, as well as conduct cash analysis, financial monitoring, and audit resolution for the EMPG Program. The Regions also provide technical assistance to EMPG Program primary awardees. For a list of contacts, please go to <http://www.fema.gov/about/contact/regions.shtm>.
2. **FEMA Grant Programs Directorate (GPD).** GPD's Grant Operations Division Business Office may also provide support and 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.
3. **GPD Environmental Planning and Historic Preservation (GPD-EHP).** The FEMA GPD-EHP Team provides guidance and information about the EHP review process to grantees and sub-grantees. 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. EHP Technical Assistance, including the EHP Screening Form, can be found at https://www.rkb.us/ehp_docs.cfm.

Programmatic Information

1. **Centralized Scheduling and Information Desk (CSID).** CSID is a non-emergency comprehensive management and information resource developed by DHS 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, grantees 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 Monday through Friday, 8:00 a.m. – 5:30 p.m. EST.

Systems Information

1. **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 or (800) 865-4076.

VIII. Other Critical Information

Emergency Management Assistance Compact (EMAC) Membership

In support of the NPG, grantees must belong to, be located in, or act as a temporary member States of EMAC, except for American Samoa and the Commonwealth of the

Northern Mariana Islands, which are not required to belong to EMAC at this time. All assets supported in part or entirely with FY 2013 EMPG Program funding by States, territories, and Tribes must be readily deployable to support emergency or disaster operations per existing EMAC agreements. In addition, funding may be used for the sustainment of 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 mitigation mission area of the NPG, and fusion centers.

National Preparedness

DHS coordinates with local, State, territory, tribal, and Federal governments as well as the private and nonprofit sectors to facilitate an all-of-nation/whole community, risk driven, and capabilities-based approach to preparedness. This approach is grounded in the identification and assessment of risk through the THIRA. Urban Areas and States must maintain and update their THIRAs, and States 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 NPS can be found in the National Preparedness System Description (released Nov 2011), which is posted on the FEMA website at <http://www.fema.gov/national-preparedness/national-preparedness-system>. Additional details regarding the NPS and how it's supported by the EMPG Program can be found in Appendix B – *FY 2013 EMPG Program Priorities*.

National Incident Management System (NIMS) Implementation

Prior to allocation of any Federal preparedness awards in FY 2013, grantees 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, inventorying, and cataloging promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and national Tier I NIMS Resource Types can be found at <http://www.fema.gov/resource-management>.

FEMA developed the 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 the Federal investment in the Federal Information Processing Standards (FIPS) 201 infrastructure

and to facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information can be found at http://www.fema.gov/pdf/emergency/nims/nims_alert_cred_guideline.pdf

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. Grantees and sub-grantees proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project.

SAFECOM Guidance for Emergency Communications Grant Compliance
Grantees (including sub-grantees) that are using EMPG Program funds to support emergency communications activities should comply with the *FY 2013 SAFECOM Guidance for Emergency Communications Grants*. SAFECOM Guidance is available at <http://www.safecomprogram.gov/grant/Default.aspx>.

Emergency Operation Plan (EOP)
Grantees must update their EOP at least once every two years. An evaluation matrix to describe and calculate the percentage towards compliance with CPG 101 v.2 is available at <http://www.fema.gov/national-preparedness/plan>.

Threat and Hazard Identification and Risk Assessment (THIRA)
Grantees must update their THIRA through the SPR by December 31, 2013. Further details on the THIRA as it relates to EMPG Program requirements can be found in Appendix B – *FY 2013 EMPG Program Priorities*. For additional guidance on THIRA, please refer to CPG 201 and the supplemental toolkit, available at <http://www.fema.gov/national-preparedness/plan>.

IX. How to Apply

Application Instructions

All EMPG Program applicants are encouraged to use the template provided by FEMA 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 FY 2013 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.

For additional details on Application instructions please refer to Appendix D – *FY 2013 EMPG Program Work Plan*.

X. Application and Submission Information

Address to Request Application Package

FEMA makes all funding opportunities available on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” enter the CFDA number (97.042) or the Region-specific FOA Number noted in the Overview Information section of the FOA and then select “Download Application Package”. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.”

Content and Form of Application

- 1. Application via Grants.gov.** All applicants must file their applications using the Administration’s common electronic “storefront” – <http://www.grants.gov>. Eligible grantees must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.

The application must be started and submitted using Grants.gov after registration in the System for Award Management (SAM) is confirmed. The on-line application includes the following required form:

- Standard Form 424, Application for Federal Assistance

Applying for FY 2013 EMPG Program funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One as soon after the FOA is published but no later than June 17, 2013. This involves submitting a complete Standard Form 424 to <http://www.grants.gov>. The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application.

Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions to Grants.gov to complete Step One could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full application package via the ND Grants system. The submission deadline for the full application package is June 24, 2013.

The application must be completed and final submission made through the ND Grants system located at <https://portal.fema.gov>. If you need assistance registering for the ND Grants system, please contact ndgrants@fema.gov or (800) 865-4076. Applicants are encouraged to begin their ND Grants registration at the time of solicitation to ensure they have adequate time to start and complete their application submission. Unless otherwise referenced, the ND Grants system includes the following required forms and submissions:

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form 424C, Budget Information (Construction)
- Standard Form 424D, Standard Assurances (Construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying
- FEMA Form 112-0-3C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- EMPG Program Work Plan
- Detailed budget

The program title listed in the CFDA is “*Emergency Management Performance Grant Program*”. The CFDA number is **97.042**.

- 2. Dun and Bradstreet Data Universal Numbering System (DUNS) Number.** The applicant must provide a DUNS number with their application. This number is a required field within <http://www.grants.gov> and for SAM. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at (866) 705-5711.
- 3. System for Award Management (SAM).** The application process also involves an updated and current SAM registration by the applicant at <http://www.sam.gov> . Please ensure that your 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 FEMA awards. Future payments will be contingent on the information provided in SAM; therefore it is imperative that the information is correct.

Applicants will obtain FOA Overviews and Full Announcement information from the Grants.gov website where the full FOA is posted.

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

Applications will be processed through the Grants.gov portal and the ND Grants system.
Hard copies of the application will not be accepted.

Appendix A - FY 2013 EMPG Program Allocations

State/Territory	FY 2013 Allocation	State/Territory	FY 2013 Allocation
Alabama	\$5,517,091	New Hampshire	\$3,321,582
Alaska	\$2,952,078	New Jersey	\$8,052,000
Arizona	\$6,602,667	New Mexico	\$3,801,166
Arkansas	\$4,342,686	New York	\$14,765,038
California	\$26,347,468	North Carolina	\$8,608,500
Colorado	\$5,746,316	North Dakota	\$2,932,125
Connecticut	\$4,744,763	Ohio	\$9,732,277
Delaware	\$3,068,487	Oklahoma	\$4,885,520
District of Columbia	\$2,889,921	Oregon	\$4,938,526
Florida	\$14,606,586	Pennsylvania	\$10,496,851
Georgia	\$8,713,765	Rhode Island	\$3,152,010
Hawaii	\$3,366,476	South Carolina	\$5,455,451
Idaho	\$3,494,028	South Dakota	\$3,015,978
Illinois	\$10,566,905	Tennessee	\$6,541,836
Indiana	\$6,592,684	Texas	\$18,833,958
Iowa	\$4,421,102	Utah	\$4,283,840
Kansas	\$4,303,039	Vermont	\$2,885,963
Kentucky	\$5,240,179	Virginia	\$7,626,404
Louisiana	\$5,379,057	Washington	\$6,818,222
Maine	\$3,326,896	West Virginia	\$3,656,865
Maryland	\$6,183,361	Wisconsin	\$6,084,183
Massachusetts	\$6,660,914	Wyoming	\$2,854,862
Michigan	\$8,690,824	Puerto Rico	\$4,792,881
Minnesota	\$5,866,433	U.S. Virgin Islands	\$897,153
Mississippi	\$4,365,131	American Samoa	\$865,595
Missouri	\$6,269,534	Guam	\$931,415
Montana	\$3,123,698	Northern Mariana Islands	\$863,367
Nebraska	\$3,656,935	Republic of the Marshall Islands	\$50,000
Nevada	\$4,223,420	Federated States of Micronesia	\$50,000
Total:			\$332,456,012

Appendix B - FY 2013 EMPG Program Priorities

The Alignment of the EMPG Program to the National Preparedness System (NPS)

The NPS is the instrument the Nation will employ to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (Goal). The Goal is “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 NPS is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based approach to preparedness. The guidance, programs, processes, and systems that support each component of the NPS 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>).

National preparedness is a shared responsibility of the whole community. Every member must be given the opportunity to contribute. The FY 2013 EMPG Program plays an important role in the implementation of the NPS 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.

Particular emphasis will be 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. Funding will support deployable assets that can be utilized anywhere in the Nation through automatic assistance and mutual aid agreements, including but not limited to the EMAC.

Using the core capabilities, the FY 2013 EMPG Program supports the achievement of the NPG by:

- Preventing, a threatened or an actual act of terrorism.
- Protecting our citizens, residents, visitors, and assets against the greatest threats and hazards.
- Mitigating the loss of life and property by lessening the impact of future disasters.
- Responding quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident.
- Recovering 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 us to use existing preparedness networks and activities, improve training and exercise programs, promote innovation, and ensure that the appropriate administrative, finance, and logistics systems are in place.

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

Building and Sustaining Core Capabilities

The FY 2013 EMPG Program focuses on the development and sustainment of core capabilities as outlined in the Goal. Particular emphasis will be placed on building and sustaining capabilities that address high consequence events that pose the greatest risk to the security and resilience of the United States and that can be utilized nationwide. The EMPG Program uses a comprehensive process for assessing regional and national risks and identifying capability needs in order to prioritize and invest in key deployable assets, as well as those elements that support deployment.

Capabilities are the means to accomplish a mission, function, or objective based on the performance of related tasks, under specified conditions, to target levels of performance. The most essential capabilities are the core capabilities identified in the Goal.

Working together, individuals, government officials, and elected leaders can develop plans to allocate resources effectively and reduce risk. For these plans to be effective, those involved must consider methods to reduce and manage risk as well as how to sustain appropriate levels of capability and address potential shortfalls in order to achieve the Goal.

Achieving the Goal will require participation and resources from the whole community. Not all capabilities can be addressed in a given local, State, or Federal funding cycle, nor can funding be expected to flow from any one source. Officials must prioritize the achievement of certain capabilities to most effectively ensure their security and resilience while understanding the effects of not addressing other identified needs. Building and sustaining capabilities will include a combination of organizational resources, equipment, training, and education. Consideration must also be given to finding, connecting to, and strengthening community resources by using the expertise and capacity of individuals, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. Jurisdictions must also use mutual aid agreements to fill needs and work with partners to develop regional capabilities. Ultimately, a jurisdiction may need to rely on other levels of government or partners to

address a particular need. This expectation should be communicated well before an event occurs when the capabilities are most urgently needed.

As these issues are considered in light of the eligible activities, the results of an effective risk assessment must inform jurisdictions' planning efforts. This risk picture will provide an understanding of potential consequences from the range of threats and hazards a community faces daily as well as those infrequent events that would stress the core capabilities of a jurisdiction. Coupled with the desired outcomes and capability targets established by a community, this combined perspective is crucial to enabling all levels of government to effectively estimate the level of capabilities required to manage its greatest risks.

Files and information on the NPS can be found at <http://www.fema.gov/national-preparedness/national-preparedness-system>.

THIRA and Capability Estimation Process

Knowledge of risks enables a community to make informed decisions about how to manage risk and develop needed capabilities. Risk is commonly thought of as a product of a threat or hazard, the vulnerability of a community or facility to a threat or hazard, and the resulting consequences that may impact the community or facility. By considering these elements of risk, which often change, as well as the impact of successful mitigation initiatives, as outlined in the NPS (<http://www.fema.gov/national-preparedness-system>), a jurisdiction can understand how to best manage or reduce its exposure to risk.

Federal investments in local, State, territory, and tribal preparedness capabilities have contributed to the development of a significant national-level capacity to prevent, protect against, mitigate, respond to, and recover from emergencies and catastrophic incidents. The EMPG Program prescribes national capability priorities in order to prioritize and invest in key deployable capabilities.

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 <http://www.fema.gov/national-preparedness/plan>.

A jurisdiction should apply the results of their THIRA through a capability estimation process to determine the resources needed to deliver core capabilities to the targets set in their THIRAs, identify what resources they currently have to meet those needs, and determine where they currently have adequate resources and surpluses that may need to be maintained or shortfalls that may need to be filled. Jurisdictions should examine current capability levels through the lens of real-world incidents, assessments, and exercises to determine whether changes to current capability levels are warranted. This capability estimation process should consider identifying, connecting to, and

strengthening community resources by using the expertise and capability of the whole community; individuals, communities, the private and nonprofit sectors, faith-based organizations, and all levels of government.

The outputs of the capability estimation process serve as the foundation for jurisdictions to work with whole community partners to develop strategies to reduce resource requirements through mitigation and protection activities, sustain current strengths in investments where capabilities have already been built, obtain required resources from whole community partners or borrow resources through mutual aid to bridge shortfalls, and build new capabilities through grants and investments. A jurisdiction should consider all resources available to it, including local and State appropriations, bond initiatives, mutual aid, and Federal grants, as appropriate, to support building and sustaining capabilities.

Data from the State hazard mitigation plan, fusions centers, and other sources of threat and risk data should be considered when developing a THIRA, conducting a capability estimation process, and developing a strategic plan. Ultimately, a jurisdiction may find that it can address capability needs through existing or new mutual aid agreements with neighboring communities or fill shortfalls through the private sector or other means in order to build and sustain capabilities.

Risk-informed planning, such as that based on the THIRA output is consistent with and expands on nationally accepted emergency management standards, which have long required using risk assessments, such as hazard mitigation plans, as the basis for planning across the mission areas. A continuous cycle of identifying and assessing risk, estimating capabilities, implementing strategic plans, and incorporating the results into future THIRAs allows a jurisdiction to identify and understand changes to its risk landscape. It also provides the means to communicate and educate individuals, families, businesses, organizations, community leaders, and senior officials on the risks facing a community and the required capabilities to address them. Grantees must also ensure that regional plans (e.g., emergency operations plans, local/regional/State catastrophic plans, etc.) incorporate the desired outcomes and capability targets from the THIRA in order to address the roles, responsibilities, strategies and procedures necessary to deliver the core capabilities, and achieve secure and resilient communities.

The primary grantee of EMPG Program funds is responsible for sharing the results from their State and Urban Area's THIRA, which informs and supports the SPR, with their FEMA Federal Preparedness Coordinator (FPC).

Updates to the THIRA guidance are under development based on feedback and experiences gained from the 2012 THIRA submittals. An updated version of the guidance, reflecting that feedback, and guidance on the capability estimation process, will be available in the near future to guide development of 2013 THIRAs.

Strengthening Governance Integration

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

- *Prioritization of Investments* – resources must be allocated to address the most critical capability needs.
- *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 grants support must include local government representatives. At the State and regional level, 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 level, and within metropolitan areas.

Reporting on Program Priorities

Whole Community Approach to Security and Emergency Management Priority Objectives and Performance Measures

To address this priority, five objectives have been identified and each is given a performance measure and associated reporting requirement to determine how effective grantees are in utilizing EMPG Program funding to prepare for all hazards and advance a whole community approach. With these measures, grantees must evaluate their progress toward achieving the stated objective in the Quarterly Performance Progress Report and in compliance with the below reporting requirements.

Objective One: Update of Threat and Hazard Identification and Risk Assessments (THIRAs). THIRA processes at all levels of government establish a defensible and rational foundation to guide preparedness activities and investments. In order to qualify for EMPG Program funding, all grantees shall develop and maintain a THIRA which informs and supports the SPR.

Measurement Methods

- Percentage of THIRAs and SPR that meet current DHS guidance.

Reporting

- States are required to submit an annual update to their THIRA. States will submit their THIRA update to their respective FEMA Region as part of their SPR. THIRA submissions shall be in alignment with CPG 201. State submissions of the updated THIRA, and State submissions of the SPR, are due no later than December 31, 2013.

Objective Two: Planning – including strategic planning for sustaining and building capabilities, and planning to deliver capabilities.

CPG 101 v.2, helps planners at all levels of government in their efforts to develop and maintain viable all threats and hazards EOPs by engaging the whole community in thinking through the life cycle of a potential crisis, determining required capabilities that support the NPG, and establishing a framework for roles and responsibilities. All EMPG Program grantees shall maintain, or revise as necessary, jurisdiction wide all threats and hazards emergency operations plans consistent with the CPG 101 v.2 which serves as the foundation for State, local, tribal, and territory emergency planning. CPG 101 v.2 can be found at <http://www.fema.gov/national-preparedness/plan>. Grantees must update their EOP at least once every two years. A *Plan Analysis Tool* to describe progress towards aligning with CPG 101 v.2 is published and available at <http://www.fema.gov/national-preparedness/plan>.

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>.

Measurement Method

- Grantees will report progress toward aligning their EOP with CPG 101 v.2 by completing the *Plan Analysis Tool* CPG 101 v.2 available at <http://www.fema.gov/plan>.

Reporting

- Grantees are required to submit a *Plan Analysis Tool* annually that describes the percentage of completion of the CPG 101 v.2 alignment.
- The most recent *Plan Analysis Tool* must be submitted as part of the summer reporting period as an attachment in ND Grants throughout the period of performance of the award.

- Grantees must submit a copy of their existing EOP to their respective Regional Program Manager.

Objective Three: Sustaining Capabilities. EMPG Program grantees should ensure that grant funding is utilized to sustain critical core capabilities within the NPG that were funded by past EMPG Program funding cycles to include training of personnel and lifecycle replacement of equipment. New capabilities should not be built at the expense of maintaining current and critically needed core capabilities. If new core capabilities are being built utilizing EMPG Program funding, grantees must ensure that the capabilities are able to be deployable outside of their community to support regional and national efforts or otherwise shareable with regional partners. All capabilities being built or sustained must have a clear linkage to one or more core capabilities in the NPG.

Measurement Method

- Percentage of funding, on a project-by-project basis that supports the maintenance and sustainment of the NPG's core capabilities.

Reporting

- As part of programmatic monitoring grantees will be required to describe how expenditures first support maintenance and sustainment of current NPG core capabilities within the BSIR. EMPG Program grantees will, on a project-by-project basis, check one of the following:
 - Sustaining or maintaining a capability acquired with Federal homeland security funding;
 - Sustaining or maintaining a capability acquired without Federal homeland security funding; or
 - Developing or acquiring a new core capability

Objective Four: Develop and Maintain Multi-Year Training and Exercise Plan (TEP).

The Multi-Year TEP provides a roadmap to accomplish the multi-year priorities identified by elected and appointed officials and whole community stakeholders. These priorities (see also Objective five) help curriculum and exercise planners design and develop a progressive program of training and exercises that build, sustain, and deliver core capabilities. States and Urban Areas are required to conduct an annual Training and Exercise Plan Workshop (TEPW). The purpose of the TEPW is to use 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 (as delineated in objective five) to meet those priorities. Following the TEPW, all grantees and sub-grantees are required to develop a Multi-Year TEP that incorporate linkages to the NPG core capabilities and update it annually. The TEP shall be submitted to hseep@dhs.gov and the FEMA Regional Exercise Officer; States are encouraged to post their schedules to the National Exercise Scheduling System (NEXS) at https://hseep.dhs.gov/DHS_SSO/?ReturnUrl=%2fhseep_em%2fToolkitHome.aspx.

All EMPG Program grantees will develop and maintain a progressive exercise program consistent with the National Exercise Program base plan, to include no less than four quarterly exercises (i.e., one exercise per quarter) of any type (e.g., Drills, Tabletop Exercises, Functional), and one full-scale exercise within a 12-month period (a total of five exercises per year). In addition, all EMPG Program funded personnel shall participate in no fewer than three exercises in a 12-month period. An AAR/IP shall be completed for each exercise and submitted to hseep@dhs.gov.

If a State/territory/local jurisdiction has experienced a major disaster, and would like to request exemptions for a scheduled exercise, the grantee should send this request to its assigned FEMA Regional Program Manager through the quarterly EMPG Program report. Exemptions will be reviewed on a case-by-case basis by the Regional Grant Manager.

Measurement Method

- Percent completion in a progressive exercise series of four quarterly exercises and one full-scale exercise in a 12 month period (to include response to any real-world events)
- Percent completion of EMPG Program funded personnel participation in no fewer than three exercises within a 12 month period
- Submission of an AAR/IP for each of the four quarterly exercises and one full-scale exercise that includes a list of corrective actions and lessons learned

Reporting

- Grantees must report quarterly in the Quarterly Performance Progress Report the percent completion of the progressive exercise series to include percent completion of personnel participation
- Grantees must submit AAR/IPs for each of the four quarterly exercises and one full-scale exercise to include corrective actions in the Quarterly Performance Progress Report.

Objective Five: Target Training and Verify Capability of Personnel.

Training activities supported with EMPG Program funds should strategically align to the priorities and NPG core capabilities identified in the Multi-Year TEP. In addition to training activities aligned to TEP priorities and addressed in the TEP, all EMPG Program funded personnel shall complete the following training requirements and record proof of completion: NIMS Training, IS 100, IS 200, IS 700, and IS 800, and other Independent Study courses identified in FEMA Professional Development Series. 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>.

Measurement Method

- Submission of an updated Multi-Year TEP to address the above requirements (see <https://hseep.dhs.gov>)
- Percent of EMPG Program funded personnel completing the required courses listed above

Reporting

- In each year of the period of performance of the award grantees are required to share with their respective Regional Program Manager a TEP that includes a progressive exercise plan and schedule and a plan for training personnel. The Regional Program Manager shall confer the TEP with the Regional Exercise Officer. Information related to TEPs and TEPWs can be found on the HSEEP website at <https://hseep.dhs.gov>.
- Submission of a list of EMPG Program funded personnel along with the training completed to be included in the Quarterly Performance Progress Report.
- Quarterly reporting of implementation of TEP, including percent addressed in the FY 2012 EMPG Program Work Plan Exercise Data Table Template in Appendix D - *FY 2012 EMPG Program Work Plan*.

Standardized Reporting through the Work Plan Template

The Work Plan Template has been modified to standardize data collection for improved analysis and reporting. The Work Plan Template includes four components: a Personnel Data Table, a Training Data Table, an Exercise Data Table, and a Grant Activities Outline. The Personnel Data Table and the Grant Activities Outline will form the basis of the Quarterly Performance Progress Report. 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. Quarterly training and exercise activities will be reported in the Grant Activities Outline under EMF number 13 and number 14.

Appendix C – Funding Guidelines

EMPG Program recipients and sub-recipients may only use EMPG Program funds for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds must support the development or sustainment of core capabilities identified in the NPG. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

Funding Information

Program funds are allocated according to 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 will receive a base amount of 0.75 percent of the total available grant funding. Four territories (American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) will receive a base amount of 0.25 percent of the total available grant funding. The balance of EMPG Program funds is distributed on a population-share basis. Pursuant to Title II of the *Compact of Free Association Amendments Act of 2003* (Public Law 108-188), funds are also available for the Federated States of Micronesia and for the Republic of the Marshall Islands.

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 2013 EMPG Program funds. Either the SAA or the State's EMA are eligible to apply directly to FEMA for EMPG Program funds on behalf of State and local emergency management agencies, however only one application will be accepted from each State or territory.

The EMPG Program Requires a Cost Match

The Federal share that is used towards the EMPG Program funds shall not exceed 50 percent of the total budget. The State must cost match (cash or in-kind) the Federal contribution according to the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Public Law 93-288), as amended, 42 U.S.C. 5121-5207, specifically, Title VI, sections 611(j) and 613. Unless otherwise authorized by law, Federal funds cannot be matched with other Federal funds.

FEMA administers cost matching requirements in accordance with 44 CFR §13.24 which is located at http://www.access.gpo.gov/nara/cfr/waisidx_07/44cfrv1_07.html or 2 CFR §215.23 which is located at http://www.access.gpo.gov/nara/cfr/waisidx_07/2cfrv1_07.html. To meet matching requirements, the grantee contributions must be 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, and the Republic of the Marshall Islands.

Allowable Costs

Management and Administration

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%) 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 only if the applicant has an approved indirect cost rate with the cognizant Federal agency. 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. Indirect costs will be evaluated as part of the application for Federal funds to determine if allowable and reasonable.

Planning

Planning spans across all five NPG 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 upon emergency management planning activities, some examples include:

- Development of THIRA that is representative of the jurisdiction
- 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 <http://www.fema.gov/national-preparedness/plan>.
- Modifying existing incident management and emergency operations plans
- Developing/enhancing comprehensive emergency management 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 security and emergency management is critical to achieving the NPG
- Public education and awareness on emergency management and preparedness
- Planning to foster public-private sector partnerships
Development or enhancement of mutual aid agreements/compacts, including required membership in EMAC

Resource management planning

- Developing/enhancing logistics and resource management plans
- Developing/enhancing volunteer and/or donations management plans
- Acquisition of critical emergency supplies defined 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 viable inventory management plan; an effective distribution strategy; sustainment costs for such an effort; and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning.
- Supply preparation

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.

Pre-disaster and post-disaster 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

- Develop recovery plans and preparedness programs consistent with the principles and guidance in the 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>.

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.

Continuity of Operations / Continuity of Government Planning (COOP/COG) Grant Funding Opportunity

COOP/COG planning is the fundamental responsibility of every government agency that performs an essential function at the State and local level. In order to conduct necessary emergency operations, recovery actions, and other key essential functions during a large-scale or catastrophic event, the agency must have effective Continuity plans in place to support continued operations. Continuity efforts also provide the foundational basis for COG programs, such as succession planning, which are designed to ensure the survival of not only leadership at the State and local level, but also an enduring constitutional government. State and local plans to address COOP/COG issues should be consistent with the Nations Continuity Policy described in Homeland Security Presidential Directive 20 (HSPD-20); the National Continuity Policy Implementation Plan (NCP/IP); and Continuity Guidance Circular's 1 (CGC 1) and 2 (CGC 2), which provides guidance for State, local, territorial, and tribal governments, and private sector organizations in developing robust Continuity plans and programs in support of a comprehensive and integrated national continuity capability. Continuity issues to address include, but are not limited to:

- Determine essential functions and activities, interdependencies, and resources needed to perform them
- Establish orders of succession and delegations of authority to key agency positions and establish and maintain current roster(s) of fully equipped and trained COOP personnel with the authority to perform essential functions
- Provide for the identification and preparation of alternate operating facilities for relocated operations

- Provide for the regular training, testing, and exercising of COOP personnel, systems, and facilities
- Provide for reconstitution of agency capabilities, and transition from continuity operations to normal operations

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; performing close out activities on FEMA Disaster Assistance grants; 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. To ensure adequate resources are dedicated to the critical components of preparedness, grantees 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 CFR Part §225, *Cost Principles for State, Local, and Indian Tribal Governments* (Office of Management and Budget [OMB] *Circular A-87*).

Equipment

Allowable equipment categories for the EMPG Program are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), which is sponsored by FEMA at <http://www.rkb.us>. 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.

The select allowable equipment includes equipment from the following AEL categories:

- 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 State agencies and/or local governments have questions concerning the eligibility of equipment not specifically addressed in the AEL, they should contact their FEMA Regional Program Manager for clarification.

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 Training and Exercise Plan and the Training and Exercise Plan Workshop can be found at <https://hseep.dhs.gov>. 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. All EMPG Program funded personnel shall participate in no less than three exercises in a 12 month period and should complete the following training requirements and record proof of completion.

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; grantees 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/pdf/emergency/nims/nims_training_program.pdf.

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/pdf/emergency/nims/nims_cred_guidelines_report.pdf.

To ensure the professional development of the emergency management workforce, the grantee must ensure a routine capabilities assessment is accomplished and a multi-year training plan is developed and implemented.

Additional types of training 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
- Mass evacuation training at local, State, and tribal levels

Allowable training-related costs include the following:

- **Funds Used to Develop, Deliver, and Evaluate Training.** 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 AAR/IP 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 the awarding agency, 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 approved training.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants.** Full- or part-time staff 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 awarding agency, 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

Exercises implemented with grant funds should evaluate performance of the capabilities required to achieve exercise objectives. Exercise 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 <https://hseep.dhs.gov>. Grantees are encouraged to develop exercises that test their EOP in accordance with the EMPG Program Priority requirements.

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. Grantees 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. Any exercise or exercise gaps, 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 the awarding agency, 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 the awarding agency, 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 a self-sustaining State HSEEP which is modeled after the national 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. Grantees 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.

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 (available through ND grants) to their Grant Program Manager for review. Additionally, grantees are required to submit a SF-424C Budget and Budget detail citing the project costs.

When applying for funds to construct communication towers, grantees and sub-grantees must submit evidence that the FCC's Section 106 review process has been completed and submit all documentation resulting from that review to GPD prior to submitting materials for EHP review. Grantees and sub-grantees 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 grantee believes an Environmental Assessment (EA) may be needed, as defined in 44 CFR 10.8 and 10.9, must also be identified to the FEMA Program Analyst 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.

EMPG Program grantees 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 employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, 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 and future grant awards, unless otherwise noted.

EMPG Program grant funds are intended to support the NPG 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 grantees 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 National preparedness Goal, and (4) shareable through the Emergency Management Assistance Compact. Additionally, eligible costs must also be in support of equipment, training, and critical resources that have previously been purchased with either Federal grant or any other source of funding other than DHS/FEMA preparedness grant program dollars.

Unallowable Costs

- 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, grantees should consult with their FEMA Regional Program Manager prior to making any Investment that does not clearly meet the allowable expense criteria established in this Guidance.

Appendix D – FY 2013 EMPG Program Work Plan

Work Plan Instructions

All EMPG Program applicants are encouraged to use the template 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. FEMA regional offices will work closely with States to monitor Work Plans during the performance period and may request further documentation from the grantee to clarify the projected work plan. In addition, FEMA regional offices must approve final Work Plans before States may draw down EMPG Program funds. Grant funds will be released on a rolling basis 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, if applicable, the following:

- Overview of the State's risk profile such as resulting from a THIRA
- Areas of need identified through assessment processes such as the State Preparedness Report, 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 Plan Analysis Support Tool (PAST)
- State emergency management priorities and planning focus for current budget year (including linkage to the core capabilities identified in the NPG)

Personnel Data Table

To facilitate consistent data reporting and performance measures collection, a Personnel Data Table should be completed for personnel supported with EMPG Program funds. The data requested will assist in documenting the extent to which EMPG Program funding contributes to enhancing or sustaining emergency management capacity in terms of personnel support at the State level. This template will serve as the first component of the Quarterly Performance Progress Report.

Personnel Data Table Template

Personnel Metrics	Data
All EMPG Program funds (Federal and match) allocated towards State emergency management personnel	
Funds allocated towards State contractors	
Non-EMPG Program funds allocated towards State emergency management personnel	
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 by the EMPG Program	

Training Data Table

To facilitate consistent data reporting and performance measures collection, a Training Data Table should be completed for training sessions funded with EMPG Program funds. The data requested will be used to assess the strategic allocation of training funds according to long-term core capability development. Grantees are encouraged to list the name of the training course, total the number of personnel trained, number of EMPG Program supported personnel trained and whether the funded training is aligned to the State's Multi-Year TEP. Grantees should report quarterly completion of planned training activities in the Grant Activities Outline using EMF #13 ("Training"), and the number of personnel trained should be included in the "Comments" section. All EMPG Program funded personnel shall participate in no less than three exercises, have completed the listed training requirements, and record proof of completion.

Training Data Table Template

Name of Training	Number of Personnel Trained	Number of EMPG Program funded personnel	Number of EMPG Program supported Personnel Trained	Training Aligned to Multi-Year Training and Exercise Plan and NPG Core Capabilities? (Yes/No)

Exercise Data Table

To facilitate consistent data reporting and performance measures collection, an Exercise Data Table should be completed for exercises conducted using EMPG Program funds. The data requested will be used to assess the extent to which funded exercises test jurisdiction-specific capability requirements. Grantees are encouraged to list the number of discussion-based exercises funded by type, the number of operations-based exercises funded by type, the name or description of each exercise, and whether the exercise tests the Emergency Operations Plan. Grantees should report quarterly completion of planned exercise activities in the Grant Activities Outline using EMF #14 (“Exercises, Evaluations and Corrective Actions”), and the number of exercises completed should be included in the “Comments” section. The table on the following page should be used to document progress toward EMPG Program Priority requirements.

Exercise Data Table Template

	Number of Exercises - No less than four quarterly exercises (i.e., one exercise per quarter) of any type	Number Counting Towards Multi-Year TEP	Number of EMPG Program Funded Personnel	Number of EMPG Program Funded Personnel Participating in Exercise	Name or Description of Exercise	Exercise Aligned to Emergency Operations Plan and NPG Core Capabilities? (Yes/No)
Discussion-Based						
Seminar						
• AAR complete						
• Corrective Actions identified						
Workshop						
• AAR complete						
• Corrective Actions identified						
Tabletop Exercise (TTX)						
• AAR complete						
• Corrective Actions identified						
Game						
• AAR complete						
• Corrective Actions identified						
<p><i>Progress made towards addressing Corrective Actions.</i> Please indicate at least the percentage progress (i.e. 25% AAR/IP in process—50% AAR/IP awaiting final approval to submit—75% AAR/IP Final submitted—100% AAR/IP actions implemented) made towards the addressing the findings and recommendations of the AAR. Provide more details if satisfactory progress has not been made.</p>						
Operations-Based						
Drill						
• AAR complete						
• Corrective Actions identified						
Functional Exercise						
• AAR complete						
• Corrective Actions identified						
Full-Scale Exercise						
• AAR complete						
• Corrective Actions identified						
<p><i>Progress made towards addressing Corrective Actions.</i> Please indicate at least the percentage progress (i.e. 25% AAR/IP in process—50% AAR/IP awaiting final approval to submit—75% AAR/IP Final submitted—100% AAR/IP actions implemented) made towards the addressing the findings and recommendations of the AAR. Provide more details if satisfactory progress has not been made.</p>						
Progress made towards completing Multi-Year TEP						