FY 2012 EMERGENCY MANAGEMENT PERFORMANCE GRANTS (EMPG) PROGRAM
FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)

OVERVIEW INFORMATION

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

Catalog of Federal Domestic Assistance (CFDA) Number
97.042

CFDA Title
Emergency Management Performance Grants

Funding Opportunity Announcement Title
Fiscal Year (FY) 2012 Emergency Management Performance Grants (EMPG) Program

Authorizing Authority for Program
Section 662 of the *Post-Katrina Emergency Management Reform Act of 2006* (PKEMRA) (Public Law 109-295), as amended by section 201 of the *Implementing Recommendations of the 9/11 Commission Act of 2007* (hereafter "9/11 Act") (Public Law 110-53); and the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, (Public Law 93-288), as amended, 42 U.S.C. 5121-5207, sections 201, 611(j) and 613; 42 U.S.C. 5131, 5196(j), and 5196b, respectively; specifically, the *National Flood Insurance Act of 1968* (42 U.S.C. 4001 et seq.), the *Earthquake Hazards Reduction Act of 1977* (42 U.S.C. 7701 et seq.), and Reorganization Plan No. 3 of 1978 (5 U.S.C. App.)

Appropriation Authority for Program
The Consolidated Appropriations Act, 2012, Division D (Public Law 112-74)

FOA Number

Grant Program Name	Opportunity Number
Emergency Management Performance Grants (EMPG) – Region I	DHS-12-GPD-042-001-01
Emergency Management Performance Grants (EMPG) – Region II	DHS-12-GPD-042-002-01
Emergency Management Performance Grants (EMPG) – Region III	DHS-12-GPD-042-003-01
Emergency Management Performance Grants (EMPG) – Region IV	DHS-12-GPD-042-004-01
Emergency Management Performance Grants (EMPG) – Region V	DHS-12-GPD-042-005-01
Emergency Management Performance Grants (EMPG) – Region VI	DHS-12-GPD-042-006-01
Emergency Management Performance Grants (EMPG) – Region VII	DHS-12-GPD-042-007-01
Emergency Management Performance Grants (EMPG) – Region VIII	DHS-12-GPD-042-008-01
Emergency Management Performance Grants (EMPG) – Region IX	DHS-12-GPD-042-009-01
Emergency Management Performance Grants (EMPG) – Region X	DHS-12-GPD-042-010-01

Key Dates and Time
Application Start Date: 02/17/2012
Application Submission Deadline Date: 05/04/2012 at 11:59:59 PM EDT
Anticipated Funding Selection Date: 02/17/2012
Anticipated Award Date: 06/01/2012

Other Key Dates
Applying for FY 2012 EMPG Program funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One immediately after the FOA is published but no later than **April 27, 2012**. This involves submitting a complete Standard Form 424 to grants.gov Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions of Step One to grants.gov could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full application package via the Non Disaster (ND) Grants system. The submission deadline for the full application package is **May 4, 2012**. For additional details see Section X of the full FOA.

Intergovernmental Review
Is an intergovernmental review required?

☒ Yes ☐ No

If yes, applicants must contact their State's Single Point of Contact (SPOC) to determine if the program has been selected for State review and comply with the State's process under Executive Order 12372. Names and addresses of the SPOCs are maintained at the Office of Management and Budget's home page at
http://www.whitehouse.gov/omb/grants_spoc.

FOA EXECUTIVE SUMMARY

Program Type
Select the applicable program type:

☐ New ☒ Continuing ☐ One-time

Date of origin for Program: 11/23/1988

Opportunity Category
Select the applicable opportunity category:

☒ Discretionary ☐ Mandatory ☐ Competitive ☒ Non-competitive ☐ Sole Source

Application Process
DHS makes all funding opportunities available through the common electronic "storefront" grants.gov, accessible on the Internet at http://www.grants.gov. If you experience difficulties accessing information or have any questions, please call the grants.gov customer support hotline at (800) 518-4726.

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

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

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

☒ State governments

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

Type of Funding Instrument
Select the applicable funding instrument:

☒ Grant ☐ Cooperative Agreement

Cost Share or Match
Select the applicable requirement:

☒ Cost Match ☐ Cost Share ☐ None Required

In FY 2012, the Federal share of the cost of an activity carried out using funds made available under the program shall not exceed 50 percent of the total budget. State cost match (cash or in-kind) requirement, as authorized by the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Public Law 93-288), as amended, 42 U.S.C. 5121-5207, specifically, Title VI, sections 611(j) and 613. Unless otherwise authorized by law, Federal funds cannot be matched with other Federal funds.

FEMA administers cost matching requirements in accordance with 44 CFR §13.24 which is located at *http://www.access.gpo.gov/nara/cfr/waisidx_07/44cfrv1_07.html* or 2 CFR §215.23 which is located at *http://www.access.gpo.gov/nara/cfr/waisidx_07/2cfrv1_07.html*. To meet matching requirements, the grantee contributions must be reasonable, allowable, allocable, and necessary under the grant program and must comply with all Federal requirements and regulations. In accordance with 48 U.S.C. 1469a, match requirements are waived for the insular areas: the U.S. territories of American Samoa, Guam, the U.S. Virgin Islands, the Trust Territory of the Pacific Island, and the Commonwealth of the Northern Mariana Islands.

Maintenance of Effort
Is there a Maintenance of Effort (MOE) requirement?

☐ Yes ☒ No

Management and Administration
Management and administration (M&A) activities are those defined as directly relating to the management and administration of EMPG Program funds, such as financial management and monitoring. It should be noted that salaries of State and local emergency managers are not typically categorized as M&A, unless the State or local 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%) from the State for local M&A purposes.

FULL FOA

I. Funding Opportunity Description

Program Overview and Priorities
The purpose of the EMPG Program is to make grants to States to assist State, local, and tribal governments in preparing for all hazards, as authorized by the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (42 U.S.C. 5121 et seq.). Title VI of the *Stafford Act* authorizes FEMA to make grants for the purpose of providing a system of emergency preparedness for the protection of life and property in the United States from hazards and to vest responsibility for emergency preparedness jointly in the Federal Government, States, and their political subdivisions. The Federal Government, through the EMPG Program, provides necessary direction, coordination, and guidance, and provides necessary assistance, as authorized in this title so that a comprehensive emergency preparedness system exists for all hazards.

Although no longer funded as discrete grant programs, all activities and costs allowed under the FY 2011 Emergency Operations Center (EOC) Grant Program, and FY 2011 Metropolitan Medical Response System (MMRS) grant program are **allowable costs** under the FY 2012 EMPG Program. For additional information on allowable activities under the aforementioned grant programs, please refer to
http://www.fema.gov/government/grant/nondisaster.shtm.

Program Objectives
The FY 2012 EMPG Program plays an important role in the implementation of Presidential Policy Directive 8 (PPD-8) by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the National Preparedness Goal (NPG). The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY 2012 EMPG Program supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs.

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

- Building and Sustaining core capabilities identified in the NPG
- Approved Emergency Plans
- Completion of Threat and Hazard Identification Risk Assessment (THIRA)
- Development and Maintenance of multi-year Training and Exercise Plans (TEPs)
- Targeted Training and Verification of Personnel Capability
- Whole Community approach to Security and Emergency Management

For additional details on priorities for this program please refer to Appendix B – *FY 2012 EMPG Program Priorities*

II.   Funding Information

Award Amounts, Important Dates, and Extensions
Available Funding for the FOA: $339,500,000.00
Projected number of awards: 58
Projected Award Start Date(s): 06/01/2012
Projected Award End Date(s): 05/31/2014
Period of Performance: 24 months

Grantees must accept their grant 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 Grant Programs Directorate (GPD), and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the grant award within the 90 day timeframe may result in a loss of funds.

For details on funding amounts, please refer to Appendix A – *FY 2012 EMPG Program Allocations*.

Period of Performance
Is an extension to the period of performance permitted?

☒ Yes ☐ No

The periods of performance outlined above support the effort to expedite the outlay of grant funding and provide economic stimulus. Agencies should request waivers sparingly, and they will be granted only due to compelling legal, policy, or operational challenges. For example, State Administrative Agencies (SAA's) may request waivers from the deadlines outlined above for discretionary grant funds where adjusting the timeline for spending will constitute a verifiable legal breach of contract by the grantee with vendors or sub-recipients, or where a specific statute or regulation mandates an environmental review that cannot be completed within this timeframe or where other exceptional circumstances warrant a discrete waiver.

Additional Funding Information
In FY 2012, the total amount of funds distributed under this grant will be $339,500,000. The FY 2012 EMPG Program funds will be allocated based on the Section 662 of the *Post-Katrina Emergency Management Reform Act of 2006*, as amended, 6 U.S.C. 762. All 50 States, the District of Columbia, and Puerto Rico will receive a base amount of 0.75 percent of the total available grant funding. Four territories (American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) will receive a base

amount of 0.25 percent of the total available grant funding. The balance of EMPG Program funds is distributed on a population-share basis. Pursuant to Article X of the Federal Programs and Services Agreement of the *Compact of Free Association Act* (Public Law 108-188), funds are available for the Federated States of Micronesia and for the Republic of the Marshall Islands.

III.   Eligibility Information

Eligibility Criteria
All 56 States and territories, as well as the Republic of the Marshall Islands and the Federated States of Micronesia, are eligible to apply for FY 2012 EMPG Program funds. Either the SAA or the State's EMA are eligible to apply directly to FEMA for EMPG Program funds on behalf of State and local emergency management agencies, however only one application will be accepted from each State or territory.

IV.   Funding Restrictions

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

Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement.

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

EMPG Program grantees may only fund projects that were included in the FY 2012 Work Plan that was submitted to and approved by a FEMA Program Analyst.

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

V.   Application Review Information and Selection Process

Application Review Information
Submitted applications will undergo a complete content review within their respective FEMA Region. Each FEMA Region will be responsible for reviewing the FY 2012 EMPG Program Work Plan for their respective States/territories in order to assess their emergency management sustainment and enhancement efforts, as well as the linkage to the core capabilities identified in the NPG.

For additional details on application review information please refer to Appendix D - *FY 2012 EMPG Program Work Plan.*

Application Selection Process

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

VI. Post-Selection and Pre-Award Guidelines

Notice of Award

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

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

Obligation of Funds

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

Administrative and Federal Financial Requirements

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

1. **Federal Financial Report (FFR) – required quarterly.** Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent.

The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through PARS.

2. **Grant Close-Out Process.** Within 90 days after the end of the period of performance, or after a Grant Adjustment Notice (GAN) has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records.

Programmatic Reporting Requirements

1. **State Preparedness Report (SPR) Submittal.** Section 652(c) of the *Post-Katrina Emergency Management Reform Act of 2006* (Public Law 109-295), 6 U.S.C. §752(c), requires any State that receives Federal preparedness assistance to submit an SPR to FEMA. States submitted their most recent State Preparedness Reports in December 2011 thus satisfying this requirement to receive funding under the FY 2012 EMPG Program.

2. **Quarterly Performance Progress Reports (SF-PPR).** EMPG Program Quarterly Performance Progress Reports must be submitted to the EMPG Program Regional Program Analyst 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. The Quarterly Performance Progress Report should be completed using the SF-Performance Progress Report (SF-PPR), available at
http://www.whitehouse.gov/sites/default/files/omb/assets/omb/grants/approved_forms/sf-ppr.pdf. If other formats are used at least equivalent information to that contained in the SF-Performance Progress Report has to be submitted. See Appendix B – *FY 2012 EMPG Program Priorities* and Appendix D - *FY 2012 EMPG Program Work Plan*.

Grantees are required to report on progress towards implementing plans described in their application. Additionally, as part of the SF-PPR, grantees are required to report on progress made towards implementing the following performance measures as described in Appendix B – *FY 2012 EMPG Program Priorities*:

- Percentage completion towards CPG 101 v.2 compliance;
- Percent completion of the progressive exercise series to include percent completion of personnel participation;
- Any After Action Reports/Improvements Plans (AAR/IP) that relate to the four quarterly exercises and one full-scale exercise;

- A list of EMPG Program funded personnel along with the training completed together with the Personnel Data Table Template in Appendix D - *FY 2012 EMPG Program Work Plan; and*
- Percent of the Training and Exercise Plan (TEP) completed that was outlined in the FY 2012 EMPG Program Work Plan together with the Training and Exercise Data Tables Template in Appendix D - *FY 2012 EMPG Program Work Plan.*

3. **Biannual Strategy Implementation Reports (BSIR).** Grantees are responsible for completing and submitting the BSIR reports, as a compliment to the Quarterly Progress Report (programmatic performance report/SF-PPR). 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; 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. The first BSIR is not due until at least six months after the award notice has been received by the grantee.

4. **Exercise Evaluation and Improvement.** Exercises implemented with grant funds should evaluate performance of the capabilities required to respond to the exercise scenario. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation Program located at *https://hseep.dhs.gov*.

5. **Monitoring.** Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

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

VII.   DHS FEMA Contact Information

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

Financial and Administrative Information

1. **Grant Programs Directorate (GPD).** FEMA GPD's Grant Operations Division Business Office will provide fiscal support, including pre- and post-award

administration and technical assistance, to the grant programs included in this solicitation. Callers will be directed to a point of contact who will be able to assist with their financial or administrative question. 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.

2. **FEMA Regions.** FEMA Regions may also provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. For a list of contacts, please go to *http://www.fema.gov/about/contact/regions.shtm*.

3. **GPD Environmental Planning and Historic Preservation (GPD-EHP).** The FEMA GPD-EHP Team provides guidance and information to grantees and subgrantees related to submission of materials for EHP review. All EHP Review Packets should be sent to gpdehpinfo@fema.gov.

Programmatic Information

1. **Centralized Scheduling and Information Desk (CSID).** CSID is a non-emergency comprehensive management and information resource developed by DHS for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the Federal, State, and local levels. When necessary, grantees will be directed to a Federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800) 368-6498 or by e-mail at askcsid@fema.gov Monday through Friday, 9:00 a.m. – 5:30 p.m. (EST).

Systems Information

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

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

VIII.   Other Critical Information

Emergency Management Assistance Compact (EMAC) Membership
In support of the NPG, EMPG Program recipients must belong to or be located in member States of EMAC, except for American Samoa and the Commonwealth of the Northern Mariana Islands, which are not required to belong to EMAC at this time.

National Incident Management System (NIMS) Implementation
In accordance with Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, the adoption of NIMS is a requirement to receive Federal preparedness assistance, through grants, contracts, and other activities.

Prior to allocation of any Federal preparedness awards in FY 2012, grantee must ensure compliance and/or alignment with FY 2011 NIMS implementation plan. The list of objectives against which progress and achievement are assessed and reported can be found at
http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.shtm#item 2.

The primary grantee/administrator of FY 2012 EMPG Program award funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards.

Grantees must update their EOP's at least once every two years. An evaluation matrix to describe and calculate the percentage towards the completion towards complying with CPG 101 v.2 will be published at *http://www.fema.gov/prepared/plan.shtm*.

FEMA will disseminate guidance during FY 2012 on how to complete a Threats and Hazards Identification and Risk Assessment (THIRA).

IX.   How to Apply

Application Instructions
All EMPG Program applicants are encouraged to use the template provided by FEMA to submit a required Work Plan that outlines the State's emergency management sustainment and enhancement efforts, including new and ongoing projects, proposed for the FY 2012 EMPG Program period of performance. The Work Plan consists of a Program and Budget Narrative, Personnel Data Table, Training Data Table, Exercise Data Table, and Grant Activities Outline.

For additional details on Application instructions please refer to Appendix D - *FY 2012 EMPG Program Work Plan*.

X.   Application and Submission Information

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

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

Content and Form of Application

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

   The application must be started and submitted using grants.gov after Central Contractor Registration (CCR) is confirmed. The on-line application includes the following required form:

   - Standard Form 424, Application for Federal Assistance

   Applying for FY 2012 EMPG Program funds requires a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One as soon after the FOA is published but no later than April 27, 2012. This involves submitting a complete Standard Form 424 to *www.grants.gov*. The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions to grants.gov to complete Step One could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full application package via the ND Grants system. The submission deadline for the full application package is May 4, 2012.

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

   - Standard Form 424A, Budget Information (Non-construction)
   - Standard Form 424B, Standard Assurances (Non-construction)
   - Standard Form 424C, Budget Information (Construction)
   - Standard Form 424D, Standard Assurances (Construction)
   - Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)
   - Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying
   - FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (available at: *http://www.fema.gov/library/viewRecord.do?id=2628*)
   - EMPG Program Work Plan

- Detailed budget (see Appendix D – *FY 2012 EMPG Program Workplan)*

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

2. **Dun and Bradstreet Data Universal Numbering System (DUNS) Number.** The applicant must provide a DUNS number with their application. This number is a required field within *http://www.grants.gov* and for CCR. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at (866) 705-5711.

3. **Valid CCR.** The application process also involves an updated and current registration by the applicant, which must be confirmed at *http://www.ccr.gov.*

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

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

Applications will be processed through the grants.gov portal or the ND Grants system.

Hard copies of the application will not be accepted.

Appendix A - FY 2012 EMPG Program Allocations

State/Territory	Allocation	State/Territory	Allocation
Alabama	$5,643,567	New Hampshire	$3,396,361
Alaska	$3,012,335	New Jersey	$8,235,067
Arizona	$6,726,857	New Mexico	$3,889,089
Arkansas	$4,440,971	New York	$15,099,475
California	$26,853,993	North Carolina	$8,773,722
Colorado	$5,846,103	North Dakota	$2,987,322
Connecticut	$4,855,471	Ohio	$9,991,660
Delaware	$3,131,267	Oklahoma	$4,991,417
District of Columbia	$2,944,799	Oregon	$5,043,236
Florida	$14,836,576	Pennsylvania	$10,764,216
Georgia	$8,876,139	Rhode Island	$3,224,241
Hawaii	$3,432,873	South Carolina	$5,563,914
Idaho	$3,568,417	South Dakota	$3,077,706
Illinois	$10,845,713	Tennessee	$6,675,812
Indiana	$6,749,053	Texas	$19,104,010
Iowa	$4,521,152	Utah	$4,363,094
Kansas	$4,397,929	Vermont	$2,950,239
Kentucky	$5,364,075	Virginia	$7,767,800
Louisiana	$5,496,590	Washington	$6,950,984
Maine	$3,402,807	West Virginia	$3,742,786
Maryland	$6,304,949	Wisconsin	$6,229,804
Massachusetts	$6,794,592	Wyoming	$2,912,659
Michigan	$8,915,464	Puerto Rico	$4,936,717
Minnesota	$5,993,184	U.S. Virgin Islands	$919,474
Mississippi	$4,467,111	American Samoa	$892,115
Missouri	$6,422,580	Guam	$966,952
Montana	$3,189,995	Northern Mariana Islands	$878,448
Nebraska	$3,734,581	Republic of the Marshall Islands	$50,000
Nevada	$4,302,537	Federated States of Micronesia	$50,000
Total			**$339,500,000**

Appendix A – FY 2012 EMPG Program Allocations

Appendix B - FY 2012 EMPG Program Priorities

Presidential Policy Directive 8: National Preparedness

Presidential Policy Directive 8: National Preparedness (PPD-8), signed on March 30, 2011, describes the Nation's approach to preparing for the threats and hazards that pose the greatest risk to the security of the United States. National preparedness is the shared responsibility of our whole community. Every member contributes, including individuals, communities, the private and nonprofit sectors, faith-based organizations, and Federal, State, and local governments. We describe our security and resilience posture through the core capabilities that are necessary to address risks, and we will use an integrated, layered, and all-of-Nation approach as our foundation. We define success as 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.

National preparedness is the shared responsibility of all levels of government, the private and nonprofit sectors, and individual citizens. The objective of PPD-8 is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based approach to preparedness.

Using the core capabilities, we achieve the NPG by:

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

The core capabilities contained in the NPG are the distinct critical elements necessary for our success. They are highly interdependent and will require us to use existing preparedness networks and activities, improve training and exercise programs, promote innovation, and ensure that the administrative, finance, and logistics systems are in place to support these capabilities. The core capabilities represent an evolution from the Target Capabilities List (TCL). The transition from TCLs to core capabilities expands the focus to include mitigation and allows greater focus on prevention and protection activities.

 To support building, sustaining, and delivering these core capabilities grantees will use elements of the National Preparedness System (NPS). The NPS is to be an integrated

set of guidance, programs, and processes that can be implemented and measured at all levels of government, thereby enabling the Nation to achieve the Goal.

Building and Sustaining Core Capabilities
Capabilities are the means to accomplish a mission, function, or objective based on the performance of related tasks, under specified conditions, to target levels of performance. The most essential of these capabilities are the core capabilities identified in the NPG. Complex and far-reaching threats and hazards require the whole community to integrate preparedness efforts in order to build, sustain, and deliver the core capabilities and achieve the desired outcomes identified in the NPG.

Working together, subject matter experts, government officials, and elected leaders can develop strategies to allocate resources effectively, as well as leverage available assistance to reduce risk. These strategies consider both how to sustain current levels of capability and address gaps in order to achieve the NPG. Achieving the NPG will require participation and resource support from all levels of government. Not all capabilities can be addressed in a given funding cycle, nor can funding be expected to flow from any one source. Officials must prioritize the achievement of capabilities to most effectively ensure security and resilience while understanding the effects of not addressing identified gaps. Building and sustaining capabilities will include a combination of organizational resources, equipment, training, and education. Grants and technical assistance may also be available to support building and sustaining capabilities. Consideration must also be given to finding, connecting to, and strengthening community resources by leveraging the expertise and capacity of individuals, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. Jurisdictions may also choose to use mutual aid agreements to fill gaps or work with partners to develop regional capabilities. Ultimately, a jurisdiction may need to rely on other levels of government to address a gap in capability. This expectation should be communicated well before the time arises when the capabilities are most urgently needed.

As these issues are considered in light of the eligible activities, an effective risk assessment must guide jurisdictions' efforts. This risk picture will cover the range of threats and hazards, from a community faces daily to those infrequent events that would stress the core capabilities of a jurisdiction. Coupled with the desired outcomes established by a community, this combined perspective is crucial to enabling all levels of government to effectively estimate the level of capabilities required to address it's risks. Grantees will be required to develop a THIRA component of the State Mitigation Plan and provide a copy to their EMPG Program Analyst no later than December 31, 2012. See Page 20 for more information.

Files and information on PPD-8 can be found at *http://www.fema.gov/ppd8*.

The President's FY 2013 budget has proposed substantial changes to DHS grant programs. FY 2012 grant programs will prepare grantees for the transition to new requirements in FY 2013 in the following ways:

- Begin the process of transitioning from separate preparedness grant programs in FY 2011 to a more streamlined model within the construct of the FY 2012 appropriations
- Continue the transition to address the core capabilities outlined in the NPG
- Implement a two year period of performance with very limited extensions

Grantees are encouraged to familiarize themselves with the grant proposals in the President's FY 2013 budget.

FY 2012 EMPG Program and Alignment to PPD-8
The FY 2012 EMPG Program plays an important role in the implementation of Presidential Policy Directive 8 (PPD-8) by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the National Preparedness Goal (NPG). The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY 2012 EMPG Program supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs.

Priority for FY 2012
Implementation of PPD-8. FEMA's preparedness grant programs like the EMPG Program, are just one resource for State, local, tribal, and regional partners to support activities described within PPD-8 and the NPG. These activities include continued development and sustainment of core capabilities needed to close gaps and strengthen the Nation's preparedness. Throughout this guidance, applicable EMPG Program activities will be presented in relation to the five mission areas and core capabilities to demonstrate and provide examples of the linkage between PPD-8, the NPG, and the EMPG Program.

Advancing "Whole Community" Security and Emergency Management. Engaging the Whole Community in security and emergency management is critical approach to the implementation of PPD-8 and to achieving the NPG. Communities are challenged to develop collective, local abilities to withstand the potential impacts of natural disasters and terrorist threats, respond quickly, and recover in a way that sustains or improves the community's overall well-being. Achieving this collective capacity calls for innovative approaches across the community, including emergency management to build up existing practices, institutions, and organizations that help make local communities successful, and that can leverage this infrastructure if and when an incident occurs. For more information on the "Whole Community Approach to Emergency Management" see *http://www.fema.gov/library/viewRecord.do?id=4941*.

A comprehensive State emergency management system must engage stakeholders at all levels. Local emergency management organizations should remain informed and have the opportunity to provide input to State planning processes. Although FEMA expects States to include support for their local jurisdictions in the EMPG Program,

each Governor is responsible for determining the appropriate amount of funding to be passed through to support the development or enhancement of local emergency management performance capabilities. In support of engaging stakeholders at all levels, EMPG Program funds may be sub-granted to non-governmental emergency management stakeholder entities such as non-profits, public and private universities, hospitals, faith-based entities.

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

Objective One: Approved Emergency Plans. The Comprehensive Preparedness Guide (CPG) 101 v.2 September 2010, helps planners at all levels of government in their efforts to develop and maintain viable all-hazards, all-threats Emergency Operations Plans (EOPs) by engaging the whole community in thinking through the life cycle of a potential crisis, determining required capabilities that support the NPG, and establishing a framework for roles and responsibilities. All EMPG Program grantees shall maintain, or revise as necessary, jurisdiction wide all hazard emergency operations plans consistent with the CPG 101 v.2 September 2010 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/pdf/about/divisions/npd/CPG_101_V2.pdf*. Grantees must update their EOPs at least once every two years. A *Plan Analysis Tool* to describe progress towards complying with CPG 101 v.2 is published and available at *http://www.fema.gov/prepared/plan.shtm*.

Measurement Method

- Grantees will report progress toward making their EOPs compliant with CPG 101 v.2 by completing the *Plan Analysis Tool* for Compliance with CPG 101 v.2 available at *http://www.fema.gov/prepared/plan.shtm.*

Reporting

To be eligible for full FY 2012 EMPG Program funds grantees are required to submit:

- The above referenced *Plan Analysis Tool* at least once per year throughout the period of performance of the award as well as include in the Quarterly Performance Progress Report the percentage completion towards CPG 101 v.2 compliance.
- Their existing EOPs to their respective Regional Program Analyst.

Objective Two: Completion of Threat and Hazard Identification and Risk Assessment (THIRA). THIRA processes at all levels of government establish a foundation to justify and guide preparedness activities and investments. A common approach to that process will enable the whole community to maintain a baseline understanding of the risks that they face, facilitating efforts to identify capability and resource gaps, focus capability improvements, and inform the community of actions they can take to manage their risks. In order to qualify for full FY 2012 funding, all grantees shall develop and maintain a THIRA.

THIRAs should include the range of threats and hazards faced by an applicant. The assessment should be based on analysis of the relative consequences of the various threats and hazards with consideration of empirical data to the maximum degree possible. THIRA findings should be incorporated into each applicant's preparedness strategy, planning, Investment Justification, and assessment documentation–addressing capability gaps identified during the THIRA process.

An intergovernmental THIRA system is envisioned in the NPS in which jurisdictions' respective THIRAs can inform one another using a common methodological framework. FEMA will continue to refine the process and disseminate guidance throughout FY 2012. Grantees should work with FEMA to incorporate additional guidance into their THIRA as it becomes available.

Measurement Methods

- An approved THIRA that addresses the risks and hazards faced by a grantee.

Reporting

- Grantees will be required to develop a THIRA component of the State Mitigation Plan and provide a copy to their EMPG Program Analyst no later than December 31, 2012. The THIRA must be updated annually. Grantees must also submit the THIRA to the Regional Federal Preparedness Coordinator.

Objective Three: Develop and Maintain Multi-Year TEPs. The Multi-Year TEP provides a roadmap to accomplish the priorities described in the Homeland Security Strategy. Engaging the whole community in training and exercises allows all partners to evaluate and improve upon their level of preparedness. States and Urban Areas are required to conduct an annual Training and Exercise Plan Workshop (TEPW). All grantees and sub-grantees are required to develop a Multi-Year TEP that incorporate linkages to the NPG core capabilities and update it annually. Refer to Information Bulletin #366 Clarification of FY 2011 Exercise Guidance for additional clarification. For a copy of the Frequently Asked Questions (FAQs) on TEPs, please e-mail askcsid@fema.gov and ask for a copy of the "FY11 EMPG Requirements" message dated November 11, 2011.

The TEP should be submitted to hseep@dhs.gov and the Regional Exercise Officer; States are encouraged to post their schedules to the National Exercise Scheduling System (NEXS) at https://hseep.dhs.gov/DHS_SSO/?ReturnUrl=%2fhseep_em%2fToolkitHome.aspx. Specifically, TEPs should include the following requirements:

- All EMPG Program grantees will develop and maintain a progressive exercise program consistent with the National Exercise Program base plan, to include no less than four quarterly exercises (i.e., one exercise per quarter) of any type (e.g. Drills, Tabletop Exercises, Functional), and one full-scale exercise within a 12-month period. Please note that response to any real-world events within a 12-month period may fulfill a single, quarterly exercise requirement. In addition, all EMPG program funded personnel shall participate in no less than three exercises in a 12-month period. An After Action Report/Improvement Plan (AAR/IP) shall be completed for each exercise and submitted to FEMA. The AAR/IP should be encrypted (password protected) and emailed to hseep@dhs.gov. A summary of all collected corrective action items and a tracking of their implementation shall be reported as part of the Quarterly Performance Progress Report. The Homeland Security Exercise and Evaluation Program (HSEEP) constitutes a national standard for all exercises. FEMA encourages the use of the Homeland Security Exercise and Evaluation Program (HSEEP) (https://hseep.dhs.gov).

Measurement Method

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

Reporting

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

Objective Four: Target Training and Verify Capability of Personnel. Training activities supported with EMPG Program funds should strategically align to the NPG core capabilities identified in the Multi-Year TEP. To ensure the development of a professional emergency management workforce all EMPG Program funded personnel shall complete the following training requirements and record proof of completion.

NIMS Training: IS 100; IS 200; IS 700; and IS 800; FEMA Professional Development Series: IS 120; IS 230; IS 235; IS 240; IS 241; IS 242; and IS 244. Previous versions of the IS courses meet the NIMS training requirement. A complete list of Independent Study Program Courses may be found at *http://training.fema.gov/is*.

Measurement Method

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

Reporting

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

Standardized Reporting through the Work Plan Template: The Work Plan Template has been modified to standardize data collection for improved analysis and reporting. The Work Plan Template includes four components: a Personnel Data Table, a Training Data Table, an Exercise Data Table, and a Grant Activities Outline. The Personnel Data Table and the Grant Activities Outline will form the basis of the Quarterly Performance Progress Report. The Grant Activities Outline is structured to enable reporting of quarterly activities according to Emergency Management Function (EMF) projects, as well as standardized reporting of activity completion status. Quarterly training and exercise activities will be reported in the Grant Activities Outline under EMF number 13 and number 14.

Appendix B – FY 2012 EMPG Program Priorities

Appendix C - Funding Guidelines

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

Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement.

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

1. Management and Administration

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

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

2. Allowable Costs

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

FY 2012 EMPG Program funds may be used to develop or enhance upon emergency management planning activities, some examples include:

- Threat and hazard assessments
- Development of THIRA that is representative of the jurisdiction
- Hazard analysis and risk assessment

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

Emergency management/operation plans

- Maintaining a current Emergency Operations Plan that is aligned with guidelines set out in CPG 101v.2
  http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf
- Modifying existing incident management and emergency operations plans
- Developing/enhancing comprehensive emergency management plans
- Developing/enhancing large-scale and catastrophic event incident 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 management and operations plans to integrate citizen/volunteer and other non-governmental organization resources and participation
- Community-based planning to advance "whole community" security and emergency management
- Public education and awareness on emergency management and preparedness
- Planning to foster public-private sector partnerships
  Development or enhancement of mutual aid agreements/compacts, including required membership in EMAC

Resource management planning

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

Evacuation planning

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

Pre-disaster 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

Recovery planning

- The National Disaster Recovery Framework (NDRF) sets national policy and doctrine to define a new era of disaster recovery across Federal, State and local government. The NDRF aims to achieve a disaster recovery system that is more responsive to whole-community needs. EMPG Program grantees should, as feasible, take steps to develop recovery plans and preparedness programs consistent with the principles and guidance in the NDRF that will provide the foundation for recovery programs and whole-community partnerships. Preparedness and pre-disaster planning was given special attention within the NDRF with specific guidance: *Planning for a Successful Disaster Recovery* (pages 63-70). For more information on the NDRF see *http://www.fema.gov/pdf/recoveryframework/ndrf.pdf*.

Program evaluations

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. Proposed staffing activities should be linked to accomplishing the projects and 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 FY 2012 EMPG Program funds. These costs must comply with 2 CFR Part §225, *Cost Principles for State, Local, and Indian Tribal Governments (*Office of Management and Budget [OMB] *Circular A-87).*

Equipment

In accordance with 44 CFR 13.32, allowable equipment categories for the FY 2012 EMPG Program are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), which is sponsored by FEMA at *http://www.rkb.us*. Unless otherwise stated, equipment must meet all mandatory regulatory and/or FEMA-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

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

- Information Technology (Category 4)
- 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 (such as sports utility 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 Analyst for clarification.

Grantees (including sub-grantees) that are using FY 2012 EMPG Program funds to support emergency communications activities should comply with the *FY 2012 SAFECOM Guidance for Emergency Communication Grants*, including provisions on technical standards that ensure and enhance interoperable communications. Emergency communications activities include the purchase of Interoperable Communications Equipment and technologies such as voice-over-internet protocol bridging or gateway devices, or equipment to support the build out of wireless broadband networks in the 700 MHz public safety band under the Federal Communications Commission Waiver Order. SAFECOM guidance can be found at *http://www.safecomprogram.gov*.

Training

FY 2012 EMPG Program funds may be used for a range of emergency management-related training activities to enhance the capabilities of State and local emergency management personnel through the establishment, support, conduct, and attendance of training. Training activities should align to a current, Multi-Year TEP developed through an annual TEPW. Further guidance concerning the Training and Exercise Plan and the

Training and Exercise Plan Workshop can be found at *https://hseep.dhs.gov*. Training should foster the development of a community oriented approach to emergency management that emphasizes engagement at the community level, strengthens best practices, and provides a path toward building sustainable resilience. All EMPG Program funded personnel shall participate in no less than three exercises in a 12 month period and should complete the following training requirements and record proof of completion.

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

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

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

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

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

Allowable training-related costs include the following:

- ***Funds Used to Develop, Deliver, and Evaluate Training.*** Includes costs related to administering the training: planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the training cycle.
- ***Overtime and Backfill.*** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at FEMA and/or approved training courses and programs are allowable. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local

government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.

- *Travel.* Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.

- *Hiring of Full or Part-Time Staff or Contractors/Consultants.* Full- or part-time staff may be hired to support direct training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or awarding agency, whichever is applicable.

- *Certification/Recertification of Instructors.* Costs associated with the certification and re-certification of instructors are allowed. States are encouraged to follow the FEMA Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses which involve training of trainers.

Exercises

Exercises implemented with grant funds should evaluate performance of the capabilities required to achieve exercise objectives. Exercise activities should align to a current, Multi-Year TEP developed through an annual TEPW. Further guidance concerning the TEP and the TEPW can be found at *https://hseep.dhs.gov*. Grantees are encouraged to develop exercises that test their EOPs in accordance with the FY 2012 Priority requirements.

Allowable exercise-related costs include:

- *Funds Used to Design, Develop, Conduct and Evaluate an Exercise.* This includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. Grantees are encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Exercises should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any exercise or exercise gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the exercise cycle.

- *Hiring of Full or Part-Time Staff or Contractors/Consultants.* Full- or part – time staff may be hired to support direct exercise activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or the awarding agency, whichever is applicable. The services of contractors/consultants may also be procured to support the design, development, conduct and evaluation of exercises.

- ***Overtime and Backfill.*** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- ***Travel.*** Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise projects
- ***Supplies.*** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise projects (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.

*Unauthorize***d** 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 activities for a State, local, or tribal government's principal EOC as defined by the SAA are allowable under the EMPG Program.
The FY 2012 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 wage determinations, is available from the following website: http://www.dol.gov/compliance/laws/comp-dbra.htm.

Written approval must be provided by FEMA prior to the use of any EMPG Program funds for construction or renovation. Requests for EMPG Program funds for construction of an EOC must be accompanied by an EOC Investment Justification (FEMA Form 089-0-0-3; OMB Control Number; 1660-0124 (available through ND grants) to their Program Analyst for review.

When applying for construction funds, including communications towers, at the time of application, grantees are highly encouraged to submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits and documents, and to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., completing the FCC's Section 106 review process for tower construction projects; coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects). Projects for which the grantee believes an Environmental Assessment (EA) may be needed, as defined in 44 CFR 10.8 and 10.9, must also be identified to the FEMA Program Analyst within six (6) months of the award and completed EHP review packets 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.

When applying for EOC construction funds, at the time of application, grantees are highly encouraged to submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits and documents, and to have completed all required steps for a successful EHP review in support of their proposal for funding (e.g., coordination and consultation).

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.

FY 2012 grant funds are intended to support the NPG and fund 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 Information Bulletin 336 (Maintenance and Sustainment) has been expanded to allow for the support of equipment that has previously been purchased with both Federal grant and non-Federal grant funding. The eligible costs for maintenance and sustainment must be an otherwise allowable expenditure under the applicable grant programs, and be tied to one of the core capabilities in the five mission areas contained within the NPG and be deployable through EMAC, where applicable.

3. 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 unrelated to the completion and implementation of the EMPG Program

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

Appendix D - FY 2012 EMPG Program Work Plan

Work Plan Instructions
All EMPG Program applicants are encouraged to use the template to submit a required Work Plan that outlines the State's emergency management sustainment and enhancement efforts, including new and ongoing projects, proposed for the FY 2012 EMPG Program period of performance. The Work Plan consists of a Program and Budget Narrative, Personnel Data Table, Training Data Table, Exercise Data Table, and Grant Activities Outline. FEMA regional offices will work closely with States to monitor Work Plans during the performance period. In addition, FEMA regional offices must approve final Work Plans before States may draw down EMPG Program funds. Grant funds will be released on a rolling basis upon approval of the State's final Work Plan.

Work Plan Template
For a detailed description and examples of the Work plan Template, including the Program and Budget Narrative, Personnel, Training and Exercise Data Tables and the EMPG Program Grant Activities Outlines to the FY 2012 EMPG Program Guidance see *http://www.fema.gov/government/grant/empg/.*

FY 2012 EMPG Program Work Plan

I. **Program and Budget Narrative.** Provide a brief description of the State emergency management priorities and initiatives that will be addressed with FY 2012 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, or other Emergency Management assessment processes.
- Baseline inventory of where States are now relative to goals and objectives identified in relevant strategic plans
- State emergency management priorities and planning focus for FY 2012 (including linkage to the core capabilities identified in the NPG)

II. **Personnel Data Table.** To facilitate consistent data reporting and performance measures collection, a Personnel Data Table should be completed for personnel supported with FY 2012 EMPG Program funds. The data requested will assist in documenting the extent to which EMPG Program funding contributes to enhancing or sustaining emergency management capacity in terms of personnel support at the State level. This template will serve as the first component of the Quarterly Performance Progress Report.

FY 2012 Personnel Data Table Template

Personnel Metrics	Data
Funds allocated towards State emergency management personnel	
Funds allocated towards State contractors	
Non-EMPG Program funds allocated towards State emergency management personnel	
Total Number of State emergency management full-time equivalent (FTE) personnel (including those supported and not supported by the EMPG Program)	
Number of State emergency management full-time equivalent (FTE) personnel supported by the EMPG Program	

III. Training Data Table. To facilitate consistent data reporting and performance measures collection, a Training Data Table should be completed for training sessions funded with FY 2012 EMPG Program funds. The data requested will be used to assess the strategic allocation of training funds according to long-term core capability development. Grantees are encouraged to list the name of the training course, total the number of personnel trained, number of EMPG Program supported personnel trained and whether the funded training is aligned to the State's Multi-Year TEP. Grantees should report quarterly completion of planned training activities in the Grant Activities Outline using EMF #13 ("Training"), and the number of personnel trained should be included in the "Comments" section. All EMPG Program funded personnel shall participate in no less than three exercises, have completed the listed training requirements, and record proof of completion.

FY 2012 Training Data Table Template

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

IV. Exercise Data Table. To facilitate consistent data reporting and performance measures collection, an Exercise Data Table should be completed for exercises conducted using FY 2012 EMPG Program funds. The data

Appendix D – FY 2012 EMPG Program Work Plan

requested will be used to assess the extent to which funded exercises test jurisdiction-specific capability requirements. Grantees are encouraged to list the number of discussion-based exercises funded by type, the number of operations-based exercises funded by type, the name or description of each exercise, and whether the exercise tests the Emergency Operations Plan. Grantees should report quarterly completion of planned exercise activities in the Grant Activities Outline using EMF #14 ("Exercises, Evaluations and Corrective Actions"), and the number of exercises completed should be included in the "Comments" section. The table on the following page should be used to document progress toward FY 2012 Priority requirements.

FY 2012 Exercise Data Table Template

Type of Exercise	Number of Exercises	Number Counting Towards Multi-Year TEP	Number of EMPG Program Funded Personnel	Number of EMPG Program Funded Personnel Participating in Exercise	Name or Description	Exercise Aligned to Emergency Operations Plan and NPG Core Capabilities? (Yes/No)
Discussion-Based						
Seminar						
• AAR complete						
• Corrective Actions identified						
Workshop						
• AAR complete						
• Corrective Actions identified						
Tabletop Exercise (TTX)						
• AAR complete						
• Corrective Actions identified						
Game						
• AAR complete						
• Corrective Actions identified						
Progress made towards addressing Corrective Actions. Please indicate at least the percentage progress made towards the addressing the findings and recommendations of the AAR. Provide more details if satisfactory progress has not been made.						
Operations-Based						
Drill						
• AAR complete						
• Corrective Actions identified						
Functional Exercise						
• AAR complete						
• Corrective Actions identified						
Full-Scale Exercise						
• AAR complete						
• Corrective Actions identified						
Progress made towards addressing Corrective Actions. Please indicate at least the percentage progress made towards the addressing the findings and recommendations of the AAR. Provide more details if satisfactory progress has not been made.						
Progress made towards completing Multi-Year TEP						

Appendix D – FY 2012 EMPG Program Work Plan