

Department of Homeland Security
Funding Opportunity Announcement

FY 2014 Emergency Management Performance Grant

Overview Information

Issued By

U.S. Department of Homeland Security, Federal Emergency Management Agency,
Grant Programs Directorate

Catalog of Federal Domestic Assistance (CFDA) Number

97.042

CFDA Title

Emergency Management Performance Grants (EMPG) Program

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

The Department of Homeland Security Appropriations Act, 2014, (Pub. L. No. 113-76).

FOA Number

Grant Program Title	FOA Number
Emergency Management Performance Grants (EMPG) – Region I	DHS-14-GPD-042-001-01
Emergency Management Performance Grants (EMPG) – Region II	DHS-14-GPD-042-002-01
Emergency Management Performance Grants (EMPG) – Region III	DHS-14-GPD-042-003-01
Emergency Management Performance Grants (EMPG) – Region IV	DHS-14-GPD-042-004-01
Emergency Management Performance Grants (EMPG) – Region V	DHS-14-GPD-042-005-01
Emergency Management Performance Grants (EMPG) – Region VI	DHS-14-GPD-042-006-01
Emergency Management Performance Grants (EMPG) – Region VII	DHS-14-GPD-042-007-01
Emergency Management Performance Grants (EMPG) – Region VIII	DHS-14-GPD-042-008-01
Emergency Management Performance Grants (EMPG) – Region IX	DHS-14-GPD-042-009-01
Emergency Management Performance Grants (EMPG) – Region X	DHS-14-GPD-042-010-01

Key Dates and Time

Application Start Date:	03/10/2014
Application Submission Deadline:	04/09/2014 at 11:59:59 p.m. EDT
Anticipated Program Office Review Dates:	04/11/2014 thru 05/18/2014
Anticipated Funding Date:	06/13/2014
Award Date:	No later than 09/30/2014

Other Key Dates

Period of Performance Start Date:	10/01/2013
Period of Performance End Date:	09/30/2015

Is an intergovernmental review required?

An intergovernmental review may be required. Applicants must contact their State's Single Point of Contact (SPOC) to comply with the State's process under Executive Order 12372 (see <http://www.fws.gov/policy/library/rgeo12372.pdf>). Name and addresses of the SPOCs are maintained at the Office of Management and Budget's home page at http://www.whitehouse.gov/omb/grants_spoc to ensure currency.

FOA Executive Summary

The Emergency Management Performance Grant (EMPG) Program provides federal funds to assist state, local, tribal and territorial 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*, as amended (42 U.S.C. §§ 5121 et seq.). Title VI of the *Stafford Act* authorizes FEMA to make grants for the purpose of providing a system of emergency preparedness for the protection of life and property in the United States from hazards and to vest responsibility for emergency preparedness jointly in the federal government and the states and their political subdivisions. The FY 2014 EMPG will provide federal funds to assist state, local, tribal, and territorial emergency management agencies to obtain the resources required to support the National Preparedness Goal's (the Goal's) associated mission areas and core capabilities. The federal government, through the EMPG Program, provides necessary direction, coordination, and guidance, and provides necessary assistance, as authorized in this title, to support a comprehensive all hazards emergency preparedness system.

a. Funding Category

Continuing

b. Date of origin for Program

01/01/2001

c. Type of Funding Instrument

Mandatory grant

d. Application process

The Department of Homeland Security (DHS) makes all funding opportunities available through the common electronic “storefront” grants.gov, accessible on the internet at <http://www.grants.gov>. For details on how to apply through grants.gov please read Section IX “How to Apply.”

e. Eligible Applicants

State governments

Full FOA Announcement

I. Funding Opportunity Description

a. Program Summary

The purpose of the Emergency Management Performance Grant (EMPG) Program is to provide federal funds to States to assist State, local, territorial, and tribal governments in preparing for all hazards, as authorized by Section 662 of the *Post Katrina Emergency Management Reform Act* (6 U.S.C. § 762) and the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (42 U.S.C. §§ 5121 et seq.). Title VI of the *Stafford Act* authorizes FEMA to make grants for the purpose of providing a system of emergency preparedness for the protection of life and property in the United States from hazards and to vest responsibility for emergency preparedness jointly in the Federal Government, States, and their political subdivisions. The Federal Government, through the EMPG Program, provides necessary direction, coordination, and guidance, and provides necessary assistance, as authorized in this title, to support a comprehensive all hazards emergency preparedness system.

b. Program Priorities

The National Preparedness System is the instrument the Nation employs to build, sustain, and deliver core capabilities to achieve the Goal of a secure and resilient Nation. Complex and far-reaching threats and hazards require a collaborative and whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. The guidance, programs, processes, and systems that support each component of the National Preparedness System allow for the integration of preparedness efforts that build, sustain, and deliver core capabilities and achieve the desired outcomes identified in the Goal. In support of the Goal, the FY 2014 EMPG Program supports efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas.

The Department of Homeland Security expects grantees to prioritize grant funding to address the gaps identified through their annual THIRA and SPR. These assessments identify the jurisdictions' capability targets and current ability to meet those targets. Grantees should prioritize grant funds to increase capability for high-priority core capabilities with low capability levels.

Minimum funding amounts are not prescribed by the Department for these priorities; however grantees are expected to support state, local, regional, and national efforts in achieving the desired outcomes of these priorities.

c. Program Objectives

The Emergency Management Performance Grant Program is to support a comprehensive, all-hazard emergency preparedness system by building and sustaining the core capabilities contained in the National Preparedness Goal.

Examples include:

- Completing the Threat and Hazard Identification and Risk Assessment (THIRA) process;
- Strengthening a state or community's emergency management governance structures;
- Updating and approving specific emergency plans;
- Designing and conducting exercises that enable whole community stakeholders to examine and validate core capabilities and the plans needed to deliver them to the targets identified through the THIRA;
- Targeting training and verifying identified capabilities;
- Initiating or achieving a whole community approach to security and emergency management.

For additional details on priorities for the EMPG Program please refer to Appendix A – FY 2014 EMPG Program Priorities.

II. Funding Information

a. Available Funding for the FOA

\$350,100,000

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

FY 2014 Emergency Management Performance Grants (EMPG) Funding Allocations			
State/Territory	Allocation	State/Territory	Allocation
Alabama	\$5,795,991	Nevada	\$4,455,369
Alaska	\$3,107,257	New Hampshire	\$3,493,208
Arizona	\$6,972,161	New Jersey	\$8,463,094
Arkansas	\$4,566,391	New Mexico	\$3,992,978
California	\$27,771,691	New York	\$15,516,422
Colorado	\$6,081,125	North Carolina	\$9,085,469
Connecticut	\$4,984,080	North Dakota	\$3,099,556
Delaware	\$3,232,305	Ohio	\$10,215,617
District of Columbia	\$3,049,080	Oklahoma	\$5,151,028
Florida	\$15,451,958	Oregon	\$5,203,179
Georgia	\$9,180,005	Pennsylvania	\$11,004,797
Hawaii	\$3,546,080	Rhode Island	\$3,314,806
Idaho	\$3,682,584	South Carolina	\$5,757,363
Illinois	\$11,075,866	South Dakota	\$3,179,251
Indiana	\$6,935,606	Tennessee	\$6,886,455
Iowa	\$4,652,357	Texas	\$19,975,395
Kansas	\$4,523,477	Utah	\$4,528,014
Kentucky	\$5,508,377	Vermont	\$3,036,078
Louisiana	\$5,659,375	Virginia	\$8,043,945
Maine	\$3,496,385	Washington	\$7,198,343
Maryland	\$6,514,387	West Virginia	\$3,841,450
Massachusetts	\$7,015,589	Wisconsin	\$6,392,302
Michigan	\$9,116,670	Wyoming	\$3,007,232
Minnesota	\$6,180,847	Puerto Rico	\$4,996,548
Mississippi	\$4,587,275	U.S. Virgin Islands	\$943,709
Missouri	\$6,590,063	American Samoa	\$910,896
Montana	\$3,290,963	Guam	\$980,210
Nebraska	\$3,850,773	Northern Mariana Islands	\$908,568
Total			\$350,000,000

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
Republic of the Marshall Islands	\$50,000
Federated States of Micronesia	\$50,000
Total	\$100,000

b. Period of Performance:

Twenty-four (24) months.

c. Extensions to the Period of Performance

An extension to the period of performance for this program is allowed. Extensions to the period of performance may be granted when, due to circumstances beyond the control of the grantee, activities associated with the award cannot be completed within the stated performance period. For details on the requirements for requesting an extension to the period of performance, please refer to Section VI. F *Extensions* of the Full Announcement.

III. Eligibility Information

a. 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 2014 EMPG Program funds. Either the State Administrative Agency (SAA) or the State's Emergency Management Agency (EMA) is eligible to apply directly to FEMA for EMPG Program funds on behalf of State and local emergency management agencies. However, only one application will be accepted from each State or territory.

i. Cost Match

A cost match is required under this program.

The Federal share that is used towards the EMPG Program budget shall not exceed 50 percent of the total budget. The State must equally match (cash or in-kind) the Federal contribution pursuant to Sections 611(j) and 613 of the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Pub. L. No. 93-288), as amended, (42 U.S.C. §§ 5121-5207). Unless otherwise authorized by law, Federal funds cannot be matched with other Federal funds.

FEMA administers cost matching requirements in accordance with 44 C.F.R. §13.24 which is located at http://www.access.gpo.gov/nara/cfr/waisidx_07/44cfrv1_07.html or 2 C.F.R. §215.23 which is located at <http://www.gpo.gov/fdsys/pkg/CFR-2012-title2-voll/pdf/CFR-2012-title2-voll-subtitleA.pdf>. To meet matching requirements, the grantee contributions must be reasonable, allowable, allocable, and necessary under the grant program and must comply with all Federal requirements and regulations. In accordance with 48 U.S.C. § 1469a, match requirements are waived for the insular areas: the U.S. territories of American Samoa, Guam, the U.S. Virgin Islands, the Federated States of Micronesia, the Northern Mariana Islands, and the Republic of the Marshall Islands.

ii. Maintenance of Effort

This program does not have a maintenance-of- effort requirement.

iii. Pass through funding

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

iv. Other Eligibility Requirements

Emergency Management Assistance Compact (EMAC) Membership

In support of the National Preparedness Goal (Goal), grantees must belong to, be located in, or act as a temporary member States of EMAC, except for American Samoa, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Commonwealth of the Northern Mariana Islands, which are not currently required to belong to EMAC. All assets supported in part or entirely with FY 2014 EMPG Program funding by States, territories, and Tribes must, where applicable, be readily deployable to support emergency or disaster operations per existing EMAC agreements.

National Incident Management System (NIMS) Implementation

Grantees are required to maintain their existing NIMS compliance. Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs. Utilization of standardized resource management concepts such as typing, inventorying, and cataloging promotes strong national mutual aid capabilities that are needed to support delivery of the core capabilities. Additional information on resource management and national Tier I NIMS Resource Types can be found at <http://www.fema.gov/resource-management>.

FEMA developed the NIMS Guideline for Credentialing of Personnel to describe national credentialing standards and to provide written guidance regarding the use of those standards. This guideline describes credentialing and typing processes, and identifies tools which Federal Emergency Response Officials (FEROs) and emergency managers at all levels of government may use both routinely and to facilitate multi-jurisdictional coordinated responses. Although State, local, Tribal, and private sector partners -including nongovernmental organizations - are not required to credential their personnel in accordance with these guidelines, FEMA strongly encourages them to do so in order to leverage the Federal investment in the Federal Information Processing Standards (FIPS) 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information can be found at http://www.fema.gov/pdf/emergency/nims/nims_alert_cred_guideline.pdf.

Emergency Operations Plan (EOP)

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

Threat and Hazard Identification and Risk Assessment (THIRA)

Grantees must update their THIRA by December 31, 2014. Further details on the THIRA as it relates to EMPG Program requirements can be found in Appendix A – FY 2014 EMPG Program Priorities. For additional guidance on THIRA, please refer to CPG 201, Second Edition, available at <http://www.fema.gov/plan>.

IV. Funding Restrictions

a. Restrictions on Use of Award Funds

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

EMPG Program grantees may only fund activities and projects that were included in the FY 2014 EMPG Program Work Plan that was submitted to and approved by FEMA. Activities and projects may include the sustainment of capabilities supported by previous EMPG Program funds.

For additional details on restrictions on the use of funds, please refer to Appendix B- FY 2014 EMPG Funding Guidelines.

i. Pre-award costs

Pre-award costs are typically NOT allowed. Pre-award costs are allowable only with the prior written consent of DHS and if they are included in the award agreement. To request pre-award costs a written request must be included with the application, signed by the Authorized Representative of the entity. The letter must outline what the pre-award costs are for, including a detailed budget break-out of pre-award costs from the post-award costs, and a justification for approval.

ii. Direct Costs

Management and Administration (M&A)

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 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 Emergency Management Agency (EMA), the SAA is not eligible to retain funds for M&A.

Planning

Planning related costs are allowed under this program.

Organization

Grantee organization costs for managing the grant and to carry-out the grant's activities are allowed under this program.

Equipment

Equipment costs are allowed under this program.

Training

Training related costs are allowed under this program.

Exercises

Exercise related costs are allowed under this program.

Travel

Domestic

Domestic travel costs are allowed under this program.

International

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.

Operational Overtime

Operational Overtime costs are not allowed under this program.

Maintenance and Sustainment

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

Unallowable costs

Certain cost items are prohibited under the EMPG Program.

For more details on allowable and unallowable direct costs please refer to Appendix B—FY 2014 EMPG Funding Guidelines.

iii. Indirect Costs

Indirect costs are allowable under this program, but only if the applicant has an approved indirect cost rate agreement with their cognizant Federal agency. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant federal agency) is required at the time of application.

iv. Other Cost Requirements

SAFECOM

Grantees (including sub-recipients) who receive awards under the EMPG that wholly or partially provide funding for emergency communication projects and related activities should comply with the most recent version of the *SAFECOM Guidance on Emergency Communications Grants* <http://www.safecomprogram.gov/grant/Default.aspx>. This Guidance provides recommendations to grantees regarding interoperable emergency communications projects, including allowable costs, eligible activities, grants management best practices for emergency communications grants, and information on technical standards that ensure greater interoperability. The Guidance is intended to ensure that Federally-funded investments are compatible, interoperable, and support the national goals and objectives for improving emergency communications nationwide. Grantees (including sub-recipients) investing in broadband-related investments should review IB 386: Clarification on Use of DHS/FEMA Public Safety Grant Funds for Broadband-Related Expenditures and Investments, and consult their FEMA Regional Program Manager on such Investments before developing applications. Relocating existing systems operating in the T-Band is also allowable.

Environmental Planning and Historic Preservation (EHP) Compliance

As a Federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal EHP regulations, laws and Executive Orders as applicable. Grantees and sub-grantees proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review

process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project.

EHP Policy Guidance can be found in FP 108-023-1, *Environmental Planning and Historic Preservation Policy Guidance*, at <http://www.fema.gov/media-library/assets/documents/85376>.

V. Application Review Information and Selection Process

a. Application Review Information

Overall Review

Submitted applications will undergo a complete content review within their respective FEMA Region. Each FEMA Regional EMPG Program Manager will be responsible for reviewing the FY 2014 EMPG Program Work Plan for their respective States/territories in order to assess their emergency management sustainment and enhancement efforts as well as for linkage to the core capabilities identified in the Goal.

For additional details on application review information please refer to Appendix C – FY 2014 EMPG Program Work Plan.

Initial Review

Once program guidance and application requirements are released publicly, eligible applicants can submit applications for funding. The FEMA relies on the Grants.gov and the Non-Disaster (ND) Grants systems to receive applications. Application release and review periods are primarily determined through the appropriations process. FEMA's Regional EMPG Program Managers conduct all pre-award reviews for Emergency Management Performance Grants. All EMPG Work Plans will require final approval by the appropriate FEMA Region.

Standardized Reporting through the EMPG Program Work Plan Template

The EMPG Program Work Plan Template has been modified to standardize data collection for improved analysis and reporting. The EMPG Program Work Plan includes five components: (1) Program and Budget Narrative, (2) Personnel Data Table, (3) Training Data Table, (4) Exercise Data Table, and (5) Grant Activities Outline. Baseline data on Personnel, Training, and Exercise as well as the Grant Activities Outline must be provided in the EMPG Program Work Plan at the time of application and will form the basis of the Quarterly Performance Progress Report (SF-PPR) submissions. The Grant Activities Outline is structured to enable reporting

of quarterly activities according to Emergency Management Function (EMF) projects, as well as standardized reporting of activity completion status.

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

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

For more details on the EMPG Program Work Plan please refer to Appendix C- FY 2014 EMPG Program Work Plan.

b. Application Selection Process

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

VI. Federal Award Administration Information

a. Notice of Award

Notification of award approval is made through the ND Grants system through an automatic e-mail to the awardee point of contact (the “authorized official”) listed in the initial application. The date the approval of award is the “award date”. The awardee should follow the directions in the notification to accept the award.

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

b. Administrative and Federal Financial Requirements

Before accepting the award, the authorized official should carefully read the award package for instructions on administering the grant award and the terms and conditions associated with responsibilities under Federal awards. Grantees must accept all conditions in this FOA as well as any Special Terms and Conditions in the Award notice to receive an award under this program.

i. Standard Terms and Conditions

All successful applicants for all DHS grant and cooperative agreements must comply with DHS Standard Administrative Terms and Conditions available at: <https://www.dhs.gov/publication/fy14-dhs-standard-terms-and-conditions>.

ii. Payment

FEMA utilizes the FEMA Payment and Reporting System (PARS) for financial reporting, invoicing and tracking payments. Additional information can be obtained at

<https://isource.fema.gov/sf269/execute/LogIn?sawContentMessage=true>.

DHS/FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to Recipients. To enroll in the DD/EFT, the Recipient must complete a Standard Form 1199A, Direct Deposit Form.

c. Reporting Requirements

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

i. 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 their 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 GAO’s 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?SID=55e12eead565605b4d529d82d276105c&node=2:1.1.2.1.1.6&rgn=div6>

For audits of fiscal years beginning prior to December 26, 2014, recipients that expend \$500,000 or more from all federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO’s Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, located at http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2012. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient’s fiscal year.

ii. Financial and Program Reporting Periods and Due Dates

The following reporting periods and due dates apply:

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

iii. Federal Financial Report (FFR)

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

iv. Program Performance Reporting Requirements

Quarterly Performance Progress Reports (SF-PPR). EMPG Program Quarterly Performance Progress Reports must be submitted to the Regional Program Manager located at the FEMA regional office on a quarterly basis through the ND Grants system. The Quarterly Performance Progress Reports must be based on the approved EMPG Program Work Plan and are due no later than 30 days after the end of the quarter (i.e., on January 30, April 30, July 30 and October 30). The Quarterly Performance Progress Report must be completed using the cover page of the SF-PPR (OMB Control Number: 0970-0334), available at http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf.

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

- A roster of EMPG Program funded personnel at both the State and local levels, along with the training completed together with the Personnel Data Table Template (available in Appendix C – *FY 2014 EMPG Program Work Plan*); and
- Percent completion of the Training and Exercise Plan (TEP) outlined in the FY 2014 EMPG Program Work Plan together with the Training and Exercise Data Tables Template (available in Appendix C – *FY 2014 EMPG Program Work Plan*).

State Preparedness Report (SPR) Submittal. Section 652(c) of the *Post-Katrina Emergency Management Reform Act of 2006* (Pub. L. No. 109-295), 6 U.S.C. §752(c), requires any State that receives Federal preparedness assistance to submit an SPR (OMB Control Number: 1660-0131) to FEMA. States submitted their most recent SPRs in December 2013 thus satisfying this requirement to receive funding under the FY 2014 EMPG Program.

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

d. Monitoring

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

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

e. Closeout

Pursuant to 44 C.F.R. §13.50 (b) Reports: Within 90 days after the expiration or termination of the grant, the grantee must submit all financial, performance, and other reports required as a condition of the grant.

Within 90 days after the end of the period of performance grantees must submit the following:

- 1) Final request for payment, if applicable;
- 2) SF-425 –Final Federal Financial Report – The form is available at http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf;
- 3) SF-PPR – Final Performance Progress Report – The form is available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-ppr.pdf;
- 4) A qualitative narrative summary on the impact of those accomplishments throughout the entire period of performance submitted to the respective Regional Program Manager in a Word document;
- 5) SF-428-b – Tangible Personal Property Report – Inventory of all tangible personal property acquired using funds from this award. The form is available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-428-b.pdf;
- 6) When applicable, SF-429 – Real Property Status Report – Inventory of all construction projects using funds from this award. The form is available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-429.pdf.
- 7) Other documents required by program guidance or terms and conditions of the award.

In order to close an award, grantees must be current on, and have submitted, all required reports per the terms and conditions of the grant award. Once the grant has officially been closed, the grantee will receive a notification which will provide information regarding the amount of any deobligated funds, equipment disposition, and record retention requirements for closed awards.

If FEMA has made reasonable attempts through multiple contacts to close out awards within the required 180 days, FEMA may waive the requirement for a particular report and administratively close the award. If this action is taken, consideration for subsequent awards to the grantee may be impacted or restricted.

The grantee is responsible for returning any funds that have been drawn down, but remain as unliquidated on grantee financial records.

f. Extensions

Extensions to the initial period of performance identified in the award will be limited and considered only through formal, written requests to the grantee's respective

Regional Program Manager and must contain specific and compelling justifications as to why an extension is required. States are advised to coordinate with the Regional Program Manager as needed, when preparing an extension request. All extension requests must address the following:

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

Awardees must submit all extension requests to DHS/FEMA for review and approval no later than 120 days prior to the end of the period of performance.

VII. DHS/FEMA Contact Information

a. For Financial, Programmatic, or Administrative Questions Pre-Award and Post Award

i. Centralized Services and Information Desk (CSID)

The Centralized Services Information Desk (CSID) is a non-emergency comprehensive management and information resource developed by DHS for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the Federal, State, and local levels. When necessary, grantees will be directed to a Federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800) 368-6498 or by e-mail at ASKCsid@fema.gov, Monday through Friday, 8:00 a.m. – 5:30 p.m. EST.

ii. GPD Grant Operations Division

GPD's Grant Operations Division Business Office provides financial support and technical assistance. Additional guidance and information can be obtained by

contacting the FEMA Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov.

iii. FEMA Regions

FEMA Regions 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 monitoring, and audit resolution for the EMPG Program. The Regions also provide technical assistance to EMPG Program primary awardees. For a list of contacts, please go to <http://www.fema.gov/rm-main/regional-contact-information>.

iv. Systems Information

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

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

v. GPD Environmental Planning and Historic Preservation (GPD-EHP)

The FEMA GPD-EHP Team provides guidance and information about the EHP review process to grantees and sub-grantees. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to gpdehpinfo@fema.gov. EHP Technical Assistance, including the EHP Screening Form, can be found at http://www.fema.gov/media-library-data/20130726-1806-25045-2839/gpd_ehp_screening_form_omb_1660_0115_june_2011.pdf.

vi. Telephone Device for the Deaf (TDD)

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

vii. Hard copies of the FOA

Hard copies of the FOA are NOT available.

VIII. Other Critical Information

National Preparedness

DHS coordinates with local, State, territorial, and tribal, governments as well as with other Federal agencies and private and nonprofit organizations to facilitate an all-of-nation/whole community, risk driven, and capabilities-based approach to preparedness. This approach is grounded in the identification and assessment of risk through the THIRA. States must maintain and update their THIRAs and their SPRs annually to ensure that the community's shared understanding of risk evolves to account for changes in the risk landscape, including successful mitigation efforts, emerging threats, hazards, and associated consequences. Information on the NPS can be found in the National Preparedness System description (released Nov 2011), which is posted on the FEMA website at <http://www.fema.gov/national->

[preparedness/national-preparedness-system](#). Additional details regarding the NPS and how it's supported by the EMPG Program can be found in Appendix A – *FY 2014 EMPG Program Priorities*.

IX. How to Apply

Applying for an award under this program is a multi-step process and requires time to complete. To ensure that an application is submitted on time applicants are advised to start the required steps well in advance of their submission. **Applicants should allow at least 15 business days (three weeks) to complete the five steps of applying listed below.** Failure of an applicant to comply with any of the required steps before the deadline for submitting their application will automatically disqualify their application from funding.

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

- 1) Applying for, updating or verifying their Data Universal Numbering System (DUNS) Number;
- 2) Applying for, updating or verifying their Employer Identification Number (EIN);
- 3) Updating or verifying their System for Award Management (SAM) registration;
- 4) Submitting an initial application in grants.gov, and;
- 5) Submitting the complete application in ND Grants.

To ensure adequate time to complete the full application process, applicants are encouraged to submit their initial application in Grants.gov (Step 4) at least ten (10) days before the April 9, 2014 application deadline.

1. Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) Number

The applicant must provide a DUNS number with their application. This number is a required field for all subsequent steps in the application submission. Applicants should verify they have a DUNS number, or take the steps necessary to obtain one.

Applicants can receive a DUNS number at no cost by calling DUNS number request line at (866) 705-5711. FEMA cannot assist applicants with questions related to obtaining a current DUNS number.

2. Obtain an Employer Identification Number (EIN)

FEMA requires both the EIN and a DUNS number prior to the issuance of a financial assistance award and, for grant award payment. Both are also required to register with SAM (see below). The EIN base for an organization is the IRS Tax ID number, for individuals it is their social security number, both of which are nine-digit numbers. Organizations and individuals submitting their applications must correctly identify the EIN from the DUNS since both are 9-digit numbers. If these numbers are not correctly identified in the application, this may result in a delay in the issuance of an award and/or incorrect payment to a grantee organization.

Organization applicants applying for an EIN should plan on a minimum of 2 full weeks to obtain an EIN. If you need assistance registering an EIN, please go to [http://www.irs.gov/Businesses/Small-Businesses-&Self-Employed/Apply-for-an-Employer-Identification-Number-\(EIN\)-Online](http://www.irs.gov/Businesses/Small-Businesses-&Self-Employed/Apply-for-an-Employer-Identification-Number-(EIN)-Online). FEMA cannot assist applicants with questions related to obtaining a current EIN.

3. Register with the System for Award Management (SAM)

Payments are contingent on the information provided in SAM and must be completed by the applicant at <http://www.sam.gov>. It is imperative that the information provided by the applicant is correct and current. Please ensure that your organization's name, address, DUNS number and EIN are current in SAM and that the DUNS number used in SAM is the same one used to apply for all other FEMA awards.

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

If you need assistance registering with SAM, please go to <https://www.fsd.gov/> or call 866-606-8220. FEMA cannot assist applicants with questions related to obtaining a current CAGE code.

4. Initial Application Submission in Grants.gov.

All applicants submit their initial application through Grants.gov. Applicants may need to first create a Grants.gov user profile by visiting the Get Registered section of the grants.gov website. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Applicants should complete this step at <http://www.grants.gov>. The initial on-line application in grants.gov requires completing Standard Form 424 (SF 424), Application for Federal Assistance. The initial application cannot be started or submitted in Grants.gov unless the applicant's registration in SAM is confirmed. Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select *Apply for Grants*, enter the CFDA number or the FOA Number noted in this FOA, select *Download Application Package*, and follow the prompts to download the application package. The information submitted in grants.gov will be retrieved by ND Grants, which will allow FEMA to determine if an applicant is eligible. **Applicants are encouraged to submit their initial application at least ten (10) days before the April 9, 2014 application deadline.**

If you need assistance applying through grants.gov, please go to <http://www.grants.gov/web/grants/applicants/grant-application-process.html>, contact support@grants.gov, or call 800-518-4726. FEMA cannot assist applicants with questions related to registering with grants.gov.

5. Final Application Submission in Non Disaster Grants System (ND Grants)

Eligible applicants will be notified by FEMA and asked to proceed with submitting their complete application package in ND Grants. Applicants can register early with ND Grants and are encouraged to begin their ND Grants registration at the time of this announcement. Early registration will allow applicants to have adequate time to start and complete their application. The application must be completed and final submission made through the ND Grants system located at <https://portal.fema.gov>. In ND Grants applicants will be prompted to submit all of the information contained in the following forms:

- Standard Form 424A, Budget Information (Non-construction)
- Standard Form 424B, Standard Assurances (Non-construction)
- Standard Form 424D, Standard Assurances (Construction)
- Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
- Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying.

Applicants will also be required to submit copies of the following in ND Grants:

- EMPG Program Work Plan
The Work Plan consists of a Program and Budget Narrative, Personnel Data Table, Training Data Table, Exercise Data Table, and Grant Activities Outline.
- Standard Form 424C, Budget Information (Construction)
- Detailed budget

If you need assistance registering for the ND Grants system, please contact ndgrants@fema.gov or (800) 865-4076.

Appendix A - FY 2014 EMPG Program Priorities

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

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

The FY 2014 EMPG Program contributes to the implementation of the NPS by supporting the building, sustainment, and delivery of core capabilities. Core capabilities are essential for the execution of critical tasks for each of the five mission areas outlined in the Goal. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The EMPG Program’s allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas.

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

Using the core capabilities, the FY 2014 EMPG Program supports the achievement of the Goal by:

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

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

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

Reporting on the Implementation of the National Preparedness System (NPS)

Identifying and Assessing Risk and Estimating Capability Requirements

In order to qualify for EMPG Program funding, all grantees shall develop and maintain a Threat and Hazard Identification and Risk Assessment (THIRA) which informs and supports the State Preparedness Report (SPR). Only one THIRA submission from each State will be accepted.

A THIRA provides a comprehensive approach for identifying and assessing risks and associated impacts. It expands on existing local, tribal, territorial, and State Hazard Identification and Risk Assessments (HIRAs) and other risk methodologies by broadening the factors considered in the process, incorporating the whole community throughout the entire process, and by accounting for important community-specific characteristics. A guide on how to complete a THIRA is available at <http://www.fema.gov/national-preparedness/plan>.

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

Reporting:

- States are required to submit an annual update to their THIRA. States will submit their THIRA update along with their State Preparedness Report (SPR) through the Unified Reporting Tool (URT) and email a copy of the URT to their respective FEMA Regional Federal Preparedness Coordinator and copy fema-spr@fema.dhs.gov. THIRA submissions shall be in alignment with Comprehensive Preparedness Guide (CPG) 201, Second Edition. State submissions of the THIRA and SPR are due no later than December 31, 2014.

Building and Sustaining Capabilities

EMPG Program grantees should ensure that grant funding is utilized to sustain critical core capabilities within the NPS that were funded by past EMPG Program funding cycles to include training of personnel and lifecycle replacement of equipment. New capabilities should not be built at the expense of maintaining current and critically needed core capabilities. If new core capabilities are being built utilizing EMPG Program funding, grantees must ensure that the capabilities are able to be deployable outside of their community to support regional and national efforts or otherwise shareable with regional partners and aligned with a gap identified

in the THIRA/SPR. All capabilities being built or sustained must have a clear linkage to one or more core capabilities in the Goal.

Reporting:

- As part of programmatic monitoring grantees will be required to: (1) describe how expenditures support maintenance and sustainment of current Goal core capabilities, (2) describe how expenditures support a gap identified in the THIRA/SPR and report these within the quarterly performance progress report.

Planning to Deliver Capabilities

All EMPG Program grantees shall maintain, or revise as necessary, jurisdiction-wide, all threats and hazards emergency operations plans (EOPs) consistent with the CPG 101 v.2 which serves as the foundation for State, local, tribal, and territory emergency planning. CPG 101 v.2 can be found at <http://www.fema.gov/national-preparedness/plan>. Grantees must update their EOP at least once every two years.

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

Reporting:

- Grantees will use the SPR to report EOP compliance.

Validating Capabilities

Grantees should develop long-term training and exercise priorities that examine, validate and/or address the gaps identified through their annual THIRA and SPR by developing a multi-year Training and Exercise Plan (TEP). Grantees should also review and consider areas for improvement identified from real-world events and exercises, and national areas for improvement identified in the 2013 National Preparedness Report.

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

In addition to training activities aligned to and addressed in the TEP, all EMPG Program funded personnel shall complete the following training requirements and record proof of completion: National Incident Management System (NIMS) Training, IS 100, IS 200, IS 700, and IS 800, and

other Independent Study courses identified in FEMA Professional Development Series. Previous versions of the IS courses meet the NIMS training requirement. A complete list of Independent Study Program Courses may be found at <http://training.fema.gov/is>.

All grantees will develop and maintain a progressive exercise program consistent with Homeland Security Exercise and Evaluation Program (HSEEP) (<https://www.llis.dhs.gov/hseep>). Grantees shall conduct no less than four quarterly exercise (i.e., one exercise per quarter) of any type (i.e., discussion-based or operations-based) and one full-scale exercise within a 12-month period. All EMPG funded personnel shall participate in no fewer than three exercises in a 12-month period.

A progressive, multi-year exercise program enables organizations to participate in a series of increasingly complex exercises, with each successive exercise building upon the previous one while also taking into account prior lessons learned. Regardless of the exercise type, each exercise within the progressive series is linked to a set of common program priorities and designed to test associated capabilities.

Reporting:

- Following the TEPW, all grantees and subgrantees are required to develop a multi-year TEP that identifies combination of exercises, along with associated training requirements, that address the priorities identified in the TEPW. The TEP shall be submitted to hseep@dhs.gov no later 90 days after the TEPW. States are encouraged to post their schedules to the National Exercise Scheduling System (NEXS) at https://hseep.dhs.gov/DHS_SSO/?ReturnUrl=%2fhseep_em%2fToolkitHome.aspx
- Submission of a roster of EMPG Program funded personnel, at both the state and local level, along with the training completed to be included in the Quarterly Performance Progress Report.
- In order to report on the required exercises, grantees can either submit one After Action Report/Improvement Plan (AAR/IP) for the culminating full-scale exercise that captures the lessons learned and corrective actions from all 5 exercises conducted within a 12-month period; or individual AAR/IPs for each of the 5 exercises to hseep@fema.dhs.gov, no later than 90 days after completion of the exercise. In accordance with HSEEP guidance grantees are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise cycle. Grantees are encouraged to use the HSEEP AAR/IP template located at <https://www.llis.dhs.gov/hseep> and utilize the Corrective Action Program (CAP) System at <https://hseep.dhs.gov/caps/>, as a means to track the implementation of corrective actions listed in the AAR/IP.

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

Reviewing and Updating

On a recurring basis, capabilities, resources, and plans should be reviewed to determine if they remain relevant or need to be updated as it relates to the EMPG Program. This review should be

based on a current risk assessment and utilize information gathered during the validation process. These reviews will provide a means to examine preparedness analyses; determine priorities; direct preparedness actions; and calibrate goals and objectives.

Additional considerations

Strengthening Governance Integration

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

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

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

Appendix B – FY 2014 EMPG Funding Guidelines

Allowable Costs

Management and Administration (M&A)

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

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

Indirect Costs

Indirect costs are allowable only if the applicant has an approved indirect cost rate with the cognizant Federal agency. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant Federal agency) is required at the time of application. Indirect costs will be evaluated as part of the application for Federal funds to determine if allowable and reasonable.

Planning

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

EMPG Program funds may be used to develop or enhance upon emergency management planning activities, some examples include:

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

Emergency Management/Operation Plans

- Maintaining a current EOP that is aligned with guidelines set out in CPG 101v.2 <http://www.fema.gov/national-preparedness/plan>
- Modifying existing incident management and emergency operations plans
- Developing/enhancing large-scale and catastrophic event incident plans

Communications Plans

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

Continuity/Administrative Plans

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

Whole Community engagement/planning

- Developing/enhancing emergency operations plans to integrate citizen/volunteer and other non-governmental organization resources and participation
- Engaging the whole community in security and emergency management is critical to achieving the Goal
- Public education and awareness on emergency management and preparedness
- Planning to foster public-private sector partnerships
- Development or enhancement of mutual aid agreements/compacts, including required membership in EMAC

Resource management planning

- Developing/enhancing logistics and resource management plans
- Developing/enhancing volunteer and/or donations management plans
- Acquisition of critical emergency supplies such as: shelf stable food products, water, and/or basic medical supplies. Acquisition of critical emergency supplies requires each State to have FEMA's approval of a five-year viable inventory management plan if planned grant expenditure is over \$100,000 ; an effective distribution strategy; sustainment costs for such an effort; and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning.
- Supply preparation

Evacuation planning

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

Pre-disaster and post-disaster Recovery planning

- Disaster housing planning, such as creating/supporting a State disaster housing task force and developing/enhancing State disaster housing plans
- Pre-event response/recovery/mitigation plans in coordination with State, local, and tribal governments
- Developing/enhancing other response and recovery plans
- Developing recovery plans and preparedness programs consistent with the principles and guidance in the NDRF that will provide the foundation for recovery programs and whole-community partnerships. Preparedness and pre-disaster planning was given special attention within the NDRF with specific guidance: *Planning for a Successful Disaster Recovery* (pages 63-70). For more information on the NDRF see <http://www.fema.gov/pdf/recoveryframework/ndrf.pdf>.

F/ERO Credentialing and Validation

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

Organization

Per the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, as amended, (42 U.S.C. §§ 5121-5207), EMPG Program funds may be used for all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management, including hazard mitigation staffing of the State Hazard Mitigation Officer (SHMO) position; performing close out activities on FEMA Disaster Assistance grants; and supporting fusion center analysts who are directly involved in all hazards preparedness activities as defined by the Stafford Act. Proposed staffing activities should be linked to accomplishing the activities outlined in the EMPG Program Work Plan. To ensure adequate resources are dedicated to the critical components of preparedness, grantees are encouraged to fund at least one dedicated Planner, Training Officer, and Exercise Officer.

Personnel costs, including salary, overtime, compensatory time off, and associated fringe benefits, are allowable costs with EMPG Program funds. These costs must comply with 2 C.F.R. Part §225, *Cost Principles for State, Local, and Indian Tribal Governments* (Office of Management and Budget [OMB] *Circular A-87*).

Equipment

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

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

- Information Technology (Category 4)
- Cyber security Enhancement Equipment (Category 5)
- Interoperable Communications Equipment (Category 6)
- Detection Equipment (Category 7)
- Power Equipment (Category 10)
- Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) Reference Materials (Category 11)
- CBRNE Incident Response Vehicles (Category 12)
- Physical Security Enhancement Equipment (Category 14)

- CBRNE Logistical Support Equipment (Category 19)
- Other Authorized Equipment (Category 21)

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

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 CFR Part 215, located at http://www.whitehouse.gov/omb/circulars_a087_2004/ (OMB Circular A-87).

Training

EMPG Program funds may be used for a range of emergency management-related training activities to enhance the capabilities of State and local emergency management personnel through the establishment, support, conduct, and attendance of training. Training activities should align to a current, Multi-Year TEP developed through an annual TEPW. Further guidance concerning the TEP and the TEPW can be found at <https://hseep.dhs.gov>. Training should foster the development of a community oriented approach to emergency management that emphasizes engagement at the community level, strengthens best practices, and provides a path toward building sustainable resilience. All EMPG Program funded personnel shall participate in no less than three exercises in a 12 month period.

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

The NIMS *Guideline for Credentialing of Personnel* provides guidance on the national credentialing standards. The NIMS Guidelines for Credentialing can be found at http://www.fema.gov/pdf/emergency/nims/nims_cred_guidelines_report.pdf.

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

For additional information on review and approval requirements for training courses funded with preparedness grants please refer to the following policy: http://www.fema.gov/media-library-data/1115d44e06367bb89510aafbe79c1875/FINAL_GPD+Training+Three+for+Free+Policy+09+10+13.pdf.

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

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

Allowable training-related costs include the following:

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

Exercises

Allowable exercise-related costs include:

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

Unauthorized exercise-related costs include:

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

- Durable and non-durable goods purchased for installation and/or use beyond the scope of exercise conduct

Construction and Renovation

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

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

When applying for funds to construct communication towers, grantees and sub-grantees must submit evidence that the FCC's Section 106 review process has been completed and submit all documentation resulting from that review to GPD prior to submitting materials for EHP review. Grantees and sub-grantees are also encouraged to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects, compliance with all State and EHP laws and requirements). Projects for which the grantee believes an Environmental Assessment (EA) may be needed, as defined in 44 C.F.R. §§ 10.8 and 10.9, must also be identified to the FEMA 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.

EMPG Program grantees using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. §§ 3141 *et seq.*). Grant recipients must ensure that their contractors or subcontractors for construction projects pay workers employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor (DOL) wage determinations, is available from the following website: <http://www.dol.gov/compliance/laws/comp-dbra.htm>.

Maintenance and Sustainment

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

EMPG Program grant funds are intended to support the Goal and fund activities and projects that build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide grantees the ability to meet this objective, the policy set forth in GPD's IB 379 (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding) allows for the expansion of eligible maintenance and sustainment

costs which must be in 1) direct support of existing capabilities; (2) must be an otherwise allowable expenditure under the applicable grant program; (3) be tied to one of the core capabilities in the five mission areas contained within the National preparedness Goal, and (4) shareable through the Emergency Management Assistance Compact. Additionally, eligible costs must also be in support of equipment, training, and critical resources that have previously been purchased with either Federal grant or any other source of funding other than DHS/FEMA preparedness grant program dollars. Additional guidance is provided in FEMA Policy FP 205-402-125-1, *Maintenance Contracts and Warranty Coverage Funded by Preparedness Grants*, located at: <http://www.fema.gov/media-library/assets/documents/32474>.

Unallowable Costs

- Expenditures for weapons systems and ammunition
- Costs to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities
- Activities and projects unrelated to the completion and implementation of the EMPG Program

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

Appendix C – FY 2014 EMPG Program Work Plan

EMPG Program Work Plan Instructions

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

Program and Budget Narrative

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

- Overview of the State’s risk profile such as resulting from a THIRA
- Areas of need identified through assessment processes such as the State Preparedness Report, Emergency Management Accreditation Program Assessment Process, National Emergency Communications Plan Goal Assessments, or other Emergency Management assessment processes
- Baseline inventory of where States are now relative to goals and objectives identified in relevant strategic plans per CPG 101 v.2
- State emergency management priorities and planning focus for current budget year (including linkage to the core capabilities identified in the Goal)

Personnel Data Table

To facilitate consistent data reporting and performance measures collection, a Personnel Data Table should be completed for State, Local, Tribal and Territory (SLTT) personnel supported with EMPG Program funds. The data requested will assist in documenting the extent to which EMPG Program funding contributes to enhancing or sustaining emergency management capacity in terms of personnel support at the State level. This template will be submitted with the EMPG Program Work Plan and updated only if numbers change more than 10% during the award period of performance.

Personnel Data Table Template

Personnel Metrics	Data
All EMPG Program funds (Federal and match) allocated towards State emergency management personnel	
All EMPG Program funds (Federal and match) allocated towards Non-State emergency management personnel (Local, Tribal, Territories)	
Total Number of State emergency management full-time equivalent (FTE) personnel (including those supported and not supported by the EMPG Program)	

Number of State emergency management full-time equivalent (FTE) personnel supported (fully or partially) by the EMPG Program	
Total Number of State, Local, Tribal or Territory (SLTT) emergency management personnel supported (fully or partially) by the EMPG Program.	

Personnel Data Table Definitions

This template is completed and submitted with the EMPG Program Work Plan and only re-submitted if the data changes more than 10% in any category.

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

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

Line 3 - Total Number of State Emergency Management full-time equivalent (FTE) personnel (including those supported and not supported by the EMPG Program)

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

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

Training Data Table

To facilitate consistent data reporting and performance measures collection, a Training Data Table should be completed for training sessions that meet the EMPG requirements and any EMPG funded training courses. This template should be updated quarterly with cumulative information. EMPG Program funded personnel shall participate in no less than three exercises, have completed the listed training requirements, and record proof of completion.

Training Data Table Template

Name of Training	EMPG Required? (Y/N)	Number of Personnel Trained	Total # of SLTT EMPG Funded personnel	Total # of SLTT EMPG Funded personnel in the Course	Number of SLTT EMPG Funded personnel that have not taken this course

Training Data Table Definitions:

Col 1 - Name of Training

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

Col 3 - # of Personnel Trained

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

Col 5 - Total # of SLTT EMPG Funded Personnel in the Course

Col 6 - Number of SLTT EMPG Funded Personnel that have not taken the Course

Exercise Data Table

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

Exercise Data Table Template

Exercise Data Table	# of Exercises	Name or Description of Exercise	Total # of SLTT EMPG Funded personnel	Number of SLTT EMPG Program Funded Personnel Participating in Exercise
Discussion-Based				
Seminar				
Workshop				
Tabletop Exercise (TTX)				
Game				
Operations-Based				
Drill				
Discussion-Based				
Functional Exercise				
Full-Scale Exercise				

Exercise Data Table Definitions:

Col 2 - Number of Instances of the Type of Exercise

Col 3 - Name/Description of Exercise

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

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

Grant Activities Outline

To facilitate performance measures and focus on outcomes, an EMPG Program Grant Activities Outline should be completed for activities supported with FY 2011 EMPG Program funds (including construction and renovation projects). The data outlined in this template will be used to evaluate the timely completion of planned emergency management activities. Grantees are encouraged to complete a separate Grant Activities Outline for each 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." Grantees should complete a template as shown on the next page and address the following areas:

EMF Number. Identify how the grant activities relate to the EMFs outlined in the September 2007 version of the Emergency Management Accreditation Program (EMAP) Standard (e.g. Resource Management, Communications and Warning, etc.)

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.

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 Progress Report.

Step. Provide the status of planned quarterly activities. The main steps and processes of the Project Management Lifecycle are summarized in the below table

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:			
Performance Measure and Basis of Evaluation:			
Challenges/Risks:			
1 st Quarter Activity (10/1/13-12/31/13)	Planned Activities:	Step:	Comments:
2 nd Quarter Activity (1/1/14-3/31/14)	Planned Activities:	Step:	Comments:
3 rd Quarter Activity (4/1/14-6/30/14)	Planned Activities:	Step:	Comments:
4 th Quarter Activity (7/1/14-9/30/14)	Planned Activities:	Step:	Comments:
5 th Quarter Activity (10/1/14-12/31/14)	Planned Activities:	Step:	Comments:
6 th Quarter Activity (1/1/15-3/31/15)	Planned Activities:	Step:	Comments:
7 th Quarter Activity (4/1/15-6/30/15)	Planned Activities:	Step:	Comments:
8 th Quarter Activity (7/1/15-9/30/15)	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