



# **Homeland Security and Emergency Services**

**FY 2016**

## **Program Guidance**

**Local Emergency Management Performance Grant  
(LEMPG)**

**Applications due by May 6, 2016**

## Table of Contents

1. Program Overview, Objectives, and Priorities .....	3
Overview.....	3
Objectives.....	3
Priorities .....	3
Period of Performance .....	4
Uniform Administrative Requirements, Cost Principles, and Audit Requirements .....	4
Conflict of Interest.....	5
Funding Restrictions.....	5
Environmental Planning and Historic Preservation (EHP) Compliance.....	5
SAFECOM.....	6
Strengthening Governance Integration.....	6
National Incident Management System (NIMS) Implementation.....	7
Minority and Women-Owned Business Enterprises (MWBE).....	7
2. Allowable Costs .....	8
3. Application Linkages.....	16
4. Required Activities:.....	18
a. Training and Exercises: .....	18
b. Regional Coordination.....	18
5. Directions for Completing the Application.....	18
Application Deadline .....	19
Cost Match .....	19
How to Apply .....	19
Application Requirements.....	19
6. Quarterly Reports.....	20
7. Local EMPG Program Summary of Requirements.....	20
Appendix A: Homeland Security Exercise Evaluation Program (HSEEP) .....	22
Appendix B: Allowable Cost Matrix .....	23

# 1. Program Overview, Objectives, and Priorities

## Overview

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 FY 2016 EMPG will provide Federal funds to assist state, local, tribal, and territorial emergency management agencies to obtain the resources required to support the National Preparedness Goal's (the Goal's) associated mission areas and core capabilities. The EMPG program supports the Quadrennial Homeland Security Review Mission to Strengthen National Preparedness and Resilience.

## Objectives

The EMPG Program supports a comprehensive, all-hazard emergency preparedness system by building and sustaining the core capabilities contained in the Goal.

Examples of EMPG funded activities include:

- Initiating or achieving whole community approach to security and emergency management;
- Strengthening a state or community's emergency management program;
- Updating emergency plans;
- Completing the State Preparedness Reports (SPR), including the Threat and Hazard Identification and Risk Assessment (THIRA) process;
- Designing and conducting exercises that engage a whole community of stakeholders and validate core capabilities; and
- Conducting training

## Priorities

The National Preparedness System is the instrument the Nation employs to build, sustain, and implement core capabilities to achieve the Goal of a secure and resilient Nation. Complex and far-reaching threats and hazards require a collaborative and 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 and sub-recipients to prioritize grant funding to address capability targets and gaps identified through the annual THIRA and SPR process. Recipients should prioritize the use of grant funds to maintain/sustain current

capabilities, to validate capability levels, and to increase capability for high-priority core capabilities with low capability levels. Jurisdictions in New York State are encouraged to leverage their County Emergency Preparedness Assessment (CEPA) results, as necessary, when prioritizing investments.

### **Period of Performance**

The period of performance for FY 2016 EMPG funds is 24 months, from 10/1/2015-09/30/2017. Although extensions to the period of performance may be granted by FEMA when, due to circumstances beyond the control of the sub-recipient, activities associated with the award cannot be completed within the stated performance period, applicants should only propose projects that will be completed within the performance period.

### **Uniform Administrative Requirements, Cost Principles, and Audit Requirements**

The Department of Homeland Security adopted 2 C.F.R. Part 200. These new regulations will apply to all new FEMA grant awards that are made on or after December 26, 2014 (to include the FY2016 EMPG). The new regulations will supersede 44 C.F.R. Part 13, and the Office of Management and Budget (OMB) Circulars A-21, A-87, A-89, A-102, A-110, A-122, A-133, and sections of A-50 for all FEMA awards made on or after December 26, 2014. This means that recipients and sub-recipients of EMPG funding must follow new administrative requirements and Cost Principles codified in 2 CFR 200 instead of the previous regulations in 44 CFR 13.

In this guidance document, the term sub-recipient (formerly sub-grantee) shall refer to the unit of local government that is receiving the funding passed through by DHSES (either a county or the City of New York). The terms recipient and pass-through entity in this guidance shall refer to the State.

#### *Cost Principles*

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

#### *Financial and Compliance Audit Report*

For audits of fiscal years beginning on or after December 26, 2014, recipients and sub-recipients that expend \$750,000 or more from all Federal funding sources during the fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of U.S. Government Accountability Office's (GAO) Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and the requirements of Subpart F of 2 C.F.R. Part 200, located at <http://www.ecfr.gov/cgi-bin/text-idx?SID=55e12eead565605b4d529d82d276105c&node=2:1.1.2.1.1.6&rgn=div6>

For audits of fiscal years beginning prior to December 26, 2014, recipients and sub-recipients that expend \$500,000 or more from all Federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO's Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, located at [http://www.whitehouse.gov/omb/circulars/a133\\_compliance\\_supplement\\_2012](http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2012).

## **Conflict of Interest**

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

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

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

## **Funding Restrictions**

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

Additionally, pursuant to Executive Order 13688, DHS/FEMA has issued IB 407 which has placed further restrictions on controlled equipment. For more information on the Controlled Equipment List and Prohibited Equipment, see *Appendix B- Funding Guidelines*.

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

As a Federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal EHP regulations, laws and Executive Orders as applicable. Recipients and sub-recipients proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, FEMA also is required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed and approved before funds are released to carry out the proposed project. FEMA will not fund projects that are initiated without the required EHP review.

Additionally, all recipients and sub-recipients are required to comply with FEMA EHP Policy Guidance. This EHP Policy Guidance can be found in FP 108-023-1, [Environmental Planning and Historic Preservation Policy Guidance](#), and FP 108.24.4, [Environmental Planning and Historical Preservation Policy](#).

## SAFECOM

Recipients (including sub-recipients) who receive awards under EMPG that wholly or partially provide funding for emergency communication projects and related activities must comply with the most recent version of the *SAFECOM Guidance on Emergency Communications Grants*. This guidance provides recommendations to recipients and sub-recipients regarding interoperable emergency communications projects, including allowable costs, eligible activities, grants management best practices for emergency communications grants, and information on technical standards that ensure greater interoperability. The guidance is intended to ensure that Federally-funded investments are compatible, interoperable, and support the national goals and objectives for improving emergency communications nationwide. Recipients (including sub-recipients) investing in broadband-related investments should review [IB 386](#), *Clarification on Use of DHS/FEMA Public Safety Grant Funds for Broadband-Related Expenditures and Investments*, and consult their FEMA Regional Program Analyst on such investments before developing applications.

## Strengthening Governance Integration

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

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

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

## National Incident Management System (NIMS) Implementation

Prior to allocation of any Federal preparedness awards in FY 2016, recipients must ensure and maintain adoption and implementation of NIMS. **DHSES will engage sub-recipients as needed to collect basic information required for NIMS certification.** If you have any questions regarding NIMS, please contact [DHSES.NIMS@dhses.ny.gov](mailto:DHSES.NIMS@dhses.ny.gov).

Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs. Utilization of the standardized resource management concepts such as typing, credentialing, and inventorying promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and NIMS resource typing definitions and job titles/position qualifications is available under <http://www.fema.gov/resource-management-mutual-aid>.

FEMA developed the NIMS Guideline for Credentialing of Personnel to describe national credentialing standards and to provide written guidance regarding the use of those standards. This guideline describes credentialing and typing processes, and identifies tools which Federal Emergency Response Officials (FEROs) and emergency managers at all levels of government may use both routinely and to facilitate multijurisdictional coordinated responses.

Although state, local, tribal, and private sector partners—including nongovernmental organizations—are not required to credential their personnel in accordance with these guidelines, FEMA strongly encourages them to do so in order to leverage the Federal investment in the Federal Information Processing Standards (FIPS) 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information is available at <http://www.fema.gov/nims-doctrine-supporting-guides-tools>.

## Minority and Women-Owned Business Enterprises (MWBE)

Pursuant to New York State Executive Law Article 15-A, New York State Division of Homeland Security and Emergency Services recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of New York State Division of Homeland Security and Emergency Services contracts.

Consistent with 2 CFR §200.321, non-Federal contracting entities must take all necessary affirmative steps to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible.

Affirmative steps must include:

- (1) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
- (2) Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
- (3) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses, and women's business enterprises;

- (4) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority businesses, and women's business enterprises;
- (5) Using the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Minority Business Development Agency of the Department of Commerce; and
- (6) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (1) through (5) of this section.

For purposes of this solicitation, applicants and sub-recipients are hereby notified the State of New York has set an overall goal of **30% for MWBE participation** or more, **15% for Minority-Owned Business Enterprises** (“MBE”) participation and **15% for Women-Owned Business Enterprises** (“WBE”) participation, based on the current availability of qualified MBEs and WBEs for your project needs.

## 2. 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 local emergency managers are not typically categorized as M&A, unless the local Emergency Management Agency (EMA) chooses to assign personnel to specific M&A activities. M&A costs are allowable for both state and local-level EMAs. Local EMAs may retain and use up to five percent (5%) of the amount received from the state for local M&A purposes.

### 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 risk and capability assessment
- Development of 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
- 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 describes national, regional, and state-level programs. The catalogue can be found at <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.

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 local governments have questions concerning the eligibility of equipment not specifically addressed in the AEL, they should contact their DHSES Contracts Representative 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](#).

### **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 is 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. 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 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. Please refer to Appendix A for additional information related to HSEEP implementation in New York State.
- 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 local 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)) through DHSES to their Regional FEMA 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 sub-recipients 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 through DHSES to GPD prior to submitting materials for EHP review. Recipients and sub-recipients 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 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 [grant.info@dhses.ny.gov](mailto:grant.info@dhses.ny.gov).

EMPG Program sub-recipients using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. §§ 3141 *et seq.*). Grant sub-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.

### **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, sub-recipients should consult with their DHSES Contract Representative prior to making any investment that does not clearly meet the allowable expense criteria established in this Guidance.

### **Supplanting**

Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose.

## **3. Application Linkages**

### **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 FY 2016 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. When applicable, funding should support deployable assets that can be utilized anywhere in the Nation through automatic assistance and mutual aid agreements, including but not limited to the Emergency Management Assistance Compact (EMAC).

The FY 2016 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 improved 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>.

New York State utilizes its Critical Capabilities and the County Emergency Preparedness Assessment (CEPA) Process to assess hazards, evaluate capabilities, and identify gaps in preparedness. New York State crosswalks the results of the CEPA process to meet the requirements of the THIRA and SPR for New York State.

### ***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, where applicable, 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.

### ***New York State Requirement***

Additionally, pursuant to Article 26 of the NYS Executive law, DHSES is authorized to undertake periodic drills and simulations designed to assess and prepare responses to terrorist acts or threats and other natural and man-made disasters. Funded recipients and sub-recipients agree to attend and participate in any DHSES-sponsored conferences, training, workshops or meetings (excluding those identified by DHSES as voluntary) that may be conducted, by and at the request of DHSES, during the life of the grant contract.

## 4. Required Activities:

### a. Training and Exercises:

All EMPG funded personnel and personnel used as match for the federal share shall participate in no fewer than three exercises in a 12-month period and 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>.

Where possible, program activities included in the LEMPG Program are defined as broadly as possible to allow participants the flexibility to utilize funding for as many emergency management activities as possible. Completion of certain activities is required. Sub-recipients are expected to show regular progress in meeting these mandatory training requirements through the quarterly reports.

**If EMPG (or matching) funds are NOT used for salaries, the above training and exercise requirement does not apply.**

### Reporting:

- Submission of a roster of Local EMPG Program funded personnel, along with the training and exercises completed, is to be included with the Quarterly Progress Report.

### b. Regional Coordination

To further promote regionalization, sub-recipients are expected to regularly participate in local, regional, and statewide meetings with federal, state, and local agencies, the private sector, and not-for-profits, as appropriate.

## 5. Directions for Completing the Application

To complete the FY 2016 local application, sub-recipients must complete the provided FY 2016 Application Worksheet (Microsoft Excel spreadsheet) and electronically submit it to the Division of Homeland Security and Emergency Services at [grant.info@dhSES.ny.gov](mailto:grant.info@dhSES.ny.gov) by May 6, 2016 in order to be considered for funding. Please submit the Microsoft excel version of the worksheet (do not create a pdf of the form). DHSES will use the E-Grants system to contract with local applicants. Once the projects have been approved by DHSES, GPA staff will enter grant information into E-Grants and when complete, DHSES staff will contact the sub-recipient's authorized point of contact to accept the certified assurances within the E-Grants system.

## Application Deadline

Applications are due by May 6, 2016. Applications must be submitted via email to the DHSES Grants Inbox at [grant.info@dhses.ny.gov](mailto:grant.info@dhses.ny.gov). **Applications that are not received by the due date may not be considered for funding.**

## Cost Match

In FY 2016, the federal share of funds made available under the program shall not exceed 50 percent (50%) of the total budget. Unless otherwise authorized by law, Federal funds cannot be matched with other Federal funds. FEMA administers EMPG Program cost matching requirements in accordance with 2 CFR §200.306.

To meet matching requirements, the sub-recipient contributions must be reasonable, allowable, allocable, and necessary under the grant program and must comply with all Federal requirements and regulations.

Matching funds must be treated as grant funds therefore any personnel used to meet the Match requirement will need to meet the same training and exercise requirements as EMPG funded personnel.

## How to Apply

The Grants Program Administration (GPA) Unit of the DHSES will administer the application and contracting process for the local EMPG program. The DHSES Office of Emergency Management remains actively involved in setting programmatic priorities for EMPG funding. For FY 2016, the period of performance for the EMPG grant program remains at 24 months.

To complete this application for FY 2016 Local EMPG funds, applicants should review this Program Guidance document. All budgetary and programmatic information must be entered on the forms provided and returned to the NYS Division of Homeland Security and Emergency Services (DHSES). For 2016, applicants will not be required to enter applications in the E-Grants system. **Applicants will complete their applications on the provided forms and email the Microsoft Excel version of those documents (NOT a pdf) to [grant.info@dhses.ny.gov](mailto:grant.info@dhses.ny.gov).**

Sub-recipients are reminded that the training and exercise requirements in this guidance apply to personnel funded by EMPG and those staff used as matching funds. Sub-recipients that do not use EMPG or matching funds for personnel are not required to meet the training (NIMS and Professional Development Series Courses/National Emergency Management Academy) and exercise (three exercises in 12 months) requirements for funded/matching personnel. In FY 2016, only the State must develop and submit to FEMA a Training and Exercise Plan under the EMPG program.

## Application Requirements

An application for participation in the Local EMPG Program must include the following:

- *A completed local EMPG application worksheet to provide:*
  - *Programmatic, fiscal, and signatory points of contact on the “Contact Information” tab (mandatory for all applicants)*
  - *Staff and budget data for EMPG and non-EMPG funded staff on the “Personnel*

- *Data Table” tab (mandatory for all applicants)*
- *A roster of EMPG funded and staff used as match, with training completed to date, on the “Staffing Roster & Training” tab (mandatory if staff are EMPG funded or used as match)*
- *A short narrative summary (250 words or less) of the proposed project for which LEMPG funds will be used and budget information on the “Budget” tab (mandatory for all applicants)*

Applicants must use the separate EMPG Application Worksheet (MS Excel spreadsheet) to submit all required information. Applications must be submitted to DHSES by emailing all required documents in Microsoft excel (not pdf) format to grant.info@dhses.ny.gov.

Applicants are encouraged to consult with their DHSES Contract Representative at 1-866-837-9133 to discuss the eligibility of potential projects. For more information on allowable costs, please refer to Appendix B: Allowable Cost Matrix.

**Reminder: All applicants are reminded that the period of performance for FY 2016 EMPG funding ends on 9/30/17. Applicants are encouraged to only apply for projects that can be completed before the end of the period of performance.**

## 6. Quarterly Reports

The Division of Homeland Security and Emergency Services (DHSES) Grant Program Administration (GPA) unit will utilize the E-Grants system for quarterly reporting.

- ✓ **Please contact your DHSES Contract Representative at 1-866-837-9133 if you need assistance in completing the Quarterly Report.**
- ✓ **All applicants are required to complete and submit the EMPG Quarterly Reports (and applicable attachments) electronically. Submission of the materials must be completed in the E-Grants electronic grants management system.**

Completed work products, e.g., plan revisions, exercise critiques, etc., that support the completion of a work item should be submitted with the report. DHSES Contract Representatives will verify program accomplishments during programmatic monitoring visits at the sub-recipients offices.

## 7. Local EMPG Program Summary of Requirements

<u>Requirement</u>	<u>STATE</u>	<u>LOCAL</u>
EMAC membership	Yes	No
Participate in Quarterly Exercises	Yes	No
EMPG funded personnel participate in no less than three (3) exercises in 12 month period and document through quarterly reporting.	Yes	Yes
EMPG funded personnel complete listed training	Yes	Yes

requirements & maintain documentation <sup>1</sup> . Report progress in completing required training via quarterly reports.		
Cost match (50%)*	Yes	<b>Yes</b>
Training and Exercise Workshop	Yes	No
Multi-Year Training and Exercise Plan	Yes	No
Exercise reporting	Yes	<b>Yes</b>
Update emergency plan every 2 years	Yes	Recommended
THIRA	Yes	<b>NYC Urban Area only</b>

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<sup>1</sup> Required course list included in the FY2016 FEMA guidance includes NIMS Training: IS 100, IS 200, IS 700, and IS 800 as well as the FEMA Professional Development Series: IS 120, IS 230, IS 235, IS 240, IS 241, IS 242, and IS 244. The National Emergency Management Basic Academy is a new alternative to the Professional Development Series courses.

## Appendix A: Homeland Security Exercise Evaluation Program (HSEEP)

### Exercises

All exercises conducted using SHSP/SLETPP funds should be designed in accordance with the Homeland Security Exercise and Evaluation Program (HSEEP) guidance. HSEEP highlights include:

- **Basic Guidelines:** HSEEP policy and guidance can be obtained online at: <https://www.fema.gov/media-library/assets/documents/32326>
- **HSEEP Courses**
  - **Mobile Courses:** HSEEP mobile courses are scheduled periodically, as requested, throughout the State to help increase understanding of HSEEP guidelines. For more information, please refer to DHSES's Training Calendar: <http://www.dhSES.ny.gov/training/calendar/>
  - **On-line Course:** FEMA's Emergency Management Institute (EMI) also offers *Course # K0146 – Homeland Security Exercise Evaluation Program (HSEEP) Basic Course, a distance learning (on-line) course.*
- **Exercise Notification:** When an exercise is scheduled, it must be reported to DHSES through the Master Exercise & Training Information System (METIS). All Exercises must be posted to METIS for review by the DHSES Office of Emergency Management (OEM) Training and Exercise Section **sixty days** prior to the start of each exercise supported with EMPG funds, including any exercise supported by the county through a sub-allocation of its award. The Master Exercise & Training Information System (METIS) can be accessed at: <https://metis.nj.gov/>. DHSES will place exercise information on the National Exercise Schedule, in accordance with HSEEP guidelines.
- **Exercise Evaluation:** HSEEP requires all exercises to be evaluated. Within **sixty days** of the completion of an exercise, a jurisdiction must submit an After Action Report and Improvement Plan (AAR/IP) to the DHSES OEM Training and Exercise Section for review and identification and initiation of any necessary state-level activity. Recipients and sub-recipients **must** submit the AARs/IPs to: [OCT.Exercises@dhSES.ny.gov](mailto:OCT.Exercises@dhSES.ny.gov)

**Exercise Assistance:** The DHSES OEM Training and Exercise Section is available to provide exercise assistance to jurisdictions. Please contact the OEM Exercise Section at [OCT.Exercises@dhSES.ny.gov](mailto:OCT.Exercises@dhSES.ny.gov) or at 518-292-2351 if you are interested in conducting an exercise using FY2016 EMPG funds.

## Appendix B: Allowable Cost Matrix

<b>Allowable Management &amp; Admin. Costs</b>	
Hiring of full or part-time staff or contractors/consultants to assist with the management of the respective grant program, application requirements, compliance with reporting & data collection requirements.	Y
Development of operating plans for information collection & processing necessary to respond to FEMA data calls.	Y
Costs associated with achieving emergency management that is inclusive of the access and functional needs of workers and citizens with disabilities.	Y
Overtime and backfill costs.	Y
Travel.	Y
Meeting related expenses.	Y
Authorized office equipment.	Y
Recurring expenses such as those associated with cell phones & faxes during the period of performance of the grant program.	Y
Leasing or renting of space for newly hired personnel during the period of performance of the grant program.	Y
<b>Allowable Planning Costs</b>	
Emergency management planning activities, including 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.	Y
Emergency management/operation plans including maintaining a current Emergency Operations Plan that is aligned with guidelines set out in CPG 101v.2 <a href="http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf">http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf</a> , modifying existing incident management and emergency operations plans, developing/enhancing comprehensive emergency management plans, and developing/enhancing large-scale and catastrophic event incident plans.	Y
Continuity/Administrative Plans including developing/enhancing Continuity of Operation (COOP)/Continuity of Government (COG) plans, and developing/enhancing financial and administrative procedures for use before, during, and after disaster events in support of a comprehensive emergency management program.	Y

<p>Whole Community engagement/planning including 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, and planning to foster public-private sector partnerships.</p>	<p>Y</p>
<p>Development or enhancement of mutual aid agreements/compacts, including required membership in EMAC.</p>	<p>Y</p>
<p>Resource management planning including developing/enhancing logistics and resource management plans, supply preparation, 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.</p> <p>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.</p>	<p>Y</p>
<p>Evacuation planning to include developing/enhancing evacuation plans, plans for alerts/warning, crisis communications, pre-positioning of equipment for areas potentially impacted by mass evacuations sheltering, and re-entry.</p>	<p>Y</p>
<p>Pre-disaster Recovery planning including 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</p>	<p>Y</p>
<p>Recovery planning</p> <ul style="list-style-type: none"> <li>• 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 recipients and sub-recipients 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: <i>Planning for a Successful Disaster Recovery</i> (pages 63-70). For more information on the NDRF see <a href="http://www.fema.gov/pdf/recoveryframework/ndrf.pdf">http://www.fema.gov/pdf/recoveryframework/ndrf.pdf</a>.</li> </ul>	<p>Y</p>
<p>Program evaluations</p>	<p>Y</p>

<b>Allowable Organization Costs</b>	
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.	Y
Personnel costs, including salary, overtime, compensatory time off, and associated fringe benefits.	Y
<b>Allowable Equipment Costs</b>	
<ul style="list-style-type: none"> <li>• Personal Protective Equipment (PPE) (Category 1)</li> <li>• Information Technology (Category 4)</li> <li>• Cybersecurity Enhancement Equipment (Category 5)</li> <li>• Interoperable Communications Equipment (Category 6)</li> <li>• Detection Equipment (Category 7)</li> <li>• Power Equipment (Category 10)</li> <li>• Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) Reference Materials (Category 11)</li> <li>• CBRNE Incident Response Vehicles (Category 12)</li> <li>• Physical Security Enhancement Equipment (Category 14)</li> <li>• CBRNE Logistical Support Equipment (Category 19)</li> <li>• Other Authorized Equipment (Category 21)</li> </ul>	Y
General purpose vehicles (such as sports utility vehicles) are allowed to be procured in order to carry out the responsibilities of the EMPG Program. May require pre-approval. Please contact your Contracts Unit representative.	Y
<p><b>Controlled Equipment</b></p> <p>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 <i>Use of Grant Funds for Controlled Equipment</i> for the complete <i>Controlled Equipment List</i>, information regarding the <i>Controlled Equipment Request Form</i>, 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.</p>	Special Permission
<b>Allowable Training Costs</b>	
Support the nationwide implementation of NIMS.	Y
Developing/enhancing systems to monitor training programs.	Y
Conducting all hazards emergency management training.	Y
Attending Emergency Management Institute (EMI) training or delivering EMI train-the-trainer courses.	Y

Attending other FEMA-approved emergency management training.	Y
Mass evacuation training at local, State, and tribal levels.	Y
<i>Funds Used to Develop, Deliver, and Evaluate Training.</i> Includes costs related to administering the training: planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment.	Y
<i>Overtime and Backfill.</i> 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.	Y
<i>Travel.</i> 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.	Y
<i>Hiring of Full or Part-Time Staff or Contractors/Consultants.</i> Full- or part-time staff may be hired to support direct training-related activities.	Y
<i>Certification/Recertification of Instructors.</i> Costs associated with the certification and re-certification of instructors are allowed.	Y
<b>Allowable Exercise Costs</b>	
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.	Y
Hiring of Full or Part-Time Staff or Contractors/Consultants. Full- or part-time staff may be hired to support direct exercise activities. The services of contractors/consultants may also be procured to support the design, development, conduct and evaluation of exercises.	Y
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.	Y
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.	Y
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).	Y
Implementation of HSEEP. This refers to costs related to developing and maintaining a self-sustaining State HSEEP which is modeled after the national HSEEP.	Y

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.	Y
<b>Allowable Construction and Renovation Costs</b>	
Construction and renovation activities for a local government's principal EOC as defined by the SAA are allowable.**	Y
**Written approval through DHSES from FEMA required prior to the use of any EMPG funds for construction/renovation projects. Also requires submission of EOC Investment Justification (FEMA Form 089-0-0-3, OMB Control Number 1660-0124.	Y
<b>Allowable Maintenance and Sustainment Costs</b>	
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.	Y
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.	Y

<b>Unallowable Costs</b>	
<p><b>Prohibited Equipment:</b> Grant funds may not be used for the purchase of Prohibited Equipment. Refer to Information Bulletin 407 <i>Use of Grant Funds for Controlled Equipment</i> for the complete <i>Prohibited Equipment List</i>. 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.</p>	
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.	
<p><b>Unauthorized exercise-related costs include:</b></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• Equipment that is purchased for permanent installation and/or use, beyond the scope of exercise conduct (e.g., electronic messaging signs).</li> <li>• Durable and non-durable goods purchased for installation and/or use beyond the scope of exercise conduct.</li> </ul>	
<b>Supplanting</b>	
Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose.	