

# Emergency Management Performance Grant Program Multi-Year Programmatic Guidance

This multi-year program guidance is intended primarily to serve as a support guide for Emergency Management Performance Grant (EMPG) Program applicants to help those applicants plan grant program activities strategically across multiple years using the same programmatic guidance and guidelines.

EMPG awards will only be made subject to the availability of funding. To the extent funding becomes available to make EMPG awards, FEMA will issue a formal notice of funding opportunity for that funding. EMPG awards will only be made to applicants who submit a formal application in response to a Notice of Funding Opportunity (NOFO). This document does not constitute a NOFO or imply that funding will be available for all of the years this programmatic guidance is available. EMPG Program applicants must review the annual NOFO for specific funding information as well as application, reporting, and other due dates. The guidance in this document is subject to change based on new laws, Executive Orders, or regulations enacted after publication. To the extent this guidance may be inconsistent with the terms of any EMPG grant award or NOFO, the terms of the grant award and NOFO will control. This guidance is applicable only to the EMPG program; application cycles and the NOFOs are announced via <http://www.grants.gov/>. The Catalogue of Federal Domestic Assistance number for the EMPG program is 97.042.

For additional information, please contact FEMA's Grant Programs Directorate at [AskCSID@fema.gov](mailto:AskCSID@fema.gov).

## Program Information

The purpose of the Emergency Management Performance Grant (EMPG) Program is to provide Federal funds to states to assist state, local, territorial, and tribal governments in preparing for all hazards, as authorized by Section 662 of the *Post Katrina Emergency Management Reform Act* (6 U.S.C. § 762) and the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (42 U.S.C. §§ 5121 *et seq.*). Title VI of the *Stafford Act* authorizes FEMA to make grants for the purpose of providing a system of emergency preparedness for the protection of life and property in the United States from hazards and to vest responsibility for emergency preparedness jointly in the Federal Government, states, and their political subdivisions. The Federal Government, through the EMPG Program, provides necessary direction, coordination, and guidance, and provides necessary assistance, as authorized in this title, to support a comprehensive all hazards emergency preparedness system. The EMPG Program will provide Federal funds to assist state, local, tribal, and territorial emergency management agencies to obtain the resources required to support the National Preparedness Goal's (the Goal) associated mission areas and core capabilities.

The objective of the EMPG Program is to support a comprehensive, all-hazard emergency preparedness system by building and sustaining the core capabilities contained in the Goal.

The priority of the EMPG is to support the implementation of the National Preparedness System. The National Preparedness System is the instrument the Nation employs to build, sustain, and

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

The Department of Homeland Security expects EMPG recipients to prioritize grant funding to address capability targets and gaps identified through the annual Threat and Hazard Identification and Risk Assessment (THIRA) and State Preparedness Report (SPR) process/reporting. These assessments identify the jurisdictions' capability targets and current ability to meet those targets. Recipients should prioritize grant funds to maintain/sustain current capabilities, to validate capability levels, and to increase capability for high-priority core capabilities with low capability levels.

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

#### **Authorization Information**

The EMPG program is issued by the U.S. Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA), Grant Programs Directorate (GPD), Preparedness Grants Division. The authorizing authority for the EMPG program is Section 662 of the *Post-Katrina Emergency Management Reform Act of 2006* (PKEMRA), as amended, (Pub. L. No. 109-295) (6 U.S.C. § 762); the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, as amended (Pub. L. No. 93-288) (42 U.S.C. §§ 5121 et seq.); the *Earthquake Hazards Reduction Act of 1977*, as amended (Pub. L. No. 95-124) (42 U.S.C. §§ 7701 et seq.); and the *National Flood Insurance Act of 1968*, as amended (Pub. L. No. 90-448) (42 U.S.C. §§ 4001 et seq.).

## Anticipated EMPG Program Priorities

Should funding become available to make EMPG awards, FEMA anticipates that the EMPG Program will have the following priorities in future funding cycles:

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

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

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

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

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

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

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

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

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

### ***Identifying and Assessing Risk and Estimating Capability Requirements***

In order to qualify for EMPG Program funding, all recipients shall develop and maintain a THIRA, which informs and supports an annual SPR. A THIRA provides a comprehensive approach for identifying and assessing risks and associated impacts. It expands on existing local, tribal, territorial, and state Hazard Identification and Risk Assessments (HIRAs) and other risk methodologies by broadening the factors considered in the process, incorporating the whole community throughout the entire process, and by accounting for important community-specific characteristics. A guide on how to complete a THIRA is available at <https://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>.

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

The SPR is an annual self-assessment of state preparedness submitted by the 56 states and territories to the FEMA. The *Post-Katrina Emergency Management Reform Act of 2006* (PKEMRA) requires an SPR from any state or territory receiving Federal preparedness assistance administered by the Department of Homeland Security.

### **Reporting:**

- States are required to submit an annual update to their THIRA. EMPG recipients should complete THIRA, Step 4 for all Response and Recovery core capabilities, including the common core capabilities for those mission areas. States will submit their THIRA update along with their SPR through the URT and email a copy of the URT to their respective FEMA Regional Federal Preparedness Coordinator and copy [fema-spr@fema.dhs.gov](mailto:fema-spr@fema.dhs.gov). THIRA submissions shall be in alignment with CPG 201, Second Edition. State submissions of the THIRA and SPR are due no later than December 31 annually.

### ***Building and Sustaining Core Capabilities***

EMPG Program recipients should ensure that grant funding is utilized to sustain critical core capabilities within the National Preparedness System that were funded by past EMPG Program funding cycles. New capabilities should not be built at the expense of maintaining current and critically needed core capabilities. If new capabilities are being built utilizing EMPG Program funding, recipients must ensure that the capabilities are deployable outside of their community, to the extent practicable, to support regional and national efforts or otherwise shareable with regional partners and aligned with a capability target identified in the THIRA or a capability gap identified through the SPR.

#### **Reporting:**

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

### ***NIMS Implementation***

Recipients receiving EMPG funding are required to implement NIMS, and EMPG funds may be used to meet the requirements described below. NIMS uses a systematic approach to integrate the best existing processes and methods into a unified national framework for incident management. Incident management refers to how incidents are managed across all homeland security activities, including prevention, protection, and response, mitigation, and recovery. EMPG recipients must use standardized resource management concepts for resource typing, credentialing, and an inventory to facilitate the effective identification, dispatch, deployment, tracking, and recovery of resources.

#### **Reporting**

- Recipients report on NIMS implementation through the SPR.

### ***Planning to Deliver Capabilities***

All EMPG Program recipients shall maintain, or revise as necessary, jurisdiction-wide, all threats and hazards EOPs consistent with the CPG 101 v2, which serves as the foundation for state, local, tribal, and territory emergency planning. CPG 101 v2 can be found at <https://www.fema.gov/media-library/assets/documents/25975>. Recipients must update their EOP at least once every two years.

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

#### **Reporting**

- Recipients will report EOP compliance with CPG 101 v2 in the SPR.

### ***Validating Capabilities***

Recipients should develop long-term training and exercise priorities that examine, validate and/or address capability targets identified through their annual THIRA and or capability gaps identified through their annual SPR. Recipients should also review and consider areas for improvement identified from real-world events and exercises, and national areas for improvement identified in the most recent National Preparedness Report when developing exercise priorities.

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

In addition to training activities aligned to and addressed in the TEP, all EMPG Program funded personnel shall complete the following training requirements and record proof of completion: NIMS Training, Independent Study (IS) 100, IS 200, IS 700, and IS 800. In addition, personnel shall complete *either* the Independent Study courses identified in the Professional Development Series *or* the National Emergency Management Basic Academy delivered either by the Emergency Management Institute (EMI) or at a sponsored State, local, tribal, territorial, regional or other, designated location. Further information on the National Emergency Management Basic Academy and the Emergency Management Professional Program can be found at: <https://training.fema.gov/empp/>. Previous versions of the IS courses meet the NIMS training requirement. A complete list of Independent Study Program Courses may be found at <http://training.fema.gov/is>. A list of the Professional Development Series courses can be found in Appendix B.

All recipients will develop and maintain a progressive exercise program, consistent to the degree practical, HSEEP in support of the National Exercise Program (NEP). The NEP is critical to our Nation's ability to test and validate core capabilities. Grant recipients are highly encouraged to nominate exercises into the NEP. For additional information on the NEP, please refer to <http://www.fema.gov/national-exercise-program>.

Recipients shall conduct no less than four quarterly exercises (i.e., one EMPG-funded exercise and/or an exercise that includes EMPG-funded personnel per quarter) of any type (i.e., discussion-based or operations-based) and one full-scale exercise within a 12-month period. The five exercises shall be linked to common program priorities and reflect a series of increasingly complex exercises with each building upon the previous one while incorporating prior lessons learned. All EMPG-funded personnel shall participate in no fewer than three exercises in a 12-month period.

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

### **Reporting:**

- Recipients are required to develop a multi-year TEP that identifies a combination of exercises and associated training requirements that address priorities identified in the TEPW. The TEP shall be submitted to [hseep@fema.dhs.gov](mailto:hseep@fema.dhs.gov) 90 days after the completion of the TEPW. States are encouraged to post their training and exercise schedules to the National Exercise Scheduling System (NEXS) at <https://www.fema.gov/exercise>.
- Recipients should provide a list of completed training courses and exercises and the Training and Exercise Data Table to be included in the Quarterly Performance Progress Report.
- Recipients must include the percent completion of the TEP outlined in the EMPG Program Work Plan to be included in the Quarterly Performance Progress Report.
- In order to report on the required exercises, recipients can either submit one After Action Report/Improvement Plan (AAR/IP) for the culminating full-scale exercise from all 5 exercises conducted within a 12-month period; or individual AAR/IPs for each of the 5 exercises to <mailto:hseep@fema.dhs.gov>, and the appropriate Regional EMPG Program Manager no later than 90 days after completion of the exercise. In accordance with HSEEP guidance recipients are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise cycle. Recipients are encouraged to use the HSEEP AAR/IP template located at <https://www.fema.gov/exercise> and utilize the Corrective Action Program (CAP) System at <https://hseep.dhs.gov/caps/>, as a means to track the implementation of corrective actions listed in the AAR/IP.

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

### ***Reviewing and Updating***

On a recurring basis, capability levels, resources, and plans should be reviewed to determine if they remain relevant or need to be updated. This review should be based on a current risk assessment and utilize information gathered during the capability validation process. These reviews will provide a means to determine priorities, direct preparedness actions, and calibrate goals and objectives.

### **Additional considerations**

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

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

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

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

## Anticipated EMPG Funding Guidelines

Should funding become available to make EMPG awards, FEMA anticipates that the following activities will be allowable for the EMPG Program in future funding cycles:

### Allowable Costs

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

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

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

#### Indirect Costs

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

#### Planning

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

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

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

#### Emergency Management/Operation Plans

- Maintaining a current EOP that is aligned with guidelines set out in CPG 101v.2 <https://www.fema.gov/media-library/assets/documents/25975>
- Modifying existing incident management and emergency operations plans
- Developing/enhancing large-scale and catastrophic event incident plans

### Communications Plans

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

### Continuity/Administrative Plans

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

### Whole Community Engagement/Planning

- Developing/enhancing emergency operations plans to integrate citizen/volunteer and other non-governmental organization resources and participation
- Engaging the whole community in public education and awareness activities such as America's PrepareAthon!—The America's PrepareAthon! website, [ready.gov/prepare](http://ready.gov/prepare), includes customizable promotional materials and easy-to-use resources)
- Planning to foster public-private sector partnerships, including innovation for disasters initiatives that support the mission areas identified in the Goal
- Executing an America's PrepareAthon! activity to engage the whole community in a hazard-specific activity on the National Day of Action
- Establishing a Citizen Corps Whole Community Council that brings together representatives of the whole community to provide input on emergency operations plans, risk assessments, mitigation plans, alert and warning systems, and other plans; assist in outreach and education of community members in preparedness activities; and build volunteer capability to support disaster response and recovery
- Delivering the CERT Basic Training Course and supplemental training for CERT members who have completed the basic training, the CERT Train-the-Trainer Course, and the CERT Program Manager course (strongly encouraged)
- Developing or enhancing mutual aid agreements/compacts, including required membership in EMAC
- Information on Citizen Corps Whole Community Councils and CERT programs can be found at: <http://www.ready.gov/citizen-corps> for Citizen Corps Whole Community Councils and at <http://www.fema.gov/community-emergency-response-teams> for CERT Programs.
- Other preparedness activities include Youth Preparedness programs that support practitioners as they create and run programs in their communities. Resources are available at [www.ready.gov/youth-preparedness](http://www.ready.gov/youth-preparedness). The Youth Preparedness Catalogue. The catalogue describes national, regional, and state-level programs. <http://www.fema.gov/media-library/assets/documents/94775>. For more information on the Council please visit: [www.ready.gov/youth-preparedness-council](http://www.ready.gov/youth-preparedness-council).

### Resource Management Planning

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

- Acquiring critical emergency supplies such as: shelf stable food products, water, and/or basic medical supplies. Acquisition of critical emergency supplies requires each state to have FEMA's approval of a five-year viable inventory management plan if planned grant expenditure is over \$100,000; an effective distribution strategy; sustainment costs for such an effort

#### 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.

#### Recovery Planning

- Disaster housing planning, such as creating/supporting a state disaster housing task force and developing/enhancing state disaster housing plans
- Pre-event response/recovery/mitigation plans in coordination with state, local, and tribal governments
- Developing/enhancing other response and recovery plans
- Developing recovery plans and preparedness programs consistent with the principles and guidance in the National Disaster Recovery Framework (NDRF) that will provide the foundation for recovery programs and whole-community partnerships. Preparedness and pre-disaster planning was given special attention within the NDRF with specific guidance: *Planning for a Successful Disaster Recovery* (pages 63-70). For more information on the NDRF see <http://www.fema.gov/pdf/recoveryframework/ndrf.pdf> and <http://www.fema.gov/media-library-data/1423604728233-1d76a43cabf1209678054c0828bbe8b8/EffectiveCoordinationofRecoveryResourcesGuide020515vFNL.pdf>

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

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

#### Organization

Per the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, as amended, (42 U.S.C. §§ 5121-5207), EMPG Program funds may be used for all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency

management, including hazard mitigation staffing of the State Hazard Mitigation Officer (SHMO) position; staffing CERT and Citizen Corps positions at the state and local levels in order to promote whole community engagement in all phases of emergency management; performing close-out activities on FEMA Disaster Assistance grants; staffing permanent technical advisors on children's needs at the state, local, tribal and territorial levels and supporting fusion center analysts who are directly involved in all-hazards preparedness activities as defined by the Stafford Act. Proposed staffing activities should be linked to accomplishing the activities outlined in the EMPG Program Work Plan. Recipients are encouraged to fund at least one dedicated Planner, Training Officer, and Exercise Officer.

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

### **Equipment**

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

Allowable equipment includes equipment from the following AEL categories:

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

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

Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially

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

### **Controlled Equipment**

Grant funds may be used for the purchase of Controlled Equipment, however, because of the nature of the equipment and the potential impact on the community, there are additional and specific requirements in order to acquire this equipment. Refer to Information Bulletin 407 *Use of Grant Funds for Controlled Equipment* for the complete *Controlled Equipment List*, information regarding the *Controlled Equipment Request Form*, and a description of the specific requirements for acquiring controlled equipment with DHS/FEMA grant funds. For additional information on controlled equipment refer to [Executive Order \(EO\) 13688 Federal Support for Local Law Enforcement Equipment Acquisition](#), and the [Recommendations Pursuant to Executive Order 13688](#).

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

All requests to purchase Small Unmanned Aircraft System (SUAS) with FEMA grant funding must also include the policies and procedures in place to safeguard individuals' privacy, civil rights, and civil liberties of the jurisdiction that will purchase, take title to, or otherwise use the SUAS equipment, see Presidential Memorandum: [Promoting Economic Competitiveness While Safeguarding Privacy, Civil Rights, and Civil Liberties, in Domestic Use of Unmanned Aircraft Systems](#), issued February 20, 2015.

### **Training**

EMPG Program funds may be used for a range of emergency management-related training activities to enhance the capabilities of state and local emergency management personnel through the establishment, support, conduct, and attendance of training. Training activities should align to a current, Multi-Year TEP developed through an annual TEPW. Further guidance concerning the TEP and the TEPW can be found at <http://www.fema.gov/exercise>. 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.

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; recipients 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/training-0>.

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/nims-doctrine-supporting-guides-tools>.

Professional Development Series courses include:

- IS-120.a An Introduction to Exercises
- IS-230.d Fundamentals of Emergency Management
- IS-235.b Emergency Planning
- IS-240.b Leadership and Influence
- IS-241.b Decision Making and Problem Solving
- IS-242.b Effective Communication
- IS-244.b Developing and Managing Volunteers

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

For additional information on review and approval requirements for training courses funded with preparedness grants please refer to the following policy: [http://www.fema.gov/media-library-data/1115d44e06367bb89510aafbe79c1875/FINAL\\_GPD+Training+Three+for+Free+Policy\\_09+10+13.pdf](http://www.fema.gov/media-library-data/1115d44e06367bb89510aafbe79c1875/FINAL_GPD+Training+Three+for+Free+Policy_09+10+13.pdf).

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

- Developing/enhancing systems to monitor training programs
- Conducting all hazards emergency management training
- Attending Emergency Management Institute (EMI) training or delivering EMI train-the-trainer courses
- Attending other FEMA-approved emergency management training
- State-approved, locally-sponsored CERT 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.*** This 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 Multi-year TEP and addressed in the training cycle. States are encouraged to use existing training rather than developing new courses. When developing new courses states are encouraged to apply the Analysis Design Development and Implementation Evaluation (ADDIE) model for instruction design.

- ***Overtime and Backfill.*** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at FEMA and/or approved training courses and programs are allowable. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or FEMA, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- ***Travel.*** Travel costs (e.g., airfare, mileage, per diem, and hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.
- ***Hiring of Full or Part-Time Staff or Contractors/Consultants.*** Full or part-time staff or contractors/consultants may be hired to support direct training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the state or unit(s) of local government and have the approval of the state or FEMA, whichever is applicable.
- ***Certification/Recertification of Instructors.*** Costs associated with the certification and re-certification of instructors are allowed. States are encouraged to follow the FEMA Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses which involve training of trainers.

## **Exercises**

Allowable exercise-related costs include:

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

The services of contractors/consultants may also be procured to support the design, development, conduct and evaluation of exercises.

- ***Overtime and Backfill.*** The entire amount of overtime costs, including payments related to backfilling personnel, 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 FEMA, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- ***Travel.*** Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise activities.
- ***Supplies.*** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise activities (e.g., gloves, non-sterile masks, and disposable protective equipment).
- ***Implementation of HSEEP.*** This refers to costs related to developing and maintaining an exercise program consistent with HSEEP.
- ***Other Items.*** These costs are limited to items consumed in direct support of exercise activities such as the rental of space/locations for planning and conducting an exercise, rental of equipment, and the procurement of other essential nondurable goods. Recipients 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 are allowable.

**Unauthorized** exercise-related costs include:

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

**Construction and Renovation**

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

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

When applying for funds to construct communication towers, recipients and subrecipients must submit evidence that the Federal Communication Commission's (FCC) Section 106 review process has been completed and submit all documentation resulting from that review to GPD prior to submitting materials for EHP review. Recipients and subrecipients are also encouraged to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects, compliance with all state and EHP laws and requirements). Projects for which the recipient believes an Environmental Assessment (EA) may be needed, as defined in 44 C.F.R. § 10.8, must also be identified to the FEMA EMPG Regional Program Manager within six months of the award and completed EHP review materials must be submitted no later than 12 months before the end of the period of performance. EHP review packets should be sent to [gpdehpinfo@fema.gov](mailto:gpdehpinfo@fema.gov).

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

### **Maintenance and Sustainment**

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

EMPG Program grant funds are intended to support the Goal and fund activities and projects that build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide recipients the ability to meet this objective, the policy set forth in [GPD's IB 379](#) (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain

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

### **Unallowable Costs**

- **Prohibited Equipment:** Grant funds may not be used for the purchase of Prohibited Equipment. Refer to Information Bulletin 407 *Use of Grant Funds for Controlled Equipment* for the complete *Prohibited Equipment List*. For additional information on Prohibited Equipment see [Executive Order \(EO\) 13688 Federal Support for Local Law Enforcement Equipment Acquisition](#), and the [Recommendations Pursuant to Executive Order 13688](#).
  - Expenditures for weapons systems and ammunition
  - Costs to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities
  - Activities and projects unrelated to the completion and implementation of the EMPG Program

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

# Sample EMPG Program Work Plan

## **EMPG Program Work Plan Instructions**

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

## **Program and Budget Narrative**

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

- Overview of the state's risk profile resulting from the current THIRA
- Areas of need identified through assessment processes such as the SPR, Emergency Management Accreditation Program Assessment Process, National Emergency Communications Plan Goal Assessments, or other emergency management assessment processes
- Baseline inventory of where states are now relative to goals and objectives identified in relevant strategic plans per CPG 101 v.2
- State emergency management priorities and planning focus for current budget year (including linkage to the core capabilities identified in the Goal)
- Detailed Budget Narrative justifying the requested funding for the identified Work Plan activities
- Description of how projects and programmatic activities support the building or sustainment of the core capabilities as outlined in the Goal

## **Personnel Data Table**

To facilitate consistent data reporting and performance measures collection, a Personnel Data Table should be completed for state, local, tribal and territory (SLTT) personnel supported with EMPG Program funds. This will assist in documenting the extent to which EMPG Program funding supports personnel at the state-level. Submit this template with the EMPG Program Work Plan and a roster of EMPG-funded personnel.

The roster of EMPG-funded personnel should be updated only if numbers change more than 10 percent during the award period of performance.

### Personnel Data Table Template

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

### Personnel Data Table Definitions

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

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

Line 3 – Total Number of state emergency management full-time equivalent (FTE) personnel (including those supported and not supported by the EMPG Program)

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

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

### Training Data Table

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

**Training Data Table Template**

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

**Training Data Table Definitions:**

Col 1 – Name of Training

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

Col 3 – # of Personnel Trained

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

Col 5 – Total # of SLTT EMPG Funded Personnel that completed the Course

Col 6 – Is the training identified in the multi-year TEP?

**Exercise Data Table**

To facilitate consistent data reporting and performance measure collection, an Exercise Data Table should be completed for any exercises that meet EMPG requirements and/or exercises conducted in whole or part with EMPG funds. Recipients shall conduct no less than four quarterly exercises and one full-scale exercise within a 12-month period. The five exercises shall be linked to common program priorities and reflect a progressive exercise series of increasingly complex exercises with each building upon the previous one while incorporating prior lessons learned. The exercises should be part of the recipient’s progressive exercise program and outlined in the Multi-year TEP. EMPG Program funded personnel shall participate in no less than three exercises.

**Exercise Data Table Template**

Name/ Description of Exercise	Date Exercise Scheduled/ Completed	Type of Exercise	Total # of SLTT EMPG Funded Personnel	Number of SLTT EMPG Program Funded Personnel Participating in Exercise

## Exercise Data Table Definitions:

Col 1 – Name/Description of Exercise

Col 2 – Date of exercise

Col 3 – Type of exercise (e.g., seminar, workshop, tabletop, games, drills, functional, and/or full-scale)

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

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

## Grant Activities Outline

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

- **EMF Number.** Identify how the grant activities relate to the EMFs outlined in the September 2013 version of the Emergency Management Accreditation Program (EMAP) Standard (e.g. Resource Management, Communications and Warning, etc.) The link to the EMAP 2013 Standard is at [:http://www.emap.org/index.php/what-is-emap/the-emergency-management-standard](http://www.emap.org/index.php/what-is-emap/the-emergency-management-standard)
- **Name of Planned Project.** Provide a descriptive name of each planned project. Examples include “Development of Emergency Function Annexes”, “Development of Earthquake Scenario Loss Estimations”, “Implementation of Statewide Interoperability Plan”, “NIMS Training for Emergency Management Personnel”, “Development of Emergency Preparedness Plan for Individuals with Disabilities”, etc.
- **Project Objective.** Briefly explain the major objective of the project, including how the project will address gaps identified through various assessments conducted.
- **Core Capability Addressed.** Briefly describe which of the 32 core capabilities (multiple can be selected) the project addresses.
- **Performance Measure and Basis of Evaluation.** Indicate the performance measure that will be used to evaluate this project.

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

### Grant Activities Outline - Template

Name of Planned Project:			
Project Objective:			
Core Capabilities Addressed:			
Performance Measure and Basis of Evaluation:			
Challenges/Risks:			
1 <sup>st</sup> Quarter Activity (10/1-12/31)	Planned Activities:	Step:	Comments:
2 <sup>nd</sup> Quarter Activity (1/1-3/31)	Planned Activities:	Step:	Comments:
3 <sup>rd</sup> Quarter Activity (4/1-6/30)	Planned Activities:	Step:	Comments:
4 <sup>th</sup> Quarter Activity (7/1-9/30)	Planned Activities:	Step:	Comments:
5 <sup>th</sup> Quarter Activity (10/1-12/31)	Planned Activities:	Step:	Comments:
6 <sup>th</sup> Quarter Activity (1/1-3/31)	Planned Activities:	Step:	Comments:
7 <sup>th</sup> Quarter Activity (4/1-6/30)	Planned Activities:	Step:	Comments:
8 <sup>th</sup> Quarter Activity (7/1-9/30)	Planned Activities:	Step:	Comments:

### Project Management Lifecycle

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