

**The U.S. Department of Homeland Security (DHS)  
Notice of Funding Opportunity (NOFO)  
Fiscal Year (FY) 2018 Emergency Management Performance Grant (EMPG)**

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

**A. Program Description**

**Issued By**

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

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

97.042

**CFDA Title**

Emergency Management Performance Grant (EMPG)

**Notice of Funding Opportunity Title**

Emergency Management Performance Grant

## NOFO Number

Grant Program Title	NOFO Number
EMPG – Region I	DHS-18-GPD-042-01-01
EMPG – Region II	DHS-18-GPD-042-02-01
EMPG – Region III	DHS-18-GPD-042-03-01
EMPG – Region IV	DHS-18-GPD-042-04-01
EMPG – Region V	DHS-18-GPD-042-05-01
EMPG – Region VI	DHS-18-GPD-042-06-01
EMPG – Region VII	DHS-18-GPD-042-07-01
EMPG – Region VIII	DHS-18-GPD-042-08-01
EMPG – Region IX	DHS-18-GPD-042-09-01
EMPG – Region X	DHS-18-GPD-042-10-01

### Authorizing Authority for Program

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

### Appropriation Authority for Program

Department of Homeland Security Appropriations Act, 2018 (Pub. L. No. 115-141)

### Program Type

New

### Program Overview, Objectives and Priorities

#### Overview

The FY 2018 Emergency Management Performance Grant Program (EMPG) is set against the backdrop of a year in which the United States faced numerous and unprecedented homeland security challenges. These included the three major hurricanes that devastated parts of Texas, Florida, and much of Puerto Rico and the U.S. Virgin Islands, as well as massive wildfires across the State of California. In addition to these natural disasters, the Nation also responded to multiple incidents as part of the evolving threat landscape, including witnessing the first known terrorist attack executed against mass transportation on our soil; cyberattacks against critical port infrastructure; and mass casualty events involving both vehicles and active shooters.

The National Preparedness Goal (the Goal) defines what it means to be prepared for such diverse and complicated events. The National Preparedness System is the instrument the Nation employs to build, sustain, and deliver the core capabilities needed to achieve the goal of a more secure and resilient Nation. The development and sustainment of these core capabilities is not exclusive to any single level of government or organization, but rather requires the combined effort of the whole community. To that end, the FY 2018 EMPG represents one part of a comprehensive set of measures authorized by Congress and implemented by the Administration. Among the five basic homeland security missions noted in the DHS Quadrennial Homeland Security Review, the EMPG supports the goal to Strengthen National Preparedness and Resilience.

The recently released [2018-2022 FEMA Strategic Plan](#) creates a shared vision for the field of emergency management and sets an ambitious, yet achievable, path forward to unify and further professionalize emergency management across the country. The Emergency Management Performance Grant program supports the goal of Ready the Nation for Catastrophic Disasters. We invite all of our stakeholders and partners to also adopt these priorities and join us in building a stronger Agency and a more prepared and resilient Nation.

### **Objectives**

The purpose of EMPG is to provide Federal funds to states to assist state, local, territorial, and tribal governments in preparing for all hazards, as authorized by Section 662 of the *Post-Katrina Emergency Management Reform Act* (6 U.S.C. § 762) and the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (42 U.S.C. §§ 5121 *et seq.*). Title VI of the *Stafford Act* authorizes DHS/FEMA to make grants for the purpose of providing a system of emergency preparedness for the protection of life and property in the United States from all hazards and to vest responsibility for emergency preparedness jointly in the Federal Government, states, and their political subdivisions. The Federal Government, through EMPG, provides direction, coordination, and guidance, and provides necessary assistance, as authorized in this title, to support a comprehensive all-hazards emergency preparedness system. The FY 2018 EMPG will provide Federal funds to assist state, local, tribal, and territorial emergency management agencies to obtain the resources required to support implementation of the National Preparedness System and the [National Preparedness Goal](#) (the Goal) of a secure and resilient Nation.

Performance metrics for this program are as follows:

- Percent improvement in Stakeholder Preparedness Review (SPR) capabilities against Threat and Hazard Identification and Risk Assessment (THIRA) targets
- Percent of states and territories with a THIRA and SPR that meet current DHS/FEMA guidance

### **Priorities**

The [National Preparedness System](#) is the instrument the Nation employs to build, sustain, and implement core capabilities to achieve the [Goal](#) of a secure and resilient Nation.

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

DHS encourages EMPG recipients and subrecipients to prioritize grant funding toward investments that address capability targets and gaps identified through the annual Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) (formerly known as the State Preparedness Report) process. Recipients and subrecipients should use grant funds to increase capability for high-priority core capabilities with low capability levels, validate capability levels, and maintain and/or sustain current capabilities. Additional information, including guidelines for completing the THIRA and SPR, can be found at: <https://www.fema.gov/media-library/assets/documents/26335> and <http://www.fema.gov/stakeholder-preparedness-review>.

DHS/FEMA annually publishes the annual National Preparedness Report (NPR) to evaluate progress in building, sustaining, and delivering the core capabilities outlined in the Goal. This analysis provides a national perspective on critical preparedness trends for whole community partners to use to inform program priorities, allocate resources, and communicate with stakeholders about issues of shared concern. The NPR can be found at <http://www.fema.gov/national-preparedness-report>.

In developing applications for the FY 2018 EMPG, recipients should consider funding projects that address core capability gaps within the NPR national areas for improvement as they relate to emergency management capabilities, including:

- Cybersecurity;
- Infrastructure Systems;
- Economic Recovery;
- Housing;
- Natural and Cultural Resources; and
- Supply Chain Integrity and Security.

Minimum funding amounts are not prescribed by DHS/FEMA for these priorities. However, recipients are expected to support state, local, regional, tribal, territorial, and national efforts to achieve the desired outcomes for these priorities. Grant funds should clearly support resources the recipients need to achieve the THIRA targets and close capability gaps identified in the SPR.

For additional details on priorities for EMPG, please refer to [Appendix A – FY 2018 EMPG Priorities](#).

## **B. Federal Award Information**

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

**Available Funding for the EMPG:** **\$350,100,000**

**Period of Performance:** **Twenty-four (24) months**

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

DHS/FEMA anticipates the overall period of performance for awards issued under this NOFO will be up to 72 months, encompassing five (5) program years. DHS/FEMA anticipates that it will fund a program year every twelve (12) months, and that the period of performance for the funds provided in each program year will be two (2) years. The funds provided under this announcement will be for the first program year, which will have a two-year period of performance. Annual funding for program years two through five is not currently available, and will only be provided subject to the availability of funds. Should funding become available for additional program years, applicants will be required to submit an application and proposed budget for approval by DHS/FEMA before any additional funds are awarded.

**Projected Period of Performance Start Date(s):** **October 1, 2017**

**Projected Period of Performance End Date(s):** **September 30, 2019**

**Funding Instrument:** **Grant**

## **C. Eligibility Information**

### **Eligible Applicants**

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

### **Eligibility Criteria**

All 56 states and territories, as well as the Republic of the Marshall Islands and the Federated States of Micronesia, are eligible to apply for FY 2018 EMPG funds. Either the SAA or the EMA is eligible to apply directly to FEMA for EMPG funds on behalf of each state or territory. However, only one application will be accepted from each state or territory.

### **Other Eligibility Criteria**

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

In support of the Goal, EMPG recipients must belong to, be located in, or act as an EMAC temporary member state, except for American Samoa, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Commonwealth of the Northern Mariana Islands, which are not currently required to belong to EMAC. All assets supported in part or entirely with FY 2018 EMPG funding must, where applicable, be readily deployable to support emergency or disaster operations, per existing EMAC agreements.

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

Prior to allocation of any Federal preparedness awards in FY 2018, recipients must ensure and maintain adoption and implementation of NIMS. DHS/FEMA describes the specific activities involved in NIMS implementation in the NIMS Implementation Objectives (<https://www.fema.gov/implementation-guidance-and-reporting>).

Incident management activities require carefully managed resources (personnel, teams, facilities, equipment, and/or supplies). Utilization of the standardized resource management concepts, such as typing, credentialing, and inventorying, promote a strong national mutual aid capability needed to support delivery of core capabilities. Recipients should manage resources purchased or supported with DHS/FEMA grant funding according to NIMS resource management guidance. Additional information on resource management and NIMS resource typing definitions and job titles/position qualifications is available under <http://www.fema.gov/resource-management-mutual-aid>.

### **Cost-Share or Match**

A cost-match is required under this program.

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

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

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

### **Key Dates and Times**

**Date Posted to Grants.gov:**

**May 21, 2018**

**Application Submission Deadline:**

**June 20, 2018, 5:00pm ET**

All applications **must** be received by the established deadline. The Non-Disaster (ND) Grants System has a date stamp that indicates when an application is submitted. Applicants will receive an electronic message confirming receipt of the full application. **DHS/FEMA will not review applications that are not received by the deadline or consider them for funding.**

DHS/FEMA may, however, extend the application deadline, upon request, for any applicant who can demonstrate that good cause exists to justify extending the deadline. Good cause for an extension may include technical problems outside of the applicant's control that prevent submission of the application by the deadline or other exigent or emergency circumstances. Extensions based on exigent or emergency circumstances will be made on case-by-case basis, with the final determination resting with DHS/FEMA. Applicants who experience technical issues must notify the EMPG Regional Program Manager before the application deadline.

**Anticipated Funding Selection Date:**

**August 27, 2018**

**Anticipated Award Date:**

**Before September 30, 2018**

#### **Address to Request Application Package**

Application forms and instructions are available on [Grants.gov](http://Grants.gov) (hardcopies of the NOFO and associated application materials are not available.) To access the application package, select "Applicants" then "Apply for Grants" followed by "Get Application Package." Enter the Funding Opportunity Number located in this NOFO. Select "Apply" and then "Create Workspace." Follow the prompts to download the instructions and begin the application.

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

Initial applications will be processed through the [Grants.gov](http://Grants.gov) portal and final applications will be processed through FEMA's Non-Disaster Grants ([ND Grants](#)) System.

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

Applying for an award under this program is a multi-step process. To ensure that an application is submitted on time applicants are advised to start the required steps well in advance of their submission. Failure of an applicant to comply with any of the required steps before the deadline for submitting their application may disqualify their application from funding.

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

1. Applying for, updating, or verifying their Data Universal Numbering System (DUNS) Number and Employer ID Number (EIN);
2. Updating or verifying their System for Award Management (SAM) Registration;

3. Establishing an Authorized Organizational Representative (AOR) in [Grants.gov](https://www.grants.gov);
4. Submitting an initial application in [Grants.gov](https://www.grants.gov); and
5. Submitting the final application in the [ND Grants](https://www.nd.gov/nd-grants) system.

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

All applicants for this award must:

1. Be registered in SAM before submitting its application;
2. Provide a valid DUNS number in its application; and
3. Continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by DHS/FEMA.

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

### **Electronic Delivery**

DHS/FEMA is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. DHS/FEMA requires applicants to submit their initial applications online through [Grants.gov](https://www.grants.gov) and final applications through [ND Grants](https://www.nd.gov/nd-grants).

### **How to Register to Apply through [Grants.gov](https://www.grants.gov)**

1. *Instructions:* Read the instructions below about registering to apply for DHS/FEMA funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

The registration process can take up to four weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required application submission deadlines.

Organizations must have a DUNS Number, active SAM registration, and Grants.gov account to apply for grants.

If individual applicants are eligible to apply for this grant funding opportunity, refer to: <https://www.grants.gov/web/grants/applicants/registration.html>

Organization applicants can find complete instructions here: <https://www.grants.gov/web/grants/applicants/organization-registration.html>

2. *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a DUNS number from Dun & Bradstreet (D&B). Applicants must enter the DUNS number in the data entry field labeled "Organizational DUNS" on the SF-424 form.

For more detailed instructions for obtaining a DUNS number, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

3. *Register with SAM:* In addition to having a DUNS number, all organizations applying online through Grants.gov must register with the System for Award Management (SAM). Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually.

For more detailed instructions for registering with SAM, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

4. *Create a Grants.gov Account:* The next step in the registration process is to create an account with Grants.gov. Applicants must know their organization's DUNS number to complete this process.

For more information, follow the on-screen instructions or refer to:

<https://www.grants.gov/web/grants/applicants/registration.html>

5. *Add a Profile to a Grants.gov Account:* A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the DUNS Number for the organization in the DUNS field while adding a profile.

For more detailed instructions about creating a profile on Grants.gov, refer to

<https://www.grants.gov/web/grants/applicants/registration/add-profile.html>

6. *EBiz POC Authorized Profile Roles:* After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the EBiz POC. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role.

For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>

7. *Track Role Status:* To track your role request, refer to:  
<https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>
8. *Electronic Signature:* When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize individuals who are able to make legally binding commitments on behalf of the organization as an AOR; **this step is often missed and it is crucial for valid and timely submissions.**

### **How to Submit an Initial Application to DHS/FEMA via Grants.gov**

Grants.gov applicants apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each Notice of Funding Opportunity (NOFO), you can create individual instances of a Workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities using Workspace, refer to:

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>

1. *Create a Workspace:* Creating a Workspace allows you to complete it online and route it through your organization for review before submitting.
2. *Complete a Workspace:* Add participants to the Workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission.
3. *Adobe Reader:* If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace so that they will appear similar to other Standard or DHS/FEMA forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on [Grants.gov](https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html) to download the appropriate version of the software at: <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

4. *Mandatory Fields in Forms:* In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
5. *Complete SF-424 Fields First:* The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.

6. *Submit a Workspace:* An application may be submitted through Workspace by clicking the “Sign and Submit” button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least ten days prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
7. *Track a Workspace:* After successfully submitting a Workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted Workspace.

For additional training resources, including video tutorials, refer to:  
<https://www.grants.gov/web/grants/applicants/applicant-training.html>

*Applicant Support:* Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at [support@grants.gov](mailto:support@grants.gov). For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the [Grants.gov](#) Support Center and get a ticket number. The Support Center ticket number will assist the DHS/FEMA with tracking your issue and understanding background information on the issue.

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

After submitting the initial application in [Grants.gov](#), eligible applicants will be notified by DHS/FEMA and asked to proceed with submitting their complete application package in [ND Grants](#). Applicants can register early with ND Grants and are encouraged to begin their ND Grants registration at the time of this announcement or at the latest, ten days before the application deadline. Early registration will allow applicants to have adequate time to start and complete their application.

In [ND Grants](#) applicants will be prompted to submit all of the information contained in the following forms. Applicants should review these forms before applying to ensure they have all the information required:

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form LLL, Disclosure of Lobbying Activities

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

- Program Work Plan (see [Appendix C – FY 2018 EMPG Work Plan](#));
- Indirect Cost Rate Agreement, if applicable.

Applicants must submit copies of the following in ND Grants, if applying for construction projects:

- Standard Form 424C, Budget Information (Construction)
- Standard Form 424D, Standard Assurances (Construction)

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

### **Timely Receipt Requirements and Proof of Timely Submission**

All applications must be received in [ND Grants](#) by **5:00 PM Eastern Time** on June 20, 2018. Proof of timely submission is automatically recorded by [ND Grants](#). An electronic date/time stamp is generated within the system when the application is successfully received by [ND Grants](#). The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from [Grants.gov](#) with the successful transmission of their initial application. This applicant with the AOR role will also receive the official date/time stamp and [Grants.gov](#) Tracking number in an email serving as proof of their timely submission.

Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before [Grants.gov](#) and [ND Grants](#) receive your application. Again, [Grants.gov](#) will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role. The [Grants.gov](#) Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the systems time to process the application.

Applicants needing assistance with the [ND Grants](#) system should contact [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076.

### **Intergovernmental Review**

An intergovernmental review may be required. Applicants must contact their state's Single Point of Contact (SPOC) to comply with the state's process under Executive Order 12372 (See <http://www.fws.gov/policy/library/rgeo12372.pdf>).

### **Funding Restrictions**

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

EMPG recipients may only fund activities and projects that are included and approved in the FY 2018 EMPG Work Plan. Activities and projects may include capability sustainment supported by previous EMPG funds provided the sustainment activity is cited in the FY 2018 Work Plan.

## **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 grant funded projects, comply with Federal EHP regulations, laws and Executive Orders, as applicable. Recipients and subrecipients proposing projects that have the potential to impact the environment, including, but not limited to, construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the DHS/FEMA EHP review process. The EHP review process involves the submission of a detailed project description 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, DHS/FEMA is also required to consult with other regulatory agencies and the public to complete the review process. The EHP review process must be completed and approved before funds are released to carry out the proposed project; otherwise, DHS/FEMA may not be able to fund the project due to non-compliance with EHP laws, executive orders, regulations, and policies.

Additionally, all recipients are required to comply with DHS/FEMA EHP Policy Guidance, FEMA Policy 108-023-1. The EHP screening form is located [here](#) and further EHP guidance can be found at <https://www.fema.gov/media-library/assets/documents/85376>.

## **Emergency Communications and Resilience**

All entities using EMPG funding to support emergency communications investments are required to comply with the [SAFECOM Guidance on Emergency Communications Grants \(SAFECOM Guidance\)](#). The SAFECOM Guidance provides current information on emergency communications policies, eligible costs, best practices, and technical standards for State, local, tribal, and territorial recipients investing Federal funds in emergency communications projects. It is also designed to promote and align with the [National Emergency Communications Plan \(NECP\)](#). Conformance with the SAFECOM Guidance helps ensure that Federally-funded investments are compatible, interoperable, resilient, and support national goals and objectives for improving emergency communications.

## **FirstNet**

The *Middle Class Tax Relief and Job Creation Act of 2012*, Pub. L. No. 112-96, as amended (codified in part at 47 U.S.C. §§ 1401-1473) established the First Responder Network Authority (hereinafter FirstNet Authority) as an independent authority within the National Telecommunications and Information Administration (“NTIA”).<sup>1</sup> The FirstNet Authority’s statutory mission is to establish a nationwide public safety broadband network (FirstNet).<sup>2</sup> FirstNet uses the 700 MHz D block spectrum to provide Long-Term Evolution (LTE)-based broadband services and applications to public safety entities.<sup>3</sup> FirstNet became operational in March 2018 and is based on a single, national network architecture that will

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<sup>1</sup> 47 U.S.C. § 1424(a).

<sup>2</sup> 47 U.S.C. § 1426(b).

<sup>3</sup> 47 U.S.C. §§ 1401(2), 1421(a).

evolve with technological advances and initially consist of a core network and radio access network (RAN).

FirstNet will provide public safety entities with mission critical broadband data capabilities and services including, but not limited to messaging, image sharing, video streaming, group text, voice, data storage, application, location-based services, and Quality of Service, Priority and Preemption. Public safety entities seeking to enhance their operational capabilities using broadband technology may seek grant funding to support the following:

- **Planning for integration** of Information Technology (IT) infrastructure, software, and site upgrades necessary to connect to FirstNet.
- **Handheld broadband devices** including smartphones, feature phones, tablets, wearables, push-to-talk (PTT) devices.
- **Vehicle-mounted or otherwise field operated data devices** such as ruggedized laptops.
- **Network access devices** including portable Wi-Fi devices, Universal Serial Bus (USB) modems/dongles, trunk-mounted modems, routers.
- **Customer Owned and Managed (COAM) broadband deployable equipment**, enabling public safety to own and dispatch coverage expansion or capacity enhancement equipment within their jurisdiction.
- **Broadband device accessories** that enable efficient and safe public safety operations such as headsets, belt clips, ear pieces, remote Bluetooth sensors, ruggedized cases.
- **Subscriber Identification Modules (SIMs)/Universal Integrated Circuit Cards (UICCs)** to allow public safety users to update existing devices to operate on public safety prioritized services.
- **One-time purchase and subscription-based applications** for public safety use which could include, among a number of other options, enterprise mobility management (EMM), mobile device management (MDM), mobile Virtual Private Network (VPN), identify services, or cloud service tools.

As FirstNet is built out in all 56 states and territories and coverage and capacity for first responders expands, recipients are strongly encouraged to coordinate with the Statewide Interoperability Coordinator (SWIC) and FirstNet on (1) the planning, deployment timelines, and operational availability of the network deployment within a specific state or territory; (2) to ensure the project does not conflict with network planning efforts; and (3) that the project complies with all technical requirements. FirstNet requires participating agencies to demonstrate a subscription to public safety-prioritized broadband services to purchase FirstNet broadband devices or applications. **Information Bulletin #386 is hereby rescinded as the technical requirements and nationwide network architecture has been developed, and FirstNet is operational.** Recipients, however, must coordinate with FirstNet in advance of any strategic acquisition of broadband LTE equipment to ensure that purchases adhere to all applicable standards for public safety entities. Recipients with questions on FirstNet should contact [info@firstnet.gov](mailto:info@firstnet.gov). Please refer to the [FY 2018 SAFECOM Guidance on Emergency Communications](#) for additional guidance.

**Pre-Award costs**

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

**Cost Principles**

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

**Direct Costs****Planning**

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

**Organization**

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

**Equipment**

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

**Training**

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

**Exercises**

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

**Travel**

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

**Construction and Renovation**

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

**Operational Overtime**

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

**Maintenance and Sustainment**

Funding may be used to sustain programs that help achieve core capabilities that, while they may not be physically deployable, support national response capabilities, such as

Geographic/Geospatial Information Systems (GIS), interoperable communications systems, capabilities as defined under the Response Mission Area of the Goal, and fusion centers.

For additional details on the use of funds, please refer to [Appendix B – FY 2018 EMPG Funding Guidelines](#).

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

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

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

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

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

## **E. Application Review Information**

### **Application Evaluation Criteria**

Prior to making a Federal award, FEMA is required by 31 U.S.C. § 3321 note, 41 U.S.C. § 2313, and 2 C.F.R. § 200.205 to review information available through any OMB-designated repositories of government wide eligibility qualification or financial integrity information. Application evaluation criteria may include the following risk-based considerations of the applicant: (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing Federal awards; (4) reports and findings from audits; and (5) ability to effectively implement statutory, regulatory, or other requirements.

FY 2018 EMPG applications will be evaluated for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed Work Plan. The results from the review process may require applicants to revise submissions before the release of EMPG funding. There is a cost share for EMPG. Failure to note the match on the SF-424 at time of application may delay processing of the application

Grant recipients are expected to conform, as applicable, with accepted engineering practices, established codes, standards, modeling techniques, and best practices, and participate in the development of case studies demonstrating the effective use of grant funds, as requested.

## **Review and Selection Process**

### **Initial Review**

FEMA's Regional EMPG Managers conduct all pre-award reviews for EMPG grants. All EMPG Work Plans will require final approval by the appropriate FEMA regional office.

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

### **Overall Review**

FEMA regions are responsible for reviewing submitted applications. Each FEMA Regional EMPG Manager reviews the FY 2018 EMPG Work Plans for their states/territories to assess their proposed EMPG investments against recognized emergency preparedness needs, including support for maintenance and sustainment of core capabilities and progress made toward implementing the National Preparedness System.

For additional details on application review information, please refer to [Appendix C – FY 2018 EMPG Work Plan](#).

### **Supplemental Financial Integrity Review**

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

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

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

### **Notice of Award**

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

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

Recipients must accept their awards no later than 90 days from the award date. The recipient shall notify DHS/FEMA of its intent to accept and proceed with work under the award or provide a written notice of intent to decline. Instructions on accepting or declining an award in the ND Grants System are described in the ND Grants Grantee Training Manual, located here: <https://www.fema.gov/media-library/assets/documents/25949>.

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

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

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

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

### **Obligation or Transfer to State EMA and Pass-Through Funding**

Each state shall obligate 100 percent (100%) of its total EMPG allocation to the designated state-level EMA. If the SAA is also the EMA, this requirement is automatically met. If the SAA is a separate agency or has a separate budget process, then EMPG funds must be obligated to the EMA within 15 days of the grant award date.

In instances where the state EMA is making sub-awards to local jurisdictions, DHS/FEMA expects the state EMA to make these awards as expeditiously as possible.

### **Reporting**

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

### **Federal Financial Reporting Requirements**

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

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

The FFR is available online at:

<https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html> - sortby=1, SF-425 OMB #4040-0014.

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

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

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

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

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

### **Program Performance Reporting Requirements**

#### **Performance Progress Reports (PPR)**

Recipients are responsible for providing updated performance reports to FEMA using a Microsoft Word (Word) document summary attached in ND Grants on a quarterly basis. As explained in the *Standardized Programmatic Reporting* section below, the Quarterly Performance Progress Reports must be based on the approved EMPG Work Plan and are due no later than 30 days after the end of the quarter (i.e., on January 30, April 30, July

30, and October 30). Recipients must complete the summary of activities and submit it as an attachment to the ND Grants system.

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

- List of completed training courses and exercises and the Training and Exercise Data Table (templates are available in [Appendix C – FY 2018 EMPG Work Plan](#)).
- Percent completion of the Training and Exercise Plan (TEP) outlined in the FY 2018 EMPG Work Plan (templates are available in [Appendix C – FY 2018 EMPG Work Plan](#)).

**Programmatic Reporting Periods and Due Dates**

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

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

**Standardized Programmatic Reporting for EMPG**

The EMPG Work Plan Template was modified to standardize data collection for improved analysis and reporting. The EMPG Work Plan includes five components: (1) Program and Budget Narrative, (2) Personnel Data Table, (3) Training Data Table, (4) Exercise Data Table, and (5) Grant Activities Outline. Baseline data on Personnel, Training, and Exercises, as well as the Grant Activities Outline, must be provided in the EMPG Work Plan at the time of application and will form the basis of the Quarterly Performance Progress Report Word document submissions. The Grant Activities Outline is structured to enable reporting of quarterly activities according to Emergency Management Function (EMF) projects, as well as standardized reporting of activity completion status.

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

- **Planning:** Planning efforts should span all five Goal mission areas. The EMPG Work Plan should provide a baseline for determining potential threats and hazards, required capabilities, and required resources. It should also establish a

framework for roles and responsibilities. Planning efforts should demonstrate whole community engagement to create a strategic, operational, and/or community-based approach to preparedness.

- **Organization:** EMPG funds may be used for all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management, including staffing the State Hazard Mitigation Officer (SHMO) position, as well as Community Emergency Response Team (CERT) and Citizen Corps positions at the state and local levels in order to promote whole community engagement in all phases of emergency management and across the mission areas.
- **Equipment:** Allowable EMPG equipment categories are listed on the web-based version of the Authorized Equipment List (AEL), which is available at <https://www.fema.gov/authorized-equipment-list>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS/FEMA-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.
- **Training:** EMPG funds may be used for a range of emergency management-related training activities to enhance the capabilities of state and local emergency management personnel, including establishing, supporting, conducting, and attending training deliveries. Training activities should align to a current, Multi-Year TEP developed through an annual Training and Exercise Plan Workshop (TEPW) and should reflect efforts to address training capabilities gaps identified through the THIRA/SPR processes.
- **Exercises:** Exercises conducted with grant funds should test and evaluate performance towards meeting capability targets established in a jurisdiction's THIRA for the core capabilities needed to address its greatest risks. Exercise priorities should align to a current, Multi-Year TEP developed through an annual TEPW.

For more details on the EMPG Work Plan, please refer to [Appendix C – FY 2018 EMPG Work Plan](#).

## **Additional Programmatic Reporting Requirements and Information**

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

In addition to the quarterly financial and biannual performance progress reports, recipients are responsible for completing and submitting BSIRs through the Grants Reporting Tool (GRT). 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 report); and January 30 for the reporting period of July 1 through December 31 (winter BSIR report). All required attributes of each project must be included. Updated obligations, expenditures, and significant developments must be provided within the BSIR to show progress of implementation for every project, as well as how

expenditures support Planning, Organization, Equipment, Training and Exercises (POETE). The first BSIR will be due January 30, 2018 (30 days after the end of the first reporting period for the award). Subsequent BSIR reports will require recipients to report on a project-by-project basis.

### **2018/2019 Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) Process**

By December 31, 2018, FY 2018 recipients are required to submit a THIRA/SPR, using an updated methodology that assesses only the response, recovery, and cross-cutting capabilities. In FY 2019, reporting on all core capabilities will be required and the SPR will still be submitted annually. However the THIRA requirement will be reduced to every three years. Also beginning with the FY 2018 award cycle, the State Preparedness Report will be known as the Stakeholder Preparedness Review. The acronym SPR will continue to be used. States, territories, and Urban Areas will be required to submit a SPR annually. For additional guidance on THIRA, please refer to CPG 201, Third Edition, available at <http://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>.

### **2017 Threat and Hazard Identification and Risk Assessment (THIRA)**

Although the THIRA/SPR process is changing this year, as discussed later in this section, grant investment justifications for FY 2018 applications should be based on previously submitted 2017 THIRA results. The THIRA is a grant requirement for all States, territories, and Urban Areas. The THIRA is a risk-informed assessment of capability requirements that helps jurisdictions identify, understand, and plan for its worst most plausible threats and hazards.

### **2017 Stakeholder Preparedness Review (SPR) [formerly State Preparedness Report]**

The SPR is a grant requirement for all States, territories, and urban areas. It is an annual capability assessment that helps jurisdictions identify capability gaps and prioritize investment requirements to reach the targets set in their THIRA. Completing the SPR and tying the results to funding requests creates a stronger investment justification. Additional information on the THIRA/SPR process can be found at <https://www.fema.gov/national-preparedness-system>.

### **Supplemental Information Reporting Systems**

In addition to ND Grants, the following information systems are used for the submission of required reports:

**Grant Reporting Tool (GRT):** EMPG recipients will submit their BSIR information in the GRT. EMPG recipients are responsible for filing a biannual BSIR report in the GRT and should register to create an account as soon as possible. Recipients should go to the following link and follow the links to create a new account:

<https://www.reporting.odp.dhs.gov/>. This report is used to track the progress toward the completion of projects.

**Unified Reporting Tool (URT):** The URT is DHS/FEMA's collection mechanism for THIRA, SPR, and related preparedness information. The FY 2018 URT includes questions related to NIMS adoption and implementation, CPG 101v2 compliance, and other preparedness questions, as appropriate. Information on the URT, including when recipients will receive the tool and how to use the tool, will be sent to recipients later in 2018.

### **Closeout Reporting Requirements**

DHS/FEMA will closeout the grant award when all applicable administrative actions and all required work of the EMPG award are completed by the recipient. This section summarizes the actions that the recipient must take to complete the closeout process in accordance with 2 C.F.R. § 200.343 at the end of the grant's original period of performance or amended period of performance as specified in an approved Grant Adjustment Notice (GAN).

Within 90 days of the end of the period of performance, or after expiration of a GAN, recipients must submit:

1. Final FFR (SF-425)
2. Final PPR including final Activity Outline Report from the Work Plan
3. Final request for payment, if applicable
4. A qualitative summary of the impact of accomplishments throughout the entire period of performance submitted to the respective Regional Program Manager
5. Other documents required by program guidance or terms and conditions of the award

If applicable, an inventory of all construction projects that used funds from this program will be reported using the [Real Property Status Report \(SF-429\)](#).

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

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

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

### **Disclosing Information per 2 C.F.R. § 180.335**

This reporting requirement pertains to disclosing information related to government-wide suspension and debarment requirements. Before a recipient enters into a grant award with FEMA, the recipient must notify FEMA if it knows if any of the recipient's principals under the award fall under one or more of the four criteria listed at 2 C.F.R. § 180.335. At any time after accepting the award, if the recipient learns that any of its principals falls under one or more of the criteria listed at 2 C.F.R. § 180.335, the recipient must provide immediate written notice to FEMA in accordance with 2 C.F.R. § 180.350.

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

### **Contact and Resource Information**

#### **Centralized Scheduling and Information Desk (CSID)**

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

#### **DHS/FEMA/GPD Grant Operations Division**

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

#### **FEMA Regional Offices**

FEMA Regional offices manage, administer, and conduct the application budget review, create the award package, approve, amend, and close out awards, as well as conduct cash analysis, financial and programmatic monitoring, and audit resolution for the EMPG. The Regions also provide technical assistance to EMPG awardees. FEMA Regional Office contact information is available at: <https://www.fema.gov/fema-regional-contacts>

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

The DHS/FEMA GPD EHP Team provides guidance and information about the EHP review process to recipients and subrecipients. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to [gpdehpinfo@fema.gov](mailto:gpdehpinfo@fema.gov). EHP Technical Assistance, including the EHP Screening Form, can be found at: <https://www.fema.gov/media-library/assets/documents/85376>.

## **Systems Information**

### **Grants.gov**

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

### **ND Grants System**

For technical assistance with the ND Grants System, please contact the ND Grants Helpdesk at [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076, Monday through Friday, 9:00 a.m. – 5:00 p.m. ET.

### **Payment and Reporting System (PARS)**

DHS/FEMA uses the DHS/FEMA [Payment and Reporting System \(PARS\)](#) for financial reporting, invoicing, and tracking payments. DHS/FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to recipients. To enroll in the DD/EFT, the recipients must complete a Standard Form 1199A, Direct Deposit Form.

## **H. Additional Information**

### **Monitoring and Evaluation**

EMPG recipients will be monitored programmatically and financially biannually and as needed by DHS/FEMA staff to ensure that activities, 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, onsite monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each Federal assistance award and will identify areas where technical assistance, corrective actions, and other support that may be needed.

As part of its grant oversight responsibility, DHS/FEMA is conducting a series of grant effectiveness case studies jointly with grant recipients to highlight how states and urban areas have used Federal grants to improve preparedness. The purpose of the project is to better understand the factors that jurisdictions consider when determining which grant projects to fund, understand how jurisdictions measure grant effectiveness, and document key findings and success stories that will help both grant recipients and DHS/FEMA more effectively communicate the importance of Federal grant programs to policymakers and the public. Although not mandatory, recipients are encouraged to participate given the mutual benefits to be gained from this collaborative effort.

### **Period of Performance Extensions**

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

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

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

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

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

### **Procurement Integrity**

Through audits conducted by DHS Office of Inspector General (OIG) and FEMA grant monitoring, findings have shown that some FEMA recipients have not fully adhered to the proper procurement requirements when spending grant funds. Anything less than full compliance with Federal procurement policies jeopardizes the integrity of the grant as well as the grant program. Noncompliance with the Federal procurement rules may result in FEMA imposing specific conditions as described in 2 C.F.R. § 200.207 or other remedies for noncompliance under 2 C.F.R. § 200.338.

The below highlights the Federal procurement requirements for FEMA recipients when procuring goods and services with Federal grant funds. DHS will include a review of recipients' procurement practices as part of the normal monitoring activities. **All procurement activity must be conducted in accordance with Federal Procurement Standards at 2 C.F.R. §§**

**200.317 – 200.326.** Select requirements under these standards are listed below. The recipient must comply with all requirements, even if they are not listed below.

Under 2 C.F.R. § 200.317, when procuring property and services under a Federal award, states must follow the same policies and procedures they use for procurements from their non-Federal funds; additionally, states must follow 2 C.F.R. § 200.322 regarding procurement of recovered materials, and 2 C.F.R. § 200.326 regarding required contract provisions.

**All other non-Federal entities, such as tribes,** must use their own documented procurement procedures which reflect applicable state, local, territorial and tribal laws and regulations, provided that the procurements conform to applicable Federal law and the standards identified in 2 C.F.R. Part 200. These standards include, but are not limited to providing for full and open competition consistent with the standards of 2 C.F.R. § 200.319.

### **Competition and Conflicts of Interest**

Among the requirements of 2 C.F.R. § 200.319(a) applicable to all non-Federal entities other than States, in order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, or invitations for bids or requests for proposals must be excluded from competing for such procurements. **FEMA considers this an organizational conflict of interest and interprets this restriction as applying to contractors that help a recipient develop its grant application, project plans, or project budget. This prohibition also applies to the use of former employees to manage the grant or carry out a contract when such former employees worked on such activities while they were employees of the non-Federal entity.**

Under this prohibition, unless the non-Federal entity solicits for and awards a contract covering both development and execution of specifications (or similar elements as described above), and this contract was procured in compliance with 2 C.F.R. §§ 200.317 – 200.326, Federal funds cannot be used to pay a contractor to carry out the work if that contractor also worked on the development of such specifications. This rule applies to all contracts funded with Federal grant funds, including pre-award costs, such as grant writer fees, as well as post-award costs, such as grant management fees.

Additionally, some of the situations considered to be restrictive of competition include, but are not limited to:

- Placing unreasonable requirements on firms in order for them to qualify to do business.
- Requiring unnecessary experience and excessive bonding.
- Noncompetitive pricing practices between firms or between affiliated companies.
- Noncompetitive contracts to consultants that are on retainer contracts.
- Organizational conflicts of interest.

- Specifying only a “brand name” product instead of allowing “an equal” product to be offered and describing the performance or other relevant requirements of the procurement.
- Any arbitrary action in the procurement process.

Pursuant to 2 C.F.R. § 200.319(b), non-Federal entities other than states must conduct procurements in a manner that prohibits the use of statutorily or administratively imposed state, local, territorial or tribal geographical preferences in the evaluation of bids or proposals, except in those cases where applicable Federal statutes expressly mandate or encourage geographic preference. Nothing in this section preempts state licensing laws. When contracting for architectural and engineering services, geographic location may be a selection criterion provided its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.

Pursuant to 2 C.F.R. § 200.318(c)(1), non-Federal entities other than states are required to maintain written standards of conduct covering conflicts of interest and governing the actions of their employees engaged in the selection, award, and administration of contracts. **No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest.** Such conflicts of interest would arise when the employee, officer or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract.

The officers, employees, and agents of the non-Federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. However, non-Federal entities may set standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value. The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the non-Federal entity.

If the recipient or subrecipient (other than states) has a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian tribe, the non-Federal entity must also maintain written standards of conduct covering organizational conflicts of interest. In this context, organizational conflict of interest means that because of a relationship with a parent company, affiliate, or subsidiary organization, the non-Federal entity is unable or appears to be unable to be impartial in conducting a procurement action involving a related organization. The non-Federal entity must disclose in writing any potential conflicts of interest to FEMA or the pass-through entity in accordance with applicable FEMA policy.

### **Supply Schedules**

Generally, a non-Federal entity may seek to procure goods or services from a Federal supply schedule, state supply schedule, or group purchasing agreement. State and local

governments may procure goods and services from a General Services Administration (GSA) schedule. Information about GSA programs for state and local governments can be found at <https://www.gsa.gov/resources-for/programs-for-state-and-local-governments>. For local governments that purchase off a GSA schedule, this will satisfy the Federal requirements for full and open competition provided that the recipient follows the GSA ordering procedures; however, local governments will still need to follow the other rules under 2 C.F.R. §§ 200.317 – 200.326, such as contract cost and price (§ 200.323) and solicitation of minority, women-owned, or small businesses (§ 200.321).

For non-Federal entities other than states, such as tribes, that want to procure goods or services from a state supply schedule, cooperative purchasing program, or other similar program, in order for such procurements by to be permissible, the following must be true:

- The procurement of the original contract or purchasing schedule and its use by the recipient complies with state and local law, regulations, and written procurement procedures.
- The state or other entity that originally procured the original contract or purchasing schedule entered into the contract or schedule with the express purpose of making it available to the recipient and other similar types of entities.
- The contract or purchasing schedule specifically allows for such use, and the work to be performed for the non-Federal entity falls within the scope of work under the contract as to type, amount, and geography.
- The procurement of the original contract or purchasing schedule complied with all of the procurement standards applicable to a non-Federal entities other than states under at 2 C.F.R. §§ 200.317 – 200.326.
- With respect to the use of a purchasing schedule, the recipient must follow ordering procedures that adhere to state and local laws and regulations and the minimum requirements of full and open competition under 2 C.F.R. Part 200.

If a non-Federal entity other than a state seeks to use such a state supply schedule, cooperative purchasing program, or other similar type of arrangement, it is recommended that recipients discuss their procurement plans with the FEMA Grant Programs Directorate.

### **Documentation**

Non-Federal entities are required to maintain and retain the following:

- Backup documentation, such as bids and quotes.
- Cost/price analyses on file for review by Federal personnel, if applicable.
- Other documents required by Federal regulations applicable at the time a grant is awarded to a recipient.

FEMA requires that non-Federal entities maintain the following documentation for Federally funded purchases:

- Specifications
- Solicitations

- Competitive quotes or proposals
- Basis for selection decisions
- Purchase orders
- Contracts
- Invoices
- Cancelled checks

Non-Federal entities should keep detailed records of all transactions involving the grant. FEMA may at any time request copies of purchasing documentation along with copies of cancelled checks for verification.

Non-Federal entities who fail to fully document all purchases will find their expenditures questioned and subsequently disallowed.

### **National Preparedness**

DHS coordinates with local, state, territorial, and tribal governments as well as with other Federal agencies and private and nonprofit organizations to facilitate a whole community, risk driven, and capabilities-based approach to preparedness. This approach is grounded in the identification and assessment of risk through the THIRA. States and territories should review, and, if necessary, revise and update the THIRA on an annual basis, to ensure that the community's shared understanding of risk evolves to account for changes in the risk landscape, including successful mitigation efforts, emerging threats, hazards, and associated consequences. Information on the National Preparedness System can be found at <http://www.fema.gov/national-preparedness-system>. Additional details regarding the National Preparedness System and how it is supported by the EMPG can be found in [Appendix A – FY 2018 EMPG Priorities](#).

### **Active Shooter Preparedness**

DHS aims to enhance national preparedness through a whole community approach by providing the necessary products, tools, and resources to help all stakeholders prepare for and respond to an active shooter incident. To that end, DHS has developed a comprehensive “Active Shooter Preparedness” website, which includes a variety of informational resources. The website address is: <https://www.dhs.gov/active-shooter-preparedness>.

In addition, within the Homeland Security Information Network (HSIN), the Joint DHS and FBI Countering Violent Extremism (CVE) and Active Shooter Web Portal provides a restricted-access forum to share Unclassified For Official Use Only (FOUO), Sensitive but Unclassified (SBU), and Law Enforcement Sensitive (LES) Information. The portal provides users and training practitioners with accurate, appropriate, and relevant CVE and Active Shooter training development resources, subject matter expert information, and outreach initiatives. It also has forums to provide feedback, products useful to others, and allows participants to ask questions concerning CVE or the Active Shooter Program. Persons with a job-related duty, public service interest, or who support a CVE and/or Active Shooter program can request access into this Portal. Additional information can be found on the DHS website at: <https://www.dhs.gov/cveas-portal#>. To address training needs associated with active shooter incidents, FEMA's Emergency

Management Institute provides a free, web-based training course entitled *IS-907: Active Shooter: What You Can Do*, available at the following website:  
<https://training.fema.gov/is/courseoverview.aspx?code=IS-907>.

States, territories, and Urban Areas are encouraged to review the referenced active shooter guidance, evaluate their preparedness needs in conjunction with their THIRA/SPR processes, and consider how preparedness grant funds may be used to address capability gaps identified in this area.

### **Soft Targets and Crowded Places**

There are continued and growing threats facing Soft Targets and Crowded Places (ST-CP) throughout the nation. ST-CPs are those locations or environments that are easily accessible to large numbers of people on a predictable or semi-predictable basis that have limited security or protective measures in place. These locations are vulnerable to attack using simple tactics and readily accessible weapons such as small arms, edged weapons, and vehicles as a weapon, improvised explosive devices, and unmanned aerial systems. ST-CPs can include places such as town centers, shopping malls, open-air venues, outside hard targets/venues perimeters, and other places of meeting and gathering. DHS is committed to reducing the risk of attacks against ST-CPs and the impact of attacks if they do occur. However, the protection and security of ST-CPs is a shared responsibility among whole community partners including: the public, ST-CP owners and operators, security industry partners, the Federal Government, and State, local, tribal, and territorial (SLTT) government partners. States, territories, urban areas, and public and private sector partners are encouraged to identify security gaps and build capabilities that address security needs of ST-CP, understanding the unique challenges related to protecting locations that are open to the public. States, territories, urban areas, and public and private sector partners are also encouraged to use resources to instill a culture of awareness, vigilance, and preparedness. For more information and additional resources please see the Department of Homeland Security's [Hometown Security Program](#).

### **Conflicts of Interest in the Administration of Federal Awards or Subawards**

For conflicts of interest under grant-funded procurements and contracts, please refer to the section on Procurement Integrity in this NOFO and 2 C.F.R. §§ 200.317 – 200.326.

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

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

subrecipients must disclose any real or potential conflict of interest to the pass-through entity as required by the recipient's conflict of interest policies, or any applicable state, local, territorial or tribal statutes or regulations.

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

## FY 2018 EMPG Allocations

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

State/Territory	Allocation	State/Territory	Allocation
Alabama	\$5,732,434	New Hampshire	\$3,480,972
Alaska	\$3,096,586	New Jersey	\$8,365,698
Arizona	\$7,097,560	New Mexico	\$3,956,052
Arkansas	\$4,540,094	New York	\$15,278,109
California	\$27,827,857	North Carolina	\$9,173,848
Colorado	\$6,199,311	North Dakota	\$3,106,529
Connecticut	\$4,912,308	Ohio	\$10,056,845
Delaware	\$3,238,193	Oklahoma	\$5,130,751
District of Columbia	\$3,067,376	Oregon	\$5,265,835
Florida	\$16,001,622	Pennsylvania	\$10,787,960
Georgia	\$9,273,265	Rhode Island	\$3,300,473
Hawaii	\$3,534,992	South Carolina	\$5,827,812
Idaho	\$3,719,475	South Dakota	\$3,179,373
Illinois	\$10,785,720	Tennessee	\$6,906,141
Indiana	\$6,874,800	Texas	\$20,667,921
Iowa	\$4,630,251	Utah	\$4,602,281
Kansas	\$4,481,986	Vermont	\$3,022,554
Kentucky	\$5,464,347	Virginia	\$8,024,261
Louisiana	\$5,611,054	Washington	\$7,345,832
Maine	\$3,476,581	West Virginia	\$3,782,528
Maryland	\$6,482,994	Wisconsin	\$6,319,363
Massachusetts	\$6,997,830	Wyoming	\$2,994,288
Michigan	\$8,975,530	Puerto Rico	\$4,752,302
Minnesota	\$6,179,838	U.S. Virgin Islands	\$943,379

Mississippi	\$4,527,231	American Samoa	\$907,832
Missouri	\$6,522,105	Guam	\$981,683
Montana	\$3,294,643	Northern Mariana Islands	\$908,315
Nebraska	\$3,848,963	Republic of the Marshall Islands	\$50,000
Nevada	\$4,536,117	Federated States of Micronesia	\$50,000
<b>Total</b>			<b>\$350,100,000</b>

## **Appendix A – FY 2018 EMPG Program Priorities**

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

The FY 2018 EMPG contributes to the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities. Core capabilities are essential for the execution of critical tasks for each of the five mission areas outlined in the Goal. The EMPG's allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas described in the Goal. DHS/FEMA requires recipients to prioritize grant funding to demonstrate how investments support closing capability gaps or sustaining capabilities identified in the THIRA/SPR process.

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

The FY 2018 EMPG supports investments that improve the ability of jurisdictions nationwide to:

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

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

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

#### **Identifying Plausible, Worst Case, Threats and Hazards, and Estimating Capability Requirements**

Beginning in 2018 states, territories, and Urban Areas will be required to complete all steps of the revised THIRA/SPR methodology for Response, Recovery, and Cross-Cutting capabilities only by December 31, 2018. In their 2019 THIRA/SPR (submitted December 31, 2019) states, territories, and Urban Areas will complete the entire methodology for all 32 core capabilities. Also beginning in 2019, jurisdictions will only be required to submit a THIRA every three (3) years to establish a consistent baseline for assessment. Also beginning in 2018, the State Preparedness Report will now be known as the Stakeholder Preparedness Review. The acronym SPR will remain unchanged. While the THIRA will be only required every three years,

jurisdictions will continue to be required to submit an SPR annually. Details of the new process will be included in the soon to be released update of CPG-201 (3<sup>rd</sup> edition).

**Reporting:**

- In each EMPG recipient’s BSIR, as part of programmatic monitoring, the recipient will be required to describe how expenditures support closing capability gaps or sustaining capabilities identified in the THIRA/SPR process. EMPG recipients will, on a project-by-project basis, check one of the following:
  - Building a capability with EMPG funding; or
  - Sustaining a capability with EMPG funding.

***Building and Sustaining Core Capabilities***

EMPG projects should describe how the proposed investment supports closing capability gaps or sustaining capabilities identified in the THIRA/SPR process.

**Reporting:**

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

***NIMS Implementation***

EMPG recipients are required to implement NIMS. EMPG funds may be used to meet the requirements described in the NIMS Implementation Objectives (<https://www.fema.gov/implementation-guidance-and-reporting>). NIMS defines a national, interoperable approach for sharing resources, coordinating and managing incidents, and communicating information. Incident management refers to how incidents are managed across all homeland security activities, including prevention, protection, and response, mitigation, and recovery. FY 2018 EMPG recipients must use standardized resource management concepts for resource typing, credentialing, and an inventory to facilitate the effective identification, dispatch, deployment, tracking, and recovery of resources.

**Reporting**

- Recipients report on NIMS implementation through the URT.

***Validating Capabilities***

Recipients should engage elected and appointed officials and other whole community stakeholders to identify long-term training and exercise priorities. Recipients must be able to demonstrate how investments support closing capability gaps or sustaining capabilities identified in the THIRA/SPR, areas for improvement identified from real-world events and preparedness exercises, and national areas for improvement identified in the most recent National Preparedness Report.

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

(1) \*NIMS Training, Independent Study (IS)-100 (any version), IS-200 (any version), IS-700 (any version), and IS-800 (any version), AND

(2) Professional Development Series (PDS) OR the Emergency Management Professionals Program (EMPP) Basic Academy listed in the chart below.

\*Note: NIMS training courses IS-100, IS-200, IS-700, and IS-800 only have to be taken once to fulfill requirements.

Proof of completion of training requirements should be maintained by recipients so it can be produced when requested by DHS/FEMA during periodic reviews.

### **Exercise Requirements**

While there are no minimum exercise requirements for FY 2018, FEMA Regional Administrators and State Emergency Management Directors will negotiate an exercise program that addresses capability gaps in the priority areas of logistics, housing and catastrophic planning. These exercises will be included in the EMPG work plan submitted for Regional approval and the State's Training and Exercise Plan.

### **Reporting**

- Recipients are required to develop a Multi-Year TEP that identifies a combination of exercises and associated training requirements that address priorities identified in the TEPW and builds from training gaps identified in the THIRA/SPR process. The TEP shall be submitted to [hseep@fema.dhs.gov](mailto:hseep@fema.dhs.gov) and the appropriate Regional EMPG manager, 90 days after the completion of the TEPW. Recipients are encouraged to enter their exercise information in the Preparedness Toolkit at <https://preptoolkit.fema.gov/web/hseep-resources>. DHS/FEMA will release additional guidance on Preparedness Toolkit, including how enter exercise data, later in 2018.
- Recipients must provide a list of completed training courses and exercises and the Training and Exercise Data Table to be included in the Quarterly Performance Progress Report.
- Recipients must include the TEP percentage completion outlined in the FY 2018 EMPG Work Plan in the Quarterly Performance Progress Report.

- Recipients should submit their AAR/IP to the HSEEP inbox ([HSEEP@fema.dhs.gov](mailto:HSEEP@fema.dhs.gov)) and copy their assigned Regional EMPG manager. Submission of the AAR/IP shall be no later than 90 days after completion of the exercise. Recipients are encouraged to enter their AAR/IP in the Preparedness Toolkit at <https://preptoolkit.fema.gov/web/hseep-resources/improvement-planning>. DHS/FEMA will release additional guidance on Preparedness Toolkit, including how develop and enter an AAR/IP, later in 2018. Recipients are reminded of the importance of implementing corrective actions iteratively throughout the exercise cycle. This link provides access to a sample AAR/IP template: <https://preptoolkit.fema.gov/web/hseep-resources/improvement-planning>.

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

### ***Reviewing and Updating Planning Products***

Based on the applicant's current THIRA/SPR, capability levels, resources, and plans should be reviewed on an annual basis to determine if they remain relevant or need to be updated. This review should be based on a current THIRA/SPR and utilize information gathered during the capability validation process. These reviews will provide a means to determine priorities, direct preparedness actions, and calibrate goals and objectives.

### **Additional Considerations**

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

DHS/FEMA preparedness grant programs are intended to support the core capabilities across the five mission areas of Prevention, Protection, Mitigation, Response, and Recovery that are necessary to prepare for incidents that pose the greatest risk to the Nation's security. Each program reflects the Department's intent to build and sustain an integrated network of national capabilities across all levels of government and the whole community. Disparate governance structures must be integrated and refined to ensure resources are targeted to support the most critical needs of a community based on risk-driven, capabilities-based planning. Strong and inclusive governance systems better ensure that disparate funding streams are coordinated and applied for maximum impact.

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

- **Coordination of Investments:** Resources must be allocated to address the most critical capability needs as identified in the SPR and coordinated among affected preparedness stakeholders.
- **Transparency:** Stakeholders must be provided visibility on how preparedness grant funds are allocated and distributed, and for what purpose.

- **Substantive Local Involvement:** The tools and processes that are used to inform the critical priorities, which DHS/FEMA grants support, must include local government representatives. At the state and regional levels, local risk assessments must be included in the overarching analysis to ensure that all threats and hazards are accounted for.
- **Accountability:** DHS/FEMA recognizes that unique preparedness gaps exist at the local level. Grantees are responsible for ensuring the effective use of funds to address those gaps and for maintaining and sustaining existing capabilities.
- **Support of Regional Coordination:** Inter/intra-state partnerships and dependencies at the state and regional levels, including those within metropolitan areas, must be recognized.

## **Appendix B – FY 2018 EMPG Funding Guidelines**

### **Allowable Costs**

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

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

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

#### **Indirect Costs**

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

#### **Whole Community Preparedness**

EMPG funds may be used to foster whole community preparedness for disasters and emergencies as stated in [FEMA Strategic Plan](#), particularly Part 1.3. Recipients, and DHS/FEMA must learn from and work with a broad and inclusive base of stakeholders to understand the circumstances and challenges different groups of people face, particularly those who may have the hardest time in the aftermath of a disaster, such as the aging population and those with access and functional needs. By engaging these stakeholders, EMPG recipients can help DHS/FEMA develop and promote a suite of well-targeted solutions for individuals and communities to adopt. Recipients should coordinate preparedness initiatives with DHS/FEMA and whole community partners to efficiently apply Federal funding to reach the goal of individual and community resilience.

#### **Planning**

Planning spans all five National Preparedness Goal (the Goal) mission areas and provides a methodical way to engage the whole community in the development of a strategic, operational, and/or community-based approach to preparedness.

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

### **Emergency Operations Plan**

- Maintaining a current EOP that is aligned with guidelines set out in CPG 101 v2 <https://www.fema.gov/media-library/assets/documents/25975>
- Modifying existing incident management and emergency operations plans
- Developing/enhancing large-scale and catastrophic event incident plans

### **Communications Plans**

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

### **Administrative 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 or enhancing mutual aid agreements/compacts, including required membership in EMAC
- Developing/enhancing emergency operations plans to integrate citizen/volunteer and other non-governmental organization resources and participation
- Integrating program design and delivery practices that ensure representation and services for under-represented, diverse populations that may be more impacted by disasters, including children, seniors, individuals with disabilities or access and functional needs, individuals with diverse culture and language use, individuals with lower economic capacity, and other underserved populations

### **Resource Management Planning**

- Developing/enhancing logistics and resource management plans
- Developing/enhancing volunteer and/or donations management plans

### **Shelter and Evacuation Planning**

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

### **Recovery Planning**

- Disaster housing planning, such as creating/supporting a state disaster housing task force and developing/enhancing state disaster housing plans
- Pre-event response, recovery, and mitigation plans in coordination with state, local, and tribal governments
- Developing/enhancing other response and recovery plans
- Developing recovery plans and preparedness programs consistent with the principles and guidance in the National Disaster Recovery Framework (NDRF) that will provide the foundation for recovery programs and whole community partnerships. Preparedness and

pre-disaster planning was given special attention within the NDRF with specific guidance: *Planning for a Successful Disaster Recovery* (pages 63-70). For more information on the NDRF see <http://www.fema.gov/pdf/recoveryframework/ndrf.pdf> and <http://www.fema.gov/media-library-data/1423604728233-1d76a43cabf1209678054c0828bbe8b8/EffectiveCoordinationofRecoveryResourcesGuide020515vFNL.pdf>

### ***Continuity Planning***

Continuity planning and operations are an inherent element of each core capability. Continuity operations increase resilience and the probability that organizations can perform essential functions. DHS/FEMA develops and promulgates Federal Continuity Directives (FCDs) to establish continuity program and planning requirements for executive departments and agencies and Continuity Guidance Circulars (CGCs) for state, local, tribal, and territorial governments, non-governmental organizations, and private sector critical infrastructure owners and operators. This direction and guidance assists in developing capabilities for continuing the essential functions of federal and state, local, tribal, territorial governmental entities as well as the public/private critical infrastructure owners, operators, and regulators enabling them.

Presidential Policy 40, FCD 1, FCD 2, CGC 1, and CGC 2 outline the overarching continuity requirements and guidance for organizations and provide guidance, methodology, and checklists. For additional information on continuity programs, guidance, and directives, visit <http://www.fema.gov/guidance-directives> and <https://www.fema.gov/national-continuity-programs>.

Allowable continuity planning activities include the development of the following:

- Continuity of operations (COOP) and Continuity of Government (COG) planning products for the continuance of essential functions and associated leadership;
- Risk-based needs assessments based on the THIRA to inform risk mitigation efforts to ensure the continuity of essential functions and associated leadership; and
- Public and private sector outreach and messaging regarding continuity resilience benefits and strategies.

### **Organization**

Per the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, Pub. L. No. 93-288, as amended, (42 U.S.C. §§ 5121-5207), EMPG funds may be used for all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management, including hazard mitigation staffing of the State Hazard Mitigation Officer (SHMO) position; staffing CERT and Citizen Corps positions at the state and local levels to promote whole community engagement in all phases of emergency management; performing closeout activities on FEMA Disaster Assistance grants; staffing permanent technical advisors on children's needs at the state, local, tribal and territorial levels and supporting fusion center analysts who are directly involved in all-hazards preparedness activities as defined by the Stafford Act. Proposed staffing activities should be linked to accomplishing the activities

outlined in the EMPG Work Plan. Recipients are encouraged to fund at least one dedicated Planner, Training Officer, and Exercise Officer.

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

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

The following costs related to F/ERO credentialing and validation are allowable under EMPG:

- 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; and
- Planning to incorporate emergency responder identity and credential validation into training and exercises.

### **Equipment**

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

Allowable equipment includes equipment from the following AEL categories:

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

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

Manager for clarification.

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

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

All requests to purchase Small Unmanned Aircraft System (SUAS) must comply with [Information Bulletin \(IB\) 426](#) and must include the policies and procedures in place to safeguard individuals' privacy, civil rights, and civil liberties in the jurisdiction that will purchase, take title to, or otherwise use the SUAS equipment.

### **Funding for Critical Emergency Supplies**

Critical emergency supplies—such as shelf stable products, water, and basic medical supplies—are an allowable expense under EMPG. DHS/FEMA must approve a state's five-year viable inventory management plan prior to allocating grant funds for stockpiling purposes. The five-year plan should include a distribution strategy and related sustainment costs if the grant expenditure is over \$100,000.

### **Training**

EMPG 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 and build from training gaps identified in the THIRA/SPR process. Further guidance concerning the TEP and the TEPW can be found at <https://preptoolkit.fema.gov/web/hseep-resources/home>. 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 of which is included in the curriculum of the EMI Basic Academy. The EMI Basic Academy provides a foundational education in emergency management as a way for emergency managers to begin or advance their career. The goal of the Basic Academy is to support the early careers of emergency managers through a training experience combining knowledge of all fundamental systems, concepts and practices of cutting-edge emergency management.

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

All EMPG funded personnel are expected to be trained emergency managers. In addition to training activities aligned to and addressed in the TEP, all EMPG -funded personnel (including

full- and part-time state, local, tribal and territorial (SLTT) recipients and subrecipients) shall complete the following training requirements and record proof of completion:

- (1) NIMS Training, Independent Study (IS)-100 (any version), IS-200 (any version), IS-700 (any version), and IS-800 (any version)<sup>4</sup> AND
- (2) Professional Development Series (PDS) OR the Emergency Management Professionals Program (EMPP) Basic Academy listed in the chart below.

<b>Professional Development Series or Basic Academy</b>	
<b>PDS</b> Professional Development Series	<b>Basic Academy</b> Basic Academy Pre-requisites and Courses
IS-120.a An Introduction to Exercises	IS-100 (any version) Introduction to the Incident Command System
IS-230.d Fundamentals of Emergency Management	IS-700 (any version) National Incident Management System (NIMS)-An Introduction
IS-235.b Emergency Planning	IS-800 (any version) National Response Framework, An Introduction
IS-240.b Leadership and Influence	IS-230.d Fundamentals of Emergency Management
IS-241.b Decision Making and Problem Solving	E/L101 Foundations of Emergency Management
IS-242.b Effective Communication	E/L102 Science of Disasters
IS-244.b Developing and Managing Volunteers	E/L103 Planning Emergency Operations
	E/L104 Exercise Design
	E/L105 Public Information & Warning

Recipients must maintain proof of completion of training requirements.

EMPG funds may be used for emergency management-related training activities to enhance the capabilities of state and local emergency management personnel. Training activities should align to a current, Multi-Year TEP developed through an annual Training and Exercise Planning Workshop (TEPW) and build from training gaps identified in the THIRA/SPR process. Further guidance concerning the TEP and the TEPW can be found at

<https://preptoolkit.fema.gov/web/hseep-resources/program-management>. Training should:

- Foster the development of a community-oriented approach to emergency management that emphasizes engagement at the community level;
- Strengthen best practices; and
- Provide a path toward building sustainable resilience.

The [EMI Basic Academy](#) provides this foundational Emergency Management education.

<sup>4</sup> NIMS training courses IS-100, IS-200, IS-700, and IS-800 only have to be taken once to fulfill requirements.

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

### ***Additional Training Information***

Per DHS/FEMA GPD Policy [FP 207-008-064-1](#), *Review and Approval Requirements for Training Courses Funded Through Preparedness Grants*, issued on September 9, 2013, states, territories, tribal entities, and urban areas are no longer required to request approval from DHS/FEMA for personnel to attend non-DHS/FEMA training as long as the training is coordinated with and approved by the state, territory, tribal, or urban area training point of contact (TPOC) and falls within the DHS/FEMA mission scope and the jurisdiction's EOP. The only exception to this policy is for Countering Violent Extremism courses. For additional information on review and approval requirements for training courses funded with preparedness grants, please refer to the following policy: <http://www.fema.gov/media-library/assets/documents/34856>.

DHS/FEMA will conduct periodic reviews of all state, territory, and urban area training funded by DHS/FEMA. These reviews may include requests for all course materials and physical observation of, or participation in, the funded training. If these reviews determine that courses are outside the scope of this guidance, recipients will be asked to repay grant funds expended in support of those efforts.

For further information on developing courses using the instructional design methodology and tools that can facilitate the process, SAAs and TPOCs are encouraged to review the NTED Responder Training Development Center (RTDC) website at <https://www.firstrespondertraining.gov/rtdc/state>.

### ***NTED's National Preparedness Course Catalog***

This online searchable catalog features a compilation of courses managed by the three primary DHS/FEMA training organizations: the CDP, EMI, and NTED. The catalog features a wide range of course topics in multiple delivery modes DHS/FEMA for Federal, state, local, territorial, and tribal audiences. The catalog is located here: <http://www.firstrespondertraining.gov>.

### ***Training Information Reporting System ("Web Forms")***

Web Forms is an electronic data management system built to assist SAA TPOCs and Federal agencies to submit non-NTED training courses for inclusion in the State/Federal-Sponsored Course Catalog. The information collected is used in a two-step review process to ensure that the training programs adhere to EMPG intent and the course content is sound and current. While reporting training activities through Web Forms is not required under FY 2018 EMPG, the system remains available and can be accessed through the DHS/FEMA Toolkit located at <https://www.firstrespondertraining.gov/frt/> to support recipients in their own tracking of training deliveries.

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

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

Allowable training-related costs include the following:

- **Funds Used to Develop, Deliver, and Evaluate Training:** Includes costs related to administering training, such as planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the Multi-Year TEP and addressed in the training cycle. States are encouraged to use existing training rather than developing new courses. When developing new courses, states are encouraged to apply the Analyze, Design, Develop, Implement, and Evaluate (ADDIE) model for instruction design. <https://www.firstrespondertraining.gov>.
- **Overtime and Backfill:** Overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at DHS/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 DHS/FEMA, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government *and* from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- **Travel:** Travel costs (e.g., airfare, mileage, per diem, and hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.
- **Hiring of Full- or Part-Time Staff or Contractors/Consultants:** Full- or part-time staff or contractors/consultants may be hired to support direct training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the state or unit(s) of local government and have the approval of the state or DHS/FEMA, whichever is applicable.
- **Certification/Recertification of Instructors:** Costs associated with the certification and re-certification of instructors are allowed. States are encouraged to follow the FEMA Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses which involve training of trainers.

## Exercises

Allowable exercise-related costs include:

- **Funds Used to Design, Develop, Conduct and Evaluate Preparedness Exercises:** This includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. Recipients are encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Exercises should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Gaps identified during an exercise, including those for children and individuals with disabilities or access and functional needs, should be included in the After Action Report (AAR)/Improvement Plan (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 DHS/FEMA, whichever is applicable. The services of contractors/consultants may also be procured to support the design, development, conduct, and evaluation of exercises.
- **Overtime and Backfill:** The entire amount of overtime costs, including payments related to backfilling personnel, that 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 DHS/FEMA, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government *and* from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- **Travel:** Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise activities.
- **Supplies:** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise activities (e.g., gloves, non-sterile masks, and disposable protective equipment).
- **HSEEP Implementation:** This refers to costs related to developing and maintaining an exercise program consistent with HSEEP.
- **Other Items:** These costs are limited to items consumed in direct support of exercise activities, such as space/locations rentals for planning and conducting an exercise, equipment rentals, and the procurement of other essential nondurable goods. Costs associated with inclusive practices and the provision of reasonable accommodations and modifications that facilitate full access for children and adults with disabilities are allowable.

**Unauthorized** exercise-related costs include:

- Reimbursement for 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 nondurable goods purchased for installation and/or use beyond the scope of exercise conduct

### **Construction and Renovation**

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

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

When applying for funds to construct communication towers, recipients and subrecipients must submit evidence that the Federal Communication Commission's (FCC'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. Recipients and subrecipients are also encouraged to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects, compliance with all state and EHP laws and requirements). Projects for which the recipient believes an Environmental Assessment (EA) may be needed, as defined in [DHS Instruction Manual 023-01-001-01, Revision 01, FEMA Directive 108-1 and FEMA Instruction 108-1-1](#), must also be identified to the FEMA EMPG Regional Program Manager within six months of the award, and completed EHP review materials must be submitted no later than 12 months before the end of the period of performance. EHP review packets should be sent to [gpdehpinfo@fema.gov](mailto:gpdehpinfo@fema.gov).

EMPG recipients using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. §§ 3141 *et seq.*). Grant recipients must ensure that their contractors or subcontractors for construction projects pay workers no less than the prevailing wages for laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the state in which the work is to be performed. Additional information regarding compliance with the *Davis-Bacon Act*, including Department of Labor (DOL) wage determinations, is available from the following website: <https://www.dol.gov/whd/govcontracts/dbra.htm>.

### **Maintenance and Sustainment**

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

EMPG grant funds are intended to support the Goal and fund activities and projects that build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats and hazards that pose the greatest risk to the security of the Nation. To assist recipients in meeting 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:

- (1) In direct support of existing capabilities;
- (2) An otherwise allowable expenditure under the applicable grant program;
- (3) Tied to one of the core capabilities in the five mission areas contained within the Goal, and;
- (4) Shareable through the EMAC.

Additionally, eligible costs may also be in support of equipment, training, and critical resources that have previously been purchased with either Federal grant funding or any other source of funding other than DHS/FEMA preparedness grant program dollars. Additional guidance is provided in DHS/FEMA Policy FP 205-402-125-1, *Maintenance Contracts and Warranty Coverage Funded by Preparedness Grants*, located at: <http://www.fema.gov/media-library/assets/documents/32474>.

### **Unallowable Costs**

Grant funds may not be used for:

- Unallowable Equipment: Grant funds must comply with [IB 426](#) and may not be used for the purchase of the following equipment: firearms, ammunition, grenade launchers, bayonets, or weaponized aircraft, vessels, or vehicles of any kind with weapons installed.
- Expenditures for weapons systems and ammunition
- Costs to support hiring 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

Recipients should consult with their EMPG Regional Program Manager prior to making any investment that does not clearly meet the allowable expense criteria established in this NOFO.

## **Appendix C – FY 2018 EMPG Work Plan**

### **EMPG Work Plan Instructions**

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

### **Program and Budget Narrative**

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

- Overview of the state's risk profile resulting from the current THIRA
- Areas of need identified through assessment processes such as the SPR, Emergency Management Accreditation Program assessment process, National Emergency Communications Plan Goal Assessments, or other emergency management assessment processes
- Baseline inventory of where states are now, relative to goals and objectives identified in relevant strategic plans per CPG 101v2
- State emergency management priorities and planning focus for current budget year (including linkage to the core capabilities identified in the Goal)
- Detailed Budget Narrative justifying the requested funding for the identified Work Plan activities
- Detailed description of how projects and programmatic activities support the building or sustainment of the core capabilities as outlined in the Goal

### **Personnel Data Table**

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

**Personnel Data Table Template**

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

**Personnel Data Table Definitions**

- Line 1 – All EMPG funds (Federal and match) allocated for state emergency management personnel
- Line 2 – All EMPG funds (Federal and match) allocated towards non-state emergency management personnel (local, tribal, territories)
- Line 3 – Total Number of state emergency management full-time equivalent (FTE) personnel (including those supported and not supported by the EMPG)
- Line 4 – Number of state emergency management full-time equivalent (FTE) personnel supported by the EMPG
- Line 5 – Total Number of state and local emergency management personnel funded (fully or partially) by the EMPG. This number provides the "Universe" number for the training and exercise templates

**Training Data Table**

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

**Training Data Table Template**

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

**Training Data Table Definitions**

- Column 1 – Name of Training
- Column 2 – Is the course required of EMPG-funded personnel?
- Column 3 – Number of Personnel Trained
- Column 4 – Total number of state, local, tribal, and territorial EMPG-funded personnel (Universe)
- Column 5 – Total number of state, local, tribal, and territorial EMPG-funded personnel that completed the course
- Column 6 – Is the training identified in the Multi-Year TEP?

**Exercise Data Table**

To facilitate consistent data reporting and performance measure collection, an Exercise Data Table should be completed for any exercises that meet EMPG requirements and/or exercises conducted in whole or part with EMPG funds.

**Exercise Data Table Template**

Name/ Description of Exercise	Date Exercise Scheduled/Completed	Type of Exercise	Program Priority Exercised	Exercise Fulfills Progressive Exercise Requirement (Y/N)	Total # of SLTT EMPG Funded Personnel	Number of SLTT EMPG Program Funded Personnel Participating in Exercise	Exercise Fulfills EMPG Exercise Participation Requirement (Y/N)	Exercise Identified in TEP (Y/N)

### Exercise Data Table Definitions:

- **Column 1** – Name/Description of Exercise
- **Column 2** – Date of exercise
- **Column 3** – Type of exercise (e.g., seminar, workshop, tabletop, games, drills, functional, and/or full-scale)
- **Column 4** – Program priority associated with the exercise
- **Column 5** – Is the exercise part of a progressive exercise series?
- **Column 6** – Total # of SLTT EMPG Funded Personnel
- **Column 7** – Total # of SLTT EMPG Funded Personnel Participating in Exercise
- **Column 8** – Does the exercise fulfill the EMPG requirement that EMPG Program funded personnel participate in no less than three exercises?
- **Column 9** – Is exercise identified in the multi-year TEP?

### Grant Activities Outline

To facilitate performance measures and focus on outcomes, an EMPG Grant Activities Outline should be completed for activities supported with FY 2018 EMPG funds (including construction and renovation projects). The data outlined in this template will be used to evaluate the timely completion of planned emergency management activities. Recipients are encouraged to complete a separate Grant Activities Outline for each Emergency Management Function (EMF). Quarterly training activities should be reported against EMF #13, “Training,” and quarterly exercise activities should be reported against EMF #14, “Exercises, Evaluations and Corrective Actions.” Recipients should complete a template as shown on the next page and address the following areas:

- **EMF Number:** Identify how the grant activities relate to the EMFs outlined in the 2016 version of the Emergency Management Accreditation Program (EMAP) Standard (e.g. Resource Management, Communications and Warning, etc.) The link to the EMAP 2016 Standard is at: <https://www.emap.org/index.php/what-is-emap/the-emergency-management-standard>.
- **Name of Planned Project:** Provide a descriptive name of each planned project. Examples include “Development of Emergency Function Annexes”, “Development of Earthquake Scenario Loss Estimations”, “Implementation of Statewide Interoperability Plan”, “NIMS Training for Emergency Management Personnel”, “Development of Emergency Preparedness Plan for Individuals with Disabilities”, etc.
- **Project Objective:** Briefly explain the major objective of the project, including how the project will address gaps identified through various assessments conducted.
- **Core Capability Addressed:** Briefly describe which of the 32 core capabilities (multiple can be selected) the project addresses.
- **Performance Measure and Basis of Evaluation:** Indicate the performance measure that will be used to evaluate this project.
- **Challenges/Risks:** Identify any challenges to implementing this project or any of its activities.

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

**Grant Activities Outline - Template**

Name of Planned Project:			
Project Objective:			
Core Capabilities Addressed:			
Performance Measure and Basis of Evaluation:			
Challenges/Risks:			
1 <sup>st</sup> Quarter Activity	Planned Activities:	Step:	Comments:
2 <sup>nd</sup> Quarter Activity	Planned Activities:	Step:	Comments:
3 <sup>rd</sup> Quarter Activity	Planned Activities:	Step:	Comments:
4 <sup>th</sup> Quarter Activity	Planned Activities:	Step:	Comments:
5 <sup>th</sup> Quarter Activity	Planned Activities:	Step:	Comments:
6 <sup>th</sup> Quarter Activity	Planned Activities:	Step:	Comments:
7 <sup>th</sup> Quarter Activity	Planned Activities:	Step:	Comments:
8 <sup>th</sup> Quarter Activity	Planned Activities:	Step:	Comments:

## Project Management Lifecycle

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

