

IB #388b Attachment A: FY 2014 Programmatic Reporting Requirements for HSGP and EMPG

Requirement Name	NPS Step	Previous Requirement (FY13)	Change for FY14	Grant Program	Due Date	Means of Submission for FY14	Grant Year Effected
Threat and Hazard Identification and Risk Assessment (THIRA)	Identifying and Assessing Risk and Estimating Capability Requirements	<p>IB 391 outlined the reporting requirements for the THIRA. Only a sub-set of the core capabilities were required to undergo a capability estimation process:</p> <p>Critical Transportation; Environmental Response/Health and Safety; Fatality Management Services; Infrastructure Systems; Mass Care Services; Mass Search and Rescue Operations; On-Scene Security and Protection; Operational Communications; Public and Private Services and Resources; Public Health and Medical Services; Situational Assessment; Health and Social Services; and Housing.</p>	The THIRA language has been modified in the Funding Opportunity Announcement to reflect Comprehensive Preparedness Guide (CPG) 201, Second Edition. There is no change in the THIRA reporting requirements.	HSGP EMPG	Annually on December 31	Unified Reporting Tool	FY 2014
State Preparedness Report (SPR)	Identifying and Assessing Risk and Estimating Capability Requirements	Annual SPR submittal through the Unified Reporting Tool (URT).	Grantees will continue to use the URT to submit their SPRs. The SPR will also capture CPG 101 v2 compliance and National Incident Management System (NIMS) implementation.	HSGP EMPG	Annually on December 31	Unified Reporting Tool	FY 2014
Building and Sustaining Capabilities	Building and Sustaining Capabilities	<p>HSGP grantees identify all projects as building or sustaining capabilities as well as identify how the project supports a gap identified in the THIRA/SPR.</p> <p>EMPG grantees identify how their expenditures at the project level (not individual expenditure level) support a gap identified in the THIRA/SPR.</p>	Grantees are required to describe how expenditures support maintenance and sustainment of core capabilities and how expenditures support a gap identified in the THIRA/SPR.	HSGP EMPG	<p>BSIR is due semi-annually.</p> <p>EMPG progress reports are due quarterly.</p>	<p>HSGP grantees will report in the Biannual Strategy Implementation Report.</p> <p>EMPG grantees will report in the quarterly performance progress reports.</p>	FY 2014

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Comprehensive Preparedness Guide (CPG) 101, v.2 Compliance	Planning to Deliver Capabilities	Grantees submit the Plan Analysis Tool to document the percentage completion of CPG 101, v.2 compliance.	In FY 2014, FEMA revised CPG 101 v2 compliance submission to reflect new reporting within the Planning section of the SPR.	HSGP EMPG	Annually on December 31	Unified Reporting Tool	Retro-active (FY 2011-2013)
National Incident Management System (NIMS) Implementation	Building and Sustaining Capabilities	NIMS implementation information submitted through a separate tab in the Unified Reporting Tool.	Grantees will report NIMS implementation in the Operational Coordination section of the SPR.	HSGP EMPG	Annually on December 31	Unified Reporting Tool	Retro-active (FY 2011-2013)
Validating Capabilities (Exercise)	Validating Capabilities	<p>HSGP grantees are strongly encouraged to use the Homeland Security Exercise and Evaluation Program (HSEEP).</p> <p>EMPG funded personnel are required to participate in no fewer than 3 exercises within a 12-month period totaling 5 exercises each year - the required four quarterly exercises and one full-scale exercise.</p>	<p>HSGP and EMPG grantees must develop and maintain a progressive exercise program consistent with the HSEEP and the National Exercise Program (NEP); conduct a Training and Exercise Planning Workshop (TEPW); and then develop a multi-year Training and Exercise Plan that addresses the priorities identified in the TEPW.</p> <p>EMPG grantees shall conduct no less than 4 quarterly exercises and one full-scale exercise within a 12-month period.</p>	HSGP EMPG	As completed	HSEEP Inbox (HSEEP@fema.dhs.gov)	FY 2014
Validating Capabilities (Exercise)	Validating Capabilities	HSGP grantees must develop After Action Report/Improvement Plans (AAR/IPs) following the completion of exercises funded under this program.	<p>HSPG grantees can either submit one (1) AAR/IP for the culminating full-scale exercise that captures the lessons learned and corrective actions from the progressive exercise series. <u>OR</u></p> <p>Submit one (1) AAR/IP for each HSGP funded exercise conducted within the HSGP period of performance.</p>	HSGP	As completed and NLT 90 days after the completion of the exercise	HSEEP Inbox (HSEEP@fema.dhs.gov)	FY 2014

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Validating Capabilities (Exercise)	Validating Capabilities	EMPG grantees are required to submit AAR/IPs for each of the 4 quarterly exercises and one full-scale exercise (5 total) that includes a list of corrective actions and lessons learned along with the Quarterly Performance Progress Report (SF-PPR).	EMPG grantees can either submit one (1) 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; <u>OR</u> Submit one AAR/IP for <u>each</u> EMPG-funded exercise conducted within the EMPG period of performance (5 total).	EMPG	As completed and NLT 90 days after the completion of the exercise	HSEEP Inbox (HSEEP@fema.dhs.gov)	FY 2014
Reporting on Percentage of Funding for Mass Casualty Events	Building and Sustaining Capabilities	Grantees submit the percentage of funding, on a project-by-project basis, that supports mass casualty preparedness efforts across all five mission areas.	Grantees will no longer report the percentage of funding used for mass casualty events.	HSGP	n/a - Requirement Removed	n/a - Requirement Removed	Retro-active (FY 2011-2013)
Reporting on Percentage of Funding for Community Preparedness	Building and Sustaining Capabilities	Grantees submit the percentage of funding, on a project-by-project basis, that supports community preparedness efforts across all five mission areas.	Grantees will no longer report percentage of funding community preparedness.	HSGP	n/a - Requirement Removed	n/a - Requirement Removed	Retro-active (FY 2011-2013)
Senior Advisory Committee (SAC) Documentation Submission	Supplemental Guidance	SHSP grantees submit a report that documents the establishment of the SAC body and demonstrate that its membership and activities reflect the whole community.	Consolidated SAC Charter compliance reporting in to the SPR post-assessment section of the Unified Reporting Tool.	HSGP	Annually on December 31	Unified Reporting Tool	FY 2014
Bi-Annual Strategy Implementation Report (BSIR)	Supplemental Guidance	Grantees provide information at the investment-level for all awarded funding.	Grantees must provide information on a project level for all awarded funding.	HSGP	Within 30 after the end of the reporting period	Grants Reporting Tool	FY 2014

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Urban Area Working Group (UAWG) Documentation	Supplemental Guidance	UASI grantees submit the UAWG charter, an overview of the UAWG structure and a list of members and their associated jurisdictions must be provided along with the grant application.	UAWG Charter compliance reporting in the THIRA post-assessment section in the Unified Reporting Tool.	HSGP	Annually on December 31	Unified Reporting Tool	FY 2014
Critical Emergency Supply Requirements	Building and Sustaining Capabilities	Each State is required 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.	Updated the Critical Emergency Supply requirement to increase the viable inventory management plan to a five year plan and added a threshold of \$100,000 before the viable inventory management plan is required.	HSGP EMPG	With grant application	FEMA Regional Logistics Chief	FY 2014
Training Information Reporting System ("Web-Forms")	Training	Grantees that use HSGP and EMPG grant dollars to develop preparedness training were required to submit their courses into the Web-Forms module of the First Responder Training System.	Reporting training activities through Web-Forms is not required under FY 2014 HSGP. Additionally, grantees are no longer required to request approval for training from FEMA for personnel to attend non-FEMA training as long as the training is coordinated with and approved by the State Administrative Agency (SAA) state/territory or Training Point of Contact and falls within the FEMA mission scope and the jurisdiction's Emergency Operations Plan.	HSGP	n/a - Requirement Removed	n/a - Requirement Removed	Retro-active (FY 2011-2013)
Typed Resources Reporting Tool	Building and Sustaining Capabilities	Grantees report all HSGP-funded equipment or credentialing and training that was purchased to support NIMS-typed resources along with the NIMS-typed resource it supports.	The requirement to submit the separate typed resources reporting tool has been eliminated. Grantees will be required to report on NIMS-typed resources in the BSIR.	HSGP	n/a - Requirement Removed	n/a - Requirement Removed	Retro-active (FY 2011-2013)

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EMPG Work Plan	Building and Sustaining Capabilities	Grantees are required to submit a 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 revised the EMPG Program Work Plan template to streamline the data collection process.	EMPG	With grant application	ND Grants	FY 2014
Initial Strategy Implementation Plan (ISIP)	Supplemental Guidance	Grantees report, through the ISIP, planned expenditures within 45 days of the newly awarded grants. Submission of the ISIP satisfies programmatic reporting requirements to ensure legal and prudent use of Federal funds. All funds provided to the SAA through grant programs must be accounted for and linked to one or more projects.	This requirement has been eliminated.	HSGP	n/a - Requirement Removed	n/a - Requirement Removed	Retro-active (FY 2011-2013)
Semi-Annual Assistance Progress Report	Supplemental Guidance	Grantees submit updated obligation and expenditure information to FEMA.	This requirement has been eliminated.	HSGP	n/a - Requirement Removed	n/a - Requirement Removed	Retro-active (FY 2011-2013)
Nationwide Suspicious Activity Reporting Initiative (NSI)	Building and Sustaining Capabilities	Grantees report certification for their agency indicating the number of personnel who have completed the applicable NSI training.	Grantees will no longer report the number of personnel completing NSI training in the SF-PPR.	HSGP	n/a - Requirement Removed	n/a - Requirement Removed	Retro-active (FY 2011-2013)