EMPG

Emergency Management Performance Grant — Utah

FY 2021
Guidance and Performance Standards Workbook

DEM CONTACTS

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LIAISONS
If you need assistance, please contact the LNO that coincides with the region that your emergency management program falls under.

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BACKGROUND

The mission of the Utah Division of Emergency Management is to unite the emergency management community and coordinate the efforts necessary to mitigate, prepare for, respond to, and recover from emergencies and catastrophic events. Emergency managers provide critical leadership in their jurisdiction's ability to achieve this mission within their own communities.

The purpose of the Emergency Management Performance Grant (EMPG) Program is to provide qualifying jurisdictions (Counties, Cities, Tribes, and Public Institutions of Higher Education) with supplemental financial assistance and technical expertiseThe grant provides financial assistance and technical expertise. EMPG provides funds to supplement pre-established local emergency management programs in building capabilities to implement the National Preparedness System and support the National Preparedness Goal (NPG). A central objective of this program is to ensure that there are trained, experienced, and professional emergency management personnel in each eligible jurisdiction.

The Utah Department of Public Safety's Division of Emergency Management (DEM), funds the local EMPG Program through funding received from the U.S. Department of Homeland Security; Federal Emergency Management Agency (FEMA).

GRANT INFORMATION

The full **Notice of Funding Opportunity** (NOFO) from **FEMA** for **EMPG** can be found here.

The **Code of Federal Regulations** which applies to all federal awards can be found here.

The **objective** of the EMPG Program is to support a comprehensive, all-hazard emergency preparedness system by building and sustaining the core capabilities contained within each mission area of the [NPG](NPG).

Examples of EMPG funded activities include but are not limited to:
- Initiating or achieving a whole community approach to security and emergency management;
- Strengthening a state or community's emergency management program;
- Updating emergency plans;
- Completing a Threat and Hazard Identification and Risk Assessment (THIRA) process;
- Designing and conducting exercises that engage a whole community of stakeholders and validate core capabilities;
- Conduct and attend training.

The Department of Homeland Security expects EMPG recipients and subrecipients (county/city/tribe/IHE) to prioritize grant funding to address capability targets and gaps identified through the annual THIRA and SPR process. Recipients and subrecipients should prioritize the use of grant funds to maintain/sustain current capabilities, to validate capability levels, and to increase capacity for high-priority core capabilities with low capability levels. (Resource for developing core capabilities)

A **cost match** is required under this program. The Federal share that is used towards the EMPG Program budget **shall not exceed 50%** of the total budget. FEMA administers cost matching requirements in accordance with [2 CFR 200.306](2 CFR 200.306). To meet matching requirements, the contributions must be verifiable, reasonable, allowable, allocable, and necessary under the grant program and must comply with all federal requirements and regulations.

Note: subrecipients will be reimbursed at a maximum of 25% of the total award amount per quarter. Expenditures must be paid *during* the quarter they are claimed for reimbursement.

ELIGIBILITY AND PROGRAM REQUIREMENTS

- Jurisdiction/Program Requirements
  - Employ a full-time, three-quarter time, part-time, or one-quarter time Emergency Program Manager (40, 30, 20, or 10 hours per week respectively) to run an established Emergency Management Program.
    - An established Emergency Management Program is one that has
      - Existing plans which are promulgated and updated on a schedule
      - An emergency coordination or operations center with designated staff (either volunteer or hired) to complete coordination tasks for the jurisdiction in an emergency
      - An organizational structure that has been defined and detailed to include roles and responsibilities
      - Ability to facilitate communications and the coordination of resources
      - An established outreach, training and exercise schedule (or integrated preparedness plan) for ECC/EOC staff as well as the coordination of the ICS/EOC/JIC interface.
    - Designating an emergency manager or emergency coordinator as required in House Bill 96 does not constitute an emergency manager for this purpose as outlined in the grant guidance. A jurisdiction must employ an emergency manager and not just designate other duties as assigned to be eligible for this grant.
    - This position cannot be contracted or held by an elected official.
    - If an emergency manager or emergency management supporting staff member holds multiple positions, they should note their hours spent on Emergency Management to differentiate from other responsibilities. We can only reimburse wage and benefits for hours spent on eligible Emergency Management Activities.
  - Submit a timely and complete application.
  - All applicants shall submit an Emergency Operations Plan (EOP) with signed promulgation letter, and an Integrated Preparedness Plan (IPP), spanning the current year, with their applications.
  - Report on all performance standards listed within this guidance.
    - Performance Standard One: Exercise
    - Performance Standard Two: NIMS implementation
    - Performance Standard Three: Planning
    - Performance Standard Four: Training

- ○ Full participation and compliance with DEM's Grant Monitoring Program.
- ○ Regular visits with region liaisons.
- ○ Complete the [Pre-Award Risk Assessment](#)
- ○ Provide Emergency Interim Successors [LINK](#)
- ○ Meet all Federal requirements such as (but not limited to):
  - ■ Equal Opportunity Employer
  - ■ Drug-Free Workplace
  - ■ Single Audits
  - ■ Federal Funding Accountability and Transparency Reporting
  - ■ Compliance with 2 CFR 200 policies
  - ■ [etc.](#)
- ● Emergency Manager Requirements
  - ○ New applicants shall have completed IS 100, 200, 700, and 800 and either the PDS or Basic Academy prior to applying for the grant and will provide their certification with their application.
  - ○ Performance of all Performance Standards as listed in this guidance.
    - ■ Performance Standard One: Exercise
    - ■ Performance Standard Two: NIMS Implementation
    - ■ Performance Standard Three: Planning
    - ■ Performance Standard Four: Training

REPORTING

On a quarterly basis the Emergency Program Managers shall submit the following to Utah DEM via WebEOC:

1. A progress report reflecting work accomplished according to their work plan. The report should address activities for all Four Performance Standards. The report should also have detailed narratives as to what has been completed. Backup documentation should be kept on hand within the emergency management program for local use and grant monitoring visits.
2. A Reimbursement Request Packet which includes an 85-21 or Reimbursement Request Form, and all supporting documentation.
   a. Thorough documentation in support of the reimbursement request. All expenses listed in this report must be paid and supporting documentation shall be attached and submitted via WebEOC. (more information found on page 6)

Penalties for missing/late reporting

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1. If the performance standards are incomplete at the end of the 4th quarter, the jurisdiction's following year reimbursement shall be reduced by 10% of its following year's allocation per incomplete standard.
2. A late report, not waived for good cause by the Director of DEM or his designee, will not receive reimbursement for that quarter.
3. If two reports, two reimbursement requests, or one or more performance standards are missed or late throughout the grant year, the jurisdiction may receive a probationary letter when applying for EMPG the following year along with a 10% decrease in new year funding. If improvement is not made, the jurisdiction will be disqualified from applying in the subsequent year.

SUPPORTING DOCUMENTATION

For expenses claimed under EMPG, we require supporting documentation to meet the Federal Requirement put in place by [2 CFR 200.331 (d)](#) which requires pass-through entities to "monitor the activities of subrecipients as necessary to ensure that the subaward is used for authorized purposes."

These supporting documents must be procedurally generated and cannot be self-certified documents. For example, in the case of **Salary and Benefits**, we would require documentation generated by the jurisdiction's payroll software.

What this is	What this isn't
• Compensation and Benefits Summary	• A written document (E-mail)
• Payroll Summary	• An excel spreadsheet showing the amounts
• Labor Distribution Report	• A copy of the trial balance

For other **purchases**, we will need proof of purchase <u>as well as</u> proof of payment. Again these must be procedurally generated documents and not self-certified documents.

What this is	What this isn't
• An invoice <u>and a</u> copy of the check used to pay the invoice	• A copy of the general ledger or trial balance
• An invoice <u>and</u> credit card statement showing the purchase	• A spreadsheet stating expenses to be claimed for EMPG
• An itemized receipt showing payment <u>and</u> listing what was purchased	• A purchasing card transaction log

As for **Travel Expenses**, these documents will depend on your policy. We will need proof that the travel was authorized and proof that the expenses were incurred and/or reimbursed.

NEW: These documents are to be submitted in WebEOC with your quarterly reports through the Reimbursement Packet process. If you are ever uncertain about whether or not you have the documentation required to claim an expense under EMPG, E-mail the EMPG coordinator.

 *Remember to retain all documents for at least three years after closeout.

PERFORMANCE STANDARD ONE: EXERCISE

All emergency managers and EMPG funded participants must complete, and report on a minimum of three exercises within the grant cycle. Participants must also complete an Integrated Preparedness Planning Workshop (IPPW) - formally the Training and Exercise Planning Workshop (TEPW) - for the development of an IPP. Exercises to be claimed towards EMPG requirements may be submitted in the [WebEOC Exercise Schedule and History Log](). as a repository for HSEEP documentation.

For exercises where your jurisdiction/agency is not hosting but participating in the exercise, documentation is required of what knowledge was gained that is applicable to your jurisdiction/agency, actions you will take, and milestones for implementation.

Planned Events and Real World Events can also be used towards your EMPG Exercise Requirements. Planned events (parades, races, festivals, fairs, etc.) may be used towards EMPG requirements once per grant cycle after approval has been given. Real world incidents *may* count as an exercise *if* the jurisdiction completes the approval survey within 10 business days after the last response/operational period ends. To apply for approval, complete the survey found [HERE](). For these types of events to count towards EMPG, we stress the importance of using the event to test your existing plans. If an event doesn't test any of your emergency plans, and thus can't be used to create an improvement plan, it will not be considered toward the exercise requirement. **Once approved, Planned Events and Real World Events require an Incident Action Plan (minimum of 3 forms within the IAP) and an After Action Report /Improvement Plan

The table on the next page provides a table of appropriate documents depending on the type of exercise you conduct. The blue hyperlinked exercise titles will take you to definitions of the different exercise types and the blue hyper-linked document types will provide templates and guidance.

EXERCISE HSEEP Templates:

HSEEP Exercise Templates	Exercise Plan* which could include an Exercise Overview page	After Action Report / Improvement Plan* which could include an Exercise Overview page	Participant Roster*
Seminar *(This Exercise Type is an informational briefing)*	No	Either AAR/IP or **Executive Summary***	At a minimum, names of participants and agencies in AAR
Workshop *(A Product is Developed During this Exercise Type)*	No	Either AAR/IP or **Executive Summary***	At a minimum, names of participants and agencies in AAR
Tabletop	No	Yes	Yes
Drill *(usually single agency, single function)*	No	Yes	Yes
Functional	Yes	Yes	Yes
Full-Scale	Yes	Yes	Yes
Planned Event**	No	Yes	Yes
Real World Event**	No	Yes	At a minimum, names of participants and agencies in AAR

*Templates of these documents are found in the links at the top of the table and on our website
dem.utah.gov/exercises/
**Planned Events and Real World Events require an Incident Action Plan (minimum of 3 forms within the IAP)

For exercise support, contact Kris Repp (krepp@utah.gov).

PERFORMANCE STANDARD TWO:
NIMS IMPLEMENTATION

NIMS Implementation
- NIMS courses required for eligibility for this grant are currently ICS 100, 200, 700 and 800.
- The statewide inventory system we will be moving to is NMAS. More information and training on this system will be coordinated through DEM. ([Statute 53 2a 306](#))
  - Per FEMA requirements recipients and subrecipients receiving EMPG funding are required to implement NIMS, and EMPG funds may be used to meet the requirements. FY 2021 EMPG recipients and subrecipients shall use standardized resource management concepts for resource typing, credentialing, and an inventory to facilitate the effective identification, dispatch, deployment, tracking, and recovery of resources.
- Additional NIMS resources
  - [What is NIMS?](#)
  - [Compliance Basics](#)
  - [NIMS Training Needs](#)
  - [Additional NIMS info](#)

NEW: This will be reported through the NIMS implementation survey tab of your EMPG quarterly progress report.

PERFORMANCE STANDARD THREE: PLANNING

Emergency Operations Plan
- The most recent copy of your Emergency Operations Plan (EOP) is required with your application.
- **NEW:** A promulgation letter or statement is required each time a new senior elected or appointed official takes office within 6 months of inauguration.
  - This document/page is a signed statement formally recognizing and adopting the plan as the jurisdiction's all-hazards EOP. It assigns both the authority and the responsibility to organizations to perform their tasks.
    - A Promulgation Statement is signed by the jurisdiction's senior elected or appointed official(s) (Note: This statement must be updated each time a new senior elected or appointed official takes office.) {CPG101 v 3 Pg 67}
- In this performance standard, you should indicate how you have put forth effort in reviewing, updating, promulgating and training to your emergency operations plan. Submit a copy of the most recent signed and dated promulgation letter of a developed or updated Emergency Operations Plan (EOP) with your application.
- Per FEMA requirements recipients and subrecipients shall *update* their EOP at least once every two years and their EOP should be aligned with the guidelines provided by CPG 101 v.2.
- While *updates* are only required biannually, progress towards updating your EOP and its annexes should be an annual endeavour.
- **NEW:** Utilize the Progress Report tab "Performance Standard 3" to report on this standard. We will not require the CPG 101 V.2 for this grant cycle. ~~Submit an **annual** progress report of the EOP update using the CPG 101 v.2 Process and Analysis Tool~~.

PERFORMANCE STANDARD FOUR: TRAINING

Complete the [Professional Development Series (PDS)](#) or [EM Basic Academy](#)
- Funded personnel must complete Independent Study (IS) 120.c, 230.d, 235.c, 240.b, 241.b, 242.b, and 244.b.
  - We recommend all stakeholders take these courses.

All participants shall also complete two Emergency Management related classes per year. These should be classes sponsored by [DEM](#) or [FEMA](#). Alternative classes must receive prior approval to use toward this performance standard. While working on the required [PDS](#) or [EM Basic Academy requirements](#) the associated classes will count toward this requirement. If you are unsure which classes to take to meet this requirement after you have met the NIMS implementation requirements, we would recommend progressing towards FEMA's [Advanced Professional Series](#) (APS).

Instructing classes for DEM will also meet this requirement.

NEW: All training must be tracked through the state training system of record which is U-Train. Participants will submit all required certificates through the U-Train System. To begin this process, log in to U-Train and search for the course ID #: [1100184](#)

For questions regarding training please contact Ronda Warner (rwarner1@utah.gov)

EHP

As a federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties (EHP) 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 subrecipients proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the [FEMA EHP review process.](#) The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed 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.

Additional information on the EHP process is available on our website.

SUPPLANTING FUNDS

According to Article XXIII - Non-supplanting Requirement; all recipients who receive awards made under programs that prohibit supplanting by law must ensure that Federal funds do not replace (supplant) funds that have been budgeted for the same purpose through non-Federal sources.

DEFINITION 1:
"Supplant means to replace or take the place of. Federal law prohibits recipients of federal funds from replacing state, local, or agency funds with federal funds. Existing funds for a project and its activities may not be displaced by federal funds and reallocated for other organizational expenses. These funds are meant for the purpose of 'supplementing' or building on state, local, and agency funds. "

DEFINITION 2:
"A state or unit of local government reduces state or local funds for an activity specifically because federal funds are available (or expected to be available) to fund that same activity. When supplanting is not permitted, federal funds must be used to supplement existing state or local funds for program activities and may not replace state or local funds that have been appropriated or allocated for the same purpose. Additionally, federal funding may not replace state or local funding that is required by law."

The NOFO gives the following example: 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.

Supplanting funds can cause confusion, so if there is ever uncertainty of whether or not a purchase falls into the category of 'supplanting' rather than 'supplementing' call the EMPG Program Coordinator.

ADDITIONAL REFERENCE LIBRARY

- [Authorized Equipment List](#)
- [Cost Sharing or Cost Matching Funds](#)
- [Environmental Planning and Historic Preservation Review (Slides)](#)
- [What is Supplanting?](#)
- [Core Capability Building Worksheets](#)
- [CPG 101 version 2](#)
- [What is NIMS](#)
- [NIMS Compliance Basics](#)

EMPG CHECKLISTS

✔	Application Requirements (subject to change annually)
	Fill and Submit FFATA (Federal Funding Accountability and Transparency Act)
	Fill and Submit Match Certification
	Submit Integrated Preparedness Plan (IPP)
	Submit most recently signed EOP (w/promulgation letter)
	Signed Letter/E-mail showing County Acknowledgement of EMPG application (Cities only)
	Complete Pre-Award Risk Assessment (work with your finance section)
	Wait for Emergency Management Performance Grant Program Acceptance
	Provide Emergency Interim Successors LINK

✔	Award Obligation Requirements (These documents will be sent to subrecipients upon State's EMPG Award from FEMA)
	E-mail signed 76-10 (Obligating Document) to tbodily@utah.gov
	NEW: ~~E-mail signed Articles of Agreement to~~ ~~tpatterson@utah.gov~~ For this grant cycle, these were included as part of the obligating document for this grant.

✔	**Performance Standard One** **Exercise** **(Due by end of grant cycle)**
	Participate in first exercise and report on experience in the EMPG progress report for each EMPG funded personnel
	Participate in first exercise and report on experience in the EMPG progress report for each EMPG funded personnel
	Participate in first exercise and report on experience in the EMPG progress report for each EMPG funded personnel
	Participate in an Integrated Preparedness Planning Workshop (IPPW) to develop an Integrated Preparedness Plan (IPP), submit IPP with application the following grant cycle

✔	**Performance Standard Two** **NIMS Implementation** **(Due twice - during reporting period A and reporting period D)**
	NEW: Complete the NIMS implementation survey in the EMPG progress report during reporting period A and reporting period D.

✔	**Performance Standard Three** **Planning** **(Due by end of grant cycle)**
	NEW: Participate in and coordinate steps within the planning process for emergency plans for your jurisdiction
	NEW: Report on planning process within the EMPG progress report
	NEW: Submit updated Promulgation Letter with each new senior official

✔	**Performance Standard Four** **Training** **(Due by end of grant cycle)**
	Complete ICS 100, 200, 700, 800 (all courses must be completed this grant cycle)
	Complete PDS or Basic Academy (all courses must be completed this grant cycle)
	Complete (or instruct) two training courses sponsored by DEM or FEMA

✔	Reporting Period A Requirements (Due October 20th)
	Start and Submit Progress Report
	Submit 85-21 Reimbursement Request
	Meet with Region Liaison
	NEW: Complete NIMS survey

✔	Reporting Period b Requirements (Due January 20th)
	Update and Submit Progress Report
	Submit 85-21 Reimbursement Request
	Meet with Region Liaison

✔	Reporting Period c Requirements (Due April 20th)
	Update and Submit Progress Report
	Submit 85-21 Reimbursement Request
	Meet with Region Liaison

✔	Reporting Period d Requirements (Due July 20th)
	Update and Submit Progress Report
	Submit 85-21 Reimbursement Request
	NEW: Complete NIMS survey
	Meet with Region Liaison
	Ensure all performance standards are met by this deadline to avoid penalties