

# **Federal Fiscal Year 2011**

## **EMERGENCY MANAGEMENT PERFORMANCE GRANT (EMPG) PROGRAM**

### **Local Grant Guidance**

State of Alaska

Department of Military and Veterans Affairs

Division of Homeland Security and Emergency Management

**2011 EMPG Application DUE by 11:59 P.M.,  
Friday, June 24, 2011**

## KEY CHANGES IN 2011 EMPG LOCAL JURISDICTION APPLICATION AND GUIDANCE

The Federal Fiscal Year (FFY) 2011 Emergency Management Performance Grant (EMPG) continues the Federal Emergency Management Agency's (FEMA) and the Alaska Division of Homeland Security and Emergency Management's (DHS&EM) efforts to sustain and enhance all-hazards emergency management capabilities. Emergency management must be able to coordinate in the context of natural and man-made hazards, as well as technological events, that threaten the security of the homeland and the safety and wellbeing of citizens. The State of Alaska directs that EMPG Program funds will be used to support emergency management staff salaries.

Several items have been expanded on or added in the 2011 local jurisdiction EMPG Program application and guidance.

- The 2011 EMPG performance period will be twelve months, beginning July, 1, 2011 and ending June 30, 2012. Awards will be retroactive to July 1 if needed.
- EMPG funded personnel should complete the following NIMS Training courses: IS 100.b Introduction to ICS, IS 200.b Fundamentals of Emergency Management, IS 700.a National Incident Management System (NIMS), an Introduction, and IS 800.b National Response Framework, An Introduction.
- Update of jurisdictional Local Capability Assessment (previously called Gap Analysis Document) is required by December 31, 2011. (page 5.) This is a grant assurance.
- Jurisdictions must develop a Multi-Year Training and Exercise Plan (TEP) and participate in the state Multi-Year Training and Exercise Plan Workshop (TEPW) Workshop, to be held in conjunction with the spring 2012 Bi-Annual Preparedness Conference (page 3.) These are grant assurances.
- The required application documents have been simplified. Jurisdictions now only need to complete and submit the Request for EMPG Funds. This document combines the previous application and cover sheet, staffing pattern document, and the Annual Work Plan.
- The Quarterly Narrative Progress Report form will no longer be personalized to individual jurisdiction Work Plan tasks. Narrative Report forms will allow jurisdictions to report on all Work Plan tasks, if needed. More information on the revised Narrative Progress Report forms will be available before the first reporting requirement for the 2011 EMPG. Use of outdated forms will not be accepted and may delay timely reimbursements.

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# STATE OF ALASKA

## DIVISION OF HOMELAND SECURITY AND EMERGENCY MANAGEMENT

### EMERGENCY MANAGEMENT PERFORMANCE GRANT PROGRAM

#### 1. INTRODUCTION

The Emergency Management Performance Grant (EMPG) Program provides federal funding to assist states and local governments in developing and carrying out emergency management programs. States submit annual applications that include a statement of work and proposed budget to the Federal Emergency Management Agency (FEMA) for funding to match state and local appropriations for emergency management programs. States receive EMPG funding from FEMA and, in turn, pass EMPG Program funding to local governments to reimburse them for emergency management personnel expenses. State of Alaska leaders recognize both state and local governments must work to protect their citizens by developing comprehensive, risk-based, all-hazards emergency management programs. Emergency management must be able to coordinate in the context of natural and man-made hazards, as well as technological events, that threaten the security of the homeland and the safety and well-being of citizens. An all-hazards approach to preparedness including the development of a comprehensive program of planning, training, and exercises, sets the stage for an effective and consistent response to any threatened or actual disaster or emergency, regardless of the cause.

As part of the FY 2011 EMPG Program, FEMA has identified an overarching priority: *Advancing "Whole Community" Security and Emergency Management*. "Whole Community" fosters a national emergency management approach and considers all aspects of a community to effectively prepare for, protect against, respond to, recover from, and mitigate against any terrorist attack or natural disaster.

A. Federal Program Requirements: Guidelines from the FEMA Grant Programs Directorate (GPD) make the following stipulations concerning the use of monies received under the EMPG Program.

Funds may be used for a range of emergency management planning activities including activities and costs related to the Emergency Management Accreditation Program (EMAP) process (state and/or local.). The EMPG Program shall be used for emergency management programs to accomplish the following initiatives:

- **Emergency Management Organization Program.** Programs must continue to fund all necessary aspects of the emergency management program that support day-to-day preparedness, response, and recovery activities, including mitigation efforts.
- **National Response Framework (NRF) and National Incident Management System (NIMS.)** Emergency management programs must update and/or modify their operational plans, training, and exercise activities, as necessary, to achieve conformance with the NRF and the NIMS implementation guidelines, coordinating structures, processes, and protocols, as required. As with FFY 2010 EMPG Program funding, federal departments and agencies are mandating applicants certify NIMS requirements have been met to be eligible for Preparedness Grant funding. This must be done through jurisdiction input into the web-based National Incident Management System Compliance Assistance and Support Tool (NIMSCAST.) For more information on NIMS compliance consult <http://www.fema.gov/emergency/nims>.
- **Evacuation Planning.** Evacuation planning encompasses not only the movement of people, but also alert/warnings and crisis communications, the ability to care for those people and the ability to plan for re-entry. While levels of planning for this focus area will vary greatly depending on the jurisdiction, it should be noted that urban areas should have detailed plans to address issues associated with this focus.
- **Logistics Capability Assessment (LCA)** (previously called Gap Analysis Document.) The specific focus of this effort is on debris removal, interim housing, sheltering, commodity distribution, medical needs, fuel, evacuation, and communications. State and local jurisdictions should also continue to focus on addressing state-specific planning issues identified through the 2006 Nationwide Plan Review.
- **Continuity of Operations (COOP)/Continuity of Government (COG.)** COOP/COG planning is the fundamental responsibility of every government agency that performs essential functions. In order to conduct necessary emergency operations, recovery actions, and other key essential functions during a large-scale or catastrophic event, the agency must have effective COOP plans in place to support continued operations. COOP efforts also provide the foundational basis for COG programs, such as succession planning, which are designed to ensure the continued existence of not only leadership, but also an enduring constitutional government.
- **Mutual Aid Agreements.** An essential component in achieving state emergency management goals and target capabilities involves establishing strong working relationships with neighboring jurisdictions. These relationships are necessary for developing performance capabilities that leverage joint operations, mutual aid and support local, regional, tribal, state-to-state, and nationwide priorities, particularly when responding to a catastrophic event. States have the flexibility to leverage FY 2011 EMPG Program funds to develop intra and inter-state

emergency management systems that encourage building partnerships across all levels of government and with non-governmental organizations.

- **Multi-Year Training and Exercise Plan (TEP) and Multi-Year Training and Exercise Plan Workshop (TEPW.)** The Multi-year TEP provides a roadmap to accomplish the priorities described in the Homeland Security Strategy. Engaging the Whole Community in training and exercises allows all partners to evaluate and improve upon their level of preparedness. States and Urban Areas are required to conduct an annual Training and Exercise Plan Workshop (TEPW). All grantees and sub-grantees are required to develop a Multi-Year TEP and update it annually.

*All costs under these categories must be eligible under OMB Circular No. A-87, Cost Principles for State, Local, and Indian Tribal Governments, located at [http://www.whitehouse.gov/omb/circulars\\_a087\\_2004/](http://www.whitehouse.gov/omb/circulars_a087_2004/).*

B. The State of Alaska Requirements: The State of Alaska's EMPG Program imposes requirements to mirror or supplement federal guidance.

In Alaska, EMPG Program funds strengthen local government efforts by providing direct financial support for local community staff engaged in emergency management planning. The goals of such planning are to coordinate, integrate, and encourage the improvement, development, and sustainment of mitigation, preparedness, response, and recovery capabilities for all hazards. In addition, funds provided under the EMPG Program may, and should, be used to support local staffs who contribute to terrorism consequence management preparedness. The International Association of Emergency Managers (IAEM) defines emergency management as, "the managerial function charged with creating the framework within which communities reduce vulnerability to hazards and cope with disasters." **The State of Alaska directs that EMPG Program funds will be used to support emergency management staff salaries.**

Communities are expected to develop emergency management systems that build partnerships between government, business, volunteer, community organizations, and Local Emergency Planning Committees (LEPC.)

## 2. ELIGIBILITY and SELECTION CRITERIA

A. Requirements: This is an invitation-only grant. Participation is based upon the ability to meet certain criterion and upon the historical participation in emergency management related programs. Under the EMPG Program participants must:

- Designate an emergency manager or emergency management coordinator from among the paid jurisdiction staff. This person will be the focal point to local emergency planning and response, and will be the local project manager for the EMPG Program grant. Federal EMPG funds can not replace (supplant) funds that have been locally appropriated for the same purpose.
- Submit an EMPG Program application with the required attachments, including the Annual Work Plan that outlines planned emergency management activities to be conducted during the grant performance period which is **July 1, 2011 through June 30, 2012.**
- If previously a recipient of EMPG Program funding the applicant must have successfully completed all prior requirements and reports.

B. Funding Levels: Funding to jurisdictions applying for the EMPG Program will be based on the following criteria:

- The level of development of the local emergency management agency (e.g., is the emergency manager/coordinator full-time, part-time, or assigned as an extra duty to an existing staff position.)
- The ability of the community to implement an emergency management program (e.g., organizational structure, fiscal controls, staffing levels, performance history, and experienced personnel.)
- The size of the population that could potentially be affected by a major disaster.

C. Funding Goals: Program funding goals for FFY 2011 are listed below.

- The emergency manager/coordinator position is an additional assigned duty, a part-time position or a full-time position.
- The community successfully completes all reports identified under the EMPG Program on time.
- The community provides public education and/or information on disaster preparedness.
- The community develops and maintains up-to-date emergency plans.
- The community will prepare and approve such ordinances as are required to ensure local compliance with the NRF and the NIMS.
- The community conducts or participates in and reports all-hazard based exercises utilizing the State of Alaska, Division of Homeland Security and Emergency Management (DHS&EM) Exercise After Action

Report/Improvement Plan (AAR/IP) (form available at <http://ready.alaska.gov/homelandsecurity/exercise/exercise.htm>.)

- Emergency management staff and key elected officials participate in ongoing all-hazard training. The designated emergency manager/coordinator shall complete two courses on the NIMS yearly. The emergency manager/coordinator and other emergency staff shall participate in ongoing all-hazards training. The emergency manager/coordinator shall complete at minimum, FEMA Independent Study (IS) courses IS 100.b, 200.b, IS 700.a and IS 800.b.
- The emergency manager/coordinator shall attend two (2) DHS&EM Bi-Annual Preparedness Conferences or other DHS&EM sponsored training or outreach events (other events as approved.)

D. Anticipated FFY 2011 EMPG funding levels will be based on available grant funds and feasibility of the jurisdiction to expend the funding. DHS&EM will attempt to provide similar funding levels allocated in FFY 2010. When completing the EMPG application, please indicate on the Application Coversheet the funding amount needed for the emergency manager/coordinator position and can be met with the required local match, described below.

**These federal funds require an equivalent, dollar to dollar, local match. For example, if the grant award is for \$10,000.00 the local jurisdiction must be able to provide a hard-match of \$10,000.00.**

**Match activities must be emergency management activities. Finance and administrative activities associated with administering the grant, such as filing reports or processing EMPG salaries cannot be used as local match or charged to the grant for reimbursement with federal funds.**

Hard-Match A hard-match is a cash contribution from the local government. The hard match must be in the form of staff salaries and benefits or other personnel expenditures.

Since the EMPG Program is funded with federal funds, funds from other federal programs may not be used to fulfill the match requirement, with the exception of Community Development Block Grant funds. State funding from the Local Emergency Planning Committee (LEPC) Grant is not longer eligible as local match to EMPG.

Local jurisdictions are encouraged to report all eligible emergency management program costs. Additional expenditures are used to justify requests for an increase in funding from the federal program on your behalf.

### **3. BASIC EMPG EMERGENCY MANAGEMENT PROGRAM REQUIREMENTS**

Jurisdictions receiving EMPG Program funds are required to carry out all tasks identified and submitted in the in the Annual Work Plan. In addition, all participants are required to submit quarterly progress reports describing achievements toward the quarterly goals identified in the Work Plan and any other emergency management program activities, as well as providing detailed financial accounting of program expenditures.

Failure to comply with EMPG Program requirements may result in reduction of annual funding and possible reduction in the current year's award allocation.

#### Note:

Participation in exercises and completing ongoing training are integral components of an emergency management program. While these activities are no longer required to be explicitly identified on the Annual Work Plan for the 2011 EMPG, emergency management programs within EMPG jurisdictions are expected to complete exercises and training tasks.

#### Develop a Multi-Year Training and Exercise Plan (TEP) and participate in State of Alaska Multi-Year Training and Exercise Plan Workshop (TEPW)

The Multi-Year TEP provides a roadmap to accomplish the priorities described in the Homeland Security Strategy. Engaging the Whole Community in training and exercises allows all partners to evaluate and improve upon their level of preparedness. Local jurisdictions must develop a Multi-Year Training and Exercise Plan (TEP) and submit the TEP to DHS&EM at the state TEPW scheduled to be held in conjunction with spring 2012 Bi-Annual Preparedness Conference. The DHS&EM Preparedness Section will provide guidance and a template for the TEP. Development of a local jurisdiction Multi-year TEP and participation in the state TEPW are grant assurances. For more information, please contact the DHS&EM Preparedness Section at (907) 428-7000.

## Conduct or Participate in All-Hazard Exercises

Emergency management programs funded through the EMPG should conduct or participate in exercises on a regular basis. Jurisdictions should coordinate with DHS&EM prior to conducting an exercise. Following any local all-hazard exercises the State of Alaska, DHS&EM Exercise After Action Report/Improvement Plan (AAR/IP) to the DHS&EM exercise officer with the next quarterly progress report, if not sooner. The current reporting form is available on the DHS&EM grants website at <http://ready.alaska.gov/homelandsecurity/exercise/exercise.htm>. Updated versions may also be requested from the DHS&EM exercise officer. For more information, please contact the DHS&EM Preparedness Section at (907) 428-7000.

Communities that experience a state or federally declared disaster event during the grant performance period shall be considered to have satisfied this requirement and a DHS&EM AAR/IP is submitted for the disaster.

## Train Emergency Management Personnel

Emergency management coordinators, assistant coordinators, and other staff members whose salary is supported by EMPG Program funding and who work 50 percent or more of their time in emergency management duties should complete two training courses from the list below yearly, unless they have previously completed all identified courses. Training should be documented in quarterly progress reports and kept in local jurisdiction records. Other jurisdiction staff members and local elected officials are also encouraged to complete these courses. For more information, please contact the DHS&EM Preparedness Section at (907) 428-7000.

Independent Study (IS) on-line\* Emergency Management Institute (EMI) NIMS Training Courses that should be completed by EMPG funded personnel:

IS 100.b	Introduction to the Incident Command System (ICS)
IS 200.b	ICS for Single Resources and Initial Action Incidents
IS 700.a	National Incident Management System (NIMS), An Introduction
IS 800.b	National Response Framework, An Introduction

The following FEMA Professional Development Series IS on-line\* Emergency Management Institute (EMI) Training Courses should be completed by EMPG funded personnel:

IS 139	Exercise Design
IS 230.a	Fundamentals of Emergency Management
IS 235.a	Emergency Planning
IS 240.a	Leadership & Influence
IS 241.a	Decision Making and Problem Solving
IS 242.a	Effective Communication
IS 244.a	Developing and Managing Volunteers

The following IS classes are recommended for EMPG funded personnel by DHS&EM:

IS 1	Emergency Manager: An Orientation to the Position
IS 120.a	An Introduction to Exercises
IS 208.a	State Disaster Management
IS 271	Anticipating Hazardous Weather and Community Risk
IS 288	Role of Voluntary Agencies in Emergency Management
IS 393.a	Introduction to Hazard Mitigation
IS 546.a	Continuity of Operations (COOP) Awareness Course
IS 547.a	Introduction to Continuity of Operations (COOP)
IS 701.a	NIMS Multiagency Coordination Systems
IS 706	NIMS Intrastate Mutual Aid – An Introduction

\*On-line training courses listed can be found at <http://training.fema.gov/IS/crslist.asp>.

Education Alternatives: The following are acceptable alternatives to IS courses:

- Any resident EMI course or similar course. EMI is operated by FEMA and located in Emmitsburg, Maryland
- An Incident Command System (ICS) course of at least 16 classroom hours taught by a local, state, federal agency, or commercial contractor, e.g. IS 300 (Intermediate ICS.)

## Participate in DHS&EM Emergency Management Training and Outreach Programs

Support communication with other emergency managers/coordinators by:

- Required participation at the DHS&EM Bi-Annual Preparedness Conferences. These conferences are held in conjunction with meetings of the State Emergency Response Commission (SERC) and Local Emergency Planning Committee Association (LEPCA.)  
October 3–7, 2011 – Anchorage  
April (dates to be determined), 2012 – Anchorage
- Attendance at other DHS&EM sponsored regional training and outreach activities may meet the above participation requirement. Contact the DHS&EM EMPG Program Project Manager for more information.

## Update Logistics Capability Assessment (LCA) (previously called Gap Analysis Document)

DHS&EM's Logistics Capability Assessment was established to assist local jurisdictions in finding potential gaps that may hinder their ability to provide life safety essentials during any type of catastrophic event. During the 2010 EMPG, jurisdictions completed the Gap Analysis Qualitative Document. This document is now called the Logistics Capability Assessment (LCA). Jurisdictions must continue to evaluate their responses to the Communications, Goods, Services, and Transportation questions in the document during the 2011 EMPG. Update of this document should be completed by December 31, 2011 and is a grant assurance. For more information the LCA, contact the DHS&EM Planning Section.

## Utilize the National Incident Management System Compliance Assistance Support Tool (NIMSCAST) to Document National Incident Management System (NIMS) Compliancy

Completion of jurisdiction input into the National Incident Management System Compliance Assistance Support Tool (NIMSCAST) (<http://www.fema.gov/nimscast/index.jsp>) was implemented as a requirement on the FFY 2008 EMPG award. In FFY 2011, jurisdictions should continue to update and maintain their NIMSCAST information and work towards 100 percent NIMS compliancy in all areas. A jurisdiction is considered NIMS compliant if they have adopted and implemented all FFY 2008 compliance activities, as determined by the NIMSCAST.

## Improve Local and Regional Emergency Partnerships

In those jurisdictions where an organized LEPC is in operation, the jurisdiction emergency manager/coordinator shall be required to meet and coordinate with the LEPC. Additionally, all jurisdictions should seek opportunities to establish local and regional partnerships for emergency planning and response.

## Submit a Program Application and Annual Work Plan

Submit the EMPG Program Application and Annual Work Plan to the DHS&EM Program Project Manager on or before **11:59 p.m., Friday, June 24, 2011.**

## Provide Quarterly Progress Reports

Progress reports are required to be submitted on a quarterly basis.

- Quarterly narrative reports are filed on the Narrative Progress Report form and describe the steps taken to complete tasks identified in the Annual Work Plan.
- Quarterly financial reports must be completed using the Financial Progress Report and Request for Reimbursement form and submitted along with back-up documentation detailing the allocation of EMPG Program funds.

(Check the DHS&EM grants website at <http://ready.alaska.gov/grants.htm> to obtain the most recent reporting forms.)

Deadlines for submitting EMPG Quarterly Progress Reports are listed in Section 5.

## **4. IDENTIFY SPECIFIC GOALS IN ANNUAL WORK PLAN**

The following tasks are basic to any community emergency management program. The DHS&EM goal in listing these is to provide full credit for the work already being performed at the local level.

### Provide Public Education and Information in Your Community

A. Requirement: The emergency manager/coordinator in each jurisdiction should ensure there is an on-going program of public education, tailored to meet local concerns, that reaches a substantial portion of the population each year. The nature and means to accomplish this will vary greatly between jurisdictions. Examples of such activities include:

- Conducting workshops on the local Emergency Operations Plan (EOP)/Emergency Response Plan (ERP) with local elected leaders.
- Briefings to civic groups and senior citizens on local hazards and family preparedness plans.
- Conduct awareness, individual response training, and evacuation drills in schools.

- Arrange for disaster preparedness and response information to be included in utility bills, or as inserts in the local newspaper.
- Publish emergency preparedness information in the local telephone directory.
- Prepare an emergency preparedness calendar for distribution throughout the community.

B. Documentation: A brief description of these activities, if mentioned in the narrative portion of the quarterly report, will satisfy the minimum requirements of this grant. However, additional documentation to support training or public education activities should be maintained on file in the jurisdiction. Documentation may include sign-in rosters, flyers, training notes, relevant newspaper articles, or similar materials. (Forward a copy of any public education materials developed and distributed locally along with the quarterly progress report.)

### Improve Emergency Planning In Your Community

A. Requirement: Develop and maintain an effective Emergency Operations Plan (EOP.)

An up-to-date EOP is critical for preparing communities for any disaster event. An EOP should be revised or reviewed every year. Therefore, DHS&EM recommends communities review, or update basic plans or annexes dated December 31, 2007 or earlier. A comprehensive review or update should be done every five years.

Seek to develop and maintain an effective Local Hazard Mitigation Plan (LHMP.) A LHMP should include comprehensive risk and capability assessments that form a solid foundation for decision making and have participation of a wide variety of stakeholders. Those communities that have not received approval from FEMA for their LHMP should continue working on these plans and are encouraged to identify plan completion as an EMPG Program priority in the planning task area. An approved LHMP is required for a jurisdiction to be eligible for certain FEMA mitigation grants. Jurisdictions that have obtained FEMA approval of their LHMP and are currently or beginning the five year review process, may also identify the review as a priority in the planning task area. For more information on local hazard mitigation planning, contact the State Hazard Mitigation Officer at (907) 428-7000. Additional information is also available at <http://ready.alaska.gov/plans/mitigation/mitigati.htm>.

B. Community Self-Assessment: Utilize the space available on the Annual Work Plan to evaluate the community's progress in satisfying key emergency planning needs.

- Note the status of local planning efforts in the appropriate block of Task Two in the EMPG application and Annual Work Plan.
- Goals for Annual Work Plan for FFY 2011 can be taken directly from the assessment results. In setting goals, choose one or two tasks that can be reasonably accomplished. (List only those documents that you plan to revise or update.)

C. Additional Eligible Planning Activities: In FFY 2011, specific planning focus areas of evacuation planning, sheltering, logistics and resource management, continuity of operations (COOP)/continuity of government (COG) planning, and recovery planning have also been identified as national planning focus areas. Jurisdictions should work to develop these other emergency plans (evacuation/sheltering, Continuity of Operations (COOP)/Continuity of Government (COG), disaster assistance, etc.) as local conditions may require.

Continuity of Operations (COOP)/Continuity of Government (COG):

State and local plans to address COOP/COG issues should be consistent with HSPD-20, National Continuity Policy, which provides guidance for state, local, territorial, and tribal governments, and private sector organizations to ensure a comprehensive and integrated national continuity program, and Department of Homeland Security COOP Planning Guidance (<http://www.fema.gov/government/coop/>.)

- Issues to address include, but are not limited to:
  - Delineate essential functions and activities, agency interdependencies, and the resources needed to perform them
  - Establish orders of succession and delegations of authority to key agency positions and establish and maintain current roster(s) of fully equipped and trained COOP personnel with the authority to perform essential functions
  - Provide for the identification and preparation of alternate operating facilities for relocated operations
  - Provide for the regular training, testing, and exercising of COOP personnel, systems, and facilities
  - Provide for reconstitution of agency capabilities, and transition from continuity operations to normal operations

Evacuation Planning:

It is important that overall planning for evacuation issues within a jurisdiction must consider the safety of the proposed shelter, evacuation routes that are pre-identified prior to a weather event, public information concerning safety and evacuation routing, communications to the public, traffic management, special needs populations, mass care and sheltering, alternative means of transportation, and when necessary, isolation and quarantine.

**Planning Gaps Identified in the Local Capability Assessment:**

Completion of the DHS&EM Gap Analysis qualitative document was a requirement of the FFY 2010 EMPG. This document is now called the Local Capability Assessment (LCA) and jurisdictions should continue to update their LCA as needed. This self assessment of jurisdictional communications, goods, services, and transportation assets was established to assist local jurisdictions in finding potential gaps that may hinder their ability to provide life safety essentials during any type of catastrophic event. The LCA documents may identify gaps or concerns that jurisdictional emergency management programs may want to address through changes within existing plans, training, exercises, creating memorandum of understandings (MOU) or the development of new items.

For more information on emergency planning, please contact the DHS&EM Planning Section at (907) 428-7000.

**D. Documentation:**

- Report your efforts to create planning documents in the quarterly progress reports.
- Forward to the EMPG Program Project Manager copies of planning documents created or revised to satisfy this task.

**Improve Local and Regional Emergency Coordination**

A. Requirement: Emergency managers/coordinator need to establish or improve coordination with other local and regional entities that can assist with community emergency planning, preparation, response, and/or recovery. This can be accomplished by establishing agreements for mutual assistance, letters of understanding, or by conducting joint exercises.

- For those communities where a functioning LEPC exists it is important there be ongoing and effective coordination between the LEPC and the jurisdiction emergency manager/coordinator. The emergency manager/coordinator is expected to be an active participant in the LEPC process.
- The emergency manager/coordinator should seek to formalize agreements through letters or memorandums of understanding to clarify mutual expectations, if there exist, with local agencies or private organizations that can assist with emergency planning preparation, response, or recovery.
- There may be opportunities to establish or improve mutual aid agreements with other nearby jurisdictions.

B. Documentation: Note in the appropriate reporting block for each quarter the meetings or other efforts undertaken by emergency management staff, or local officials to improve local and regional coordination.

**Additional EMPG Program Related Activity**

This allows the community to advise DHS&EM of local improvements or developments that enhance local emergency preparedness or response capability. Reporting in this category is voluntary.

**5. QUARTERLY REPORTING REQUIREMENTS**

All EMPG Program grant sub-recipients must file a two-part quarterly progress report for each reporting period. These two reports are a quarterly narrative report to document grant related activities undertaken by the jurisdiction during the reporting period, and, a quarterly financial report that documents requests for reimbursement and the expenditure of grant funds.

Mail the quarterly progress reports to the DHS&EM EMPG Program Project Manager in time to arrive by the due date. Post marked packets sent by the due date are accepted. Signed electronic or faxed copies with all supporting documentation are accepted.

Scheduled Reports Due	Jurisdiction Reporting Period	Narrative and Financial Progress Report Due Dates
1	07/01/2011 – 09/30/2011	10/20/2011
2	10/01/2011 – 12/31/2011	01/20/2012
3	01/01/2012 – 03/31/2012	04/20/2012
4	04/01/2012 – 06/30/2012	07/20/2012
Final Report	07/01/2011 – 06/30/2012	08/15/2012
Progress reports will be submitted to DHS&EM by the due date as specified in the above schedule. Should the grant period be extended for any reason, a modified report schedule will accompany the award amendment.		

### Quarterly Narrative Progress Reports

A. Use the designated Narrative Progress Report forms to document all EMPG Program activities for each reporting period. Both the emergency manager/coordinator and the local signatory official or their delegates must sign the Narrative Progress Report.

**B. Jurisdictions are expected to complete and report a proportionate amount of the overall set of tasks outlined in their approved Annual Work Plan during each quarter of the fiscal year.**

C. The Final Progress Report shall indicate **completion or work towards completion of all the tasks identified in the Annual Work Plan.**

### Quarterly Financial Progress Reports

Quarterly financial reports shall consist of the following:

A. The completed Financial Progress Report/Request for Reimbursement form. The chief financial officer and the project manager/coordinator or their delegates for the grant must sign this form.

B. Supporting Documentation for Reimbursement. Supporting documentation must include source documents suitable for audit purposes, including, but not limited to:

- Copies of payroll warrants; **and**
- Payroll time sheets and leave registers; **or**
- Payroll transaction reports certified by the chief financial officer; **or**
- Completion of the *Optional Financial Work Sheet for Identifying and Certifying Program Costs*, available at <http://ready.alaska.gov/grants.htm> may be utilized in lieu of the above documentation for reimbursement of personnel costs and documentation of the local match.

### Submit Quarterly Reports To:

Alaska Division of Homeland Security and Emergency Management  
ATTN: Grants Section  
PO Box 5750  
Fort Richardson, Alaska 99505-5750

Fax: (907) 428-7009  
Phone: (907) 428-7000  
Toll Free Phone: 1-800-478-2337

<p><b>All current grant reporting forms are located on the DHS&amp;EM website <a href="http://ready.alaska.gov/grants.htm">http://ready.alaska.gov/grants.htm</a></b></p>
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## **6. INSTRUCTIONS FOR EMPG PROGRAM APPLICATION AND WORK PLAN**

### Guidance for EMPG Program Application

#### A. Applying for EMPG Program Funding

Jurisdictions apply to participate in the program by submitting a complete FFY 2011 EMPG application package. Preparing the application will necessitate drafting an Annual Work Plan, identifying goals for improving local emergency preparedness and response.

#### B. Required Contents of the EMPG Program Application Package

Request for EMPG Funds  
Signatory Authority Form

#### C. Signatures Required on EMPG Program Documents

Certain individuals, as identified on the Signatory Authority Form and on the grant award, must sign specified EMPG obligating documents (award, amendments, etc.) These officials are:

- 1) **Signatory Official:** An individual who has been authorized by the governing body of the applicant jurisdiction or organization to apply for, accept, or decline grants on behalf of the organization. For local governments, this is typically the Mayor or City Manager.

- 2) **Chief Financial Officer:** This should be the chief financial officer or treasurer of the applicant jurisdiction or organization. This is the person who will be contacted by the DHS&EM staff if questions arise regarding financial aspects of the grant.
- 3) **Project Manager:** The project manager, usually, the emergency manager/coordinator is directly responsible for carrying out tasks outlined in the Annual Work Plan and is supported by grant funds. The project manager is the primary point of contact for DHS&EM for EMPG related matters.

Please see the included Signatory Authority Form instructions for more information on signatories and signatory delegations allowed on quarterly progress reports.

#### D. Submitting the EMPG Program Application Package

DHS&EM must receive applications by **11:59 p.m., Friday, June 24, 2011.** Signed copies can be emailed or faxed as working documents. Mail signed originals to the address below:

Alaska Division of Homeland Security and Emergency Management  
ATTN: State Administrative Agency Point of Contact  
PO Box 5750  
Fort Richardson, Alaska 99505-5750

Fax: (907) 428-7009  
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## 7. AWARD FUNDING and NOTIFICATIONS

A. DHS&EM will notify successful applicants of their EMPG Program award amount in an award letter accompanied by the obligating award document.

B. FFY 2011 funding awards will be made contingent upon satisfactory completion of deliverables funded in the current and prior years, to include timely submission of quarterly reports. The DHS&EM Director may reduce the baseline FFY 2011 funding award to a community that has not completed deliverables funded in the previous fiscal year(s.) Additionally, the DHS&EM will continue to monitor the performance of applicants who fail to submit a quarterly report by the due date and funding may be withheld for reoccurring poor performance. Monitoring of this grant by DHS&EM staff may include technical assistance, site visits, and desk audits.

## 8. ADDITIONAL INFORMATION

### Summary of Allowable Costs

The following three grant circulars are relevant to participants in the EMPG Program depending on type of entity. In general state agencies, local governments, and tribal governments follow:

- A-87 for cost principles
- 44 CFR Part 13 for administrative requirements, and
- A-133 for audit requirements

Circulars are located online at [http://www.whitehouse.gov/omb/circulars\\_default/](http://www.whitehouse.gov/omb/circulars_default/), CFR is available here: <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?sid=ac07c0215f405f8631485b30a7928730&c=ecfr&tpl=%2Findex.tpl>

**For the Emergency Management Performance Grant (EMPG) Program, the only allowable costs in the EMPG Program are those relating to necessary and essential state and local emergency management personnel expenses.** Emergency Management is the managerial function charged with creating the framework within which communities reduce vulnerability to hazards and cope with disasters through coordination, integration, and encouragement of the improvement, development, and sustainment of mitigation, preparedness, response, and recovery capabilities for all-hazards. Funds provided under the EMPG Program may, and should, also be used to support local staffs who contribute to terrorism consequence management preparedness. Specifically, allowable personnel expenses would include:

Personnel Compensation and Benefits:

Staffing Pattern Personnel. Federal contributions for this category of expenses are limited to compensation and benefits paid to, or on behalf of, personnel whose paid positions are reported on the applicant's current EMPG Staffing Pattern and

have an acceptable current position description that includes the specific emergency management duties and functions of the employee on file at DHS&EM or submitted as a supplement to the applicant's Staffing Pattern. EMPG funds may not be used to pay personnel costs of additional staffing for disaster operations.

Retirement Funds. The federal share of any payment to a retirement fund must be in a prorated amount apportioned on the basis of time worked in a position while it was federally assisted, and so reported on the Staffing Pattern. The cost must be related to a particular fiscal year and be charged only while that year's funds remain available.

Full-Time or Part-Time Status. Personnel will not be funded as full-time employees under EMPG Program unless they are performing emergency management program elements included and identified in an approved local statement of work, are required by such projects and their current job description to devote full-time to emergency management, and tasks are specifically included in the Annual Work Plan submission. EMPG Program funding is allowable in the case of an individual with a part-time position in an emergency management agency, while at the same time holding a separate part-time position in another department or in the private sector, provided the duties of the other position do not conflict with or impair the emergency management functions assigned to the individual.

Personnel of Other Agencies. Personnel compensation and benefits for an employee of a department of local government other than emergency management including persons serving as full-time or part-time local emergency program managers/coordinators, are allowable for federal contributions under the following conditions:

- 1) An acceptable current position description that includes the specific emergency management duties and functions of the employee must be on file at DHS&EM or submitted as a supplement to the applicant's Staffing Pattern.
- 2) The employee must be assigned on a regular, continuing basis to emergency management duties under the official personnel system of the particular local jurisdiction.

Elected Officials (full-time or part-time.) Salaries paid to persons who are full-time elected officials are not allowable costs for a federal contribution under the EMPG Program. Salaries of local emergency management employees who also hold a part-time elective office by appointment to fill a vacancy may be allowable for a matching contribution under the EMPG Program. It must be demonstrated that the holding of such elective office does not conflict with or impair performance of the emergency management duties for which salaries are being paid. Time and attendance records must be kept to demonstrate that the costs charged to emergency management are in accord with time and effort spent on emergency management activities.

### Grant Information and Assistance Contact Information

For further information and assistance:

The DHS&EM EMPG Program Project Manager at (907) 428-7000, toll-free 800-478-2337.