



MICHAEL R. PENCE, Governor
STATE OF INDIANA

INDIANA DEPARTMENT OF HOMELAND SECURITY
302 West Washington Street
Indianapolis, IN 46204

Notice of Funding Opportunity

Fiscal Year 2016 Emergency Management Performance Grant Program (EMPG): Competitive Grant Program

I. 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 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 an all-of-Nation/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 an all-of-Nation/whole community of stakeholders and validate core capabilities; and
- Conducting training



An Equal Opportunity Employer

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 all-of Nation/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 Indiana Department of Homeland Security expects EMPG sub recipients to prioritize grant funding requests to address capability targets and gaps identified through a needs assessment or gap analysis process. Sub 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.

II. AWARD INFORMATION

Estimated Available Funding for the NOFO: \$ 1,269,833.00

Federal Performance Period: October 1, 2015 – September 30, 2017

Sub Recipient Performance Period: Six (6) – Twelve (12) Months

Extensions to the performance period are allowed with required adequate justification and approval by IDHS.

Funding obligations must be made prior to the end date of the sub grant agreement. All outstanding expenses must be paid and the Final RFEs submitted within 45 days from the end date of the sub grant.

III. PROPOSAL AND SUBMISSION INFORMATION

Letter of Intent Deadline: **Friday, June 10, 2016**

Letter of Intent must be completed and emailed to the IDHS Grants inbox at grants@dhs.in.gov.

- Multiple projects can be submitted on one letter of intent.
- Please find a copy of the Letter of Intent in Appendix C.

Proposal/Budget Submission Deadline: **Friday, June 24, 2016 at 11:59 PM**

All Proposals/Budgets must be completed and submitted via the IDHS iGMS: <http://myoracle.in.gov/hs>

- All applicants must select iGMS template **“FY16 EMPG Competitive Grant Template”**

Before you can apply for an IDHS grant you must have or obtain a DUNS number and must be registered in the System for Awards Management (SAM). www.sam.gov

The applicant must provide a DUNS number with their application. This number is a required field for all subsequent steps in the application submission. Applicants should verify they have a DUNS number, or take the steps necessary to obtain one.

Applicants can receive a DUNS number at no cost by calling the DUNS number request line at (866) 705-5711. If you need assistance or have questions related to the DUNS number and SAM registration please contact IDHS Grants Management.

IV. ELIGIBILITY REQUIREMENTS

Eligible applicants are state and local units of government including but not limited to county EMA offices, district task forces, and state agencies other than IDHS, and other local governmental agencies.

Applicants should submit one proposal per project and multiple proposals are allowed. However, only one proposal will be funded per applicant agency based on the high score.

Other eligibility requirements include:

State of Indiana Bidder and Vendor Registered

The State of Indiana requires that entities receiving funds from the state must be registered as a Bidder. There is no cost to become Bidder registered, and it takes ten to twenty minutes to complete the process. Entities can register as a bidder with the Indiana Department of Administration (IDOA) by using this link;

<http://www.in.gov/idoa/2464.htm>. Click on the Create New Bidder Profile tab to complete. The instructions for electronic bidder registration are very helpful, and it contains a Power Point presentation that walks through all the steps. All applicants must also be an active vendor in good standing with the State of Indiana.

If these processes have already been completed for your entity then it does not have to be completed again.

Please keep in mind that until this process is complete a grant award cannot be made.

Emergency Management Assistance Compact (EMAC) Membership

In support of the Goal, EMPG recipients must belong to, be located in, or act as temporary member states of EMAC. All assets supported in part or entirely with FY 2016 EMPG Program funding must, where applicable, be readily deployable to support emergency or disaster operations per existing EMAC agreements. This includes assets purchased by sub recipients.

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. 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 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; DHS/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 can be found at http://www.fema.gov/pdf/emergency/nims/nims_alert_cred_guideline.pdf.

V. SPECIFIC PROPOSAL INSTRUCTIONS

As part of the proposal process for FY 2016 EMPG funds, applications must provide a narrative that describes the gap analysis conducted to determine the project and that will justify the request for funds for the proposed project. The proposal should describe the tool was used or how the gap was identified, for example; THIRA, HIRA, Gap Analysis and etc.

Applicants must describe the project in detail by selecting the Mission Area and Core Capabilities the project supports towards fulfilling the National Preparedness Goal. In addition, all selecting which POETE the project supports.

Applicants must describe the primary goal of the project and how expenditures support the selected core capability. The project's goal must be followed with SMART objectives and outcomes that will identify how the gaps/shortfall will be lessened with the completion of the project.

Describe any challenges or risks that are not financial in nature that might inhibit the applicant's ability to complete the project successfully. If no such challenges or risks exist please explain why.

A specific, line item budget must be included with each proposal. All items included in the budget must be allowable, allocable, reasonable, and necessary. This can be demonstrated in both the narrative of the proposal as well as the narrative of the budget. Budget line items must be specific, for example, a line item for training will not be acceptable. The line item should include the specific training that is needed, such as, ICS Training.

Please find an outline of the proposal template in Appendix D.

Pre-award costs are not allowable.

Important Program Changes

IDHS have made some changes to the programs for the coming year and outlined those changes below.

EMPG Local Base Award:

IDHS will not be funding this project with FY 2016 EMPG Funds.

EMPG Competitive Projects:

EMPG Competitive Projects are open to all local and state agencies that would like to apply for EMPG funds and have projects that are eligible to be funded. There is a limited amount of funds available for this project. This will be a highly competitive grant program. Not all projects will be funded.

Funding Restrictions

Federal funds made available through this sub award may only be used for the purpose set forth in this award and must be consistent with the statutory authority for the award. Sub 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.

Environmental Planning and Historic Preservation (EHP) Compliance

As a Federal agency, DHS/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 DHS/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 DHS/FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, DHS/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 before funds are released to carry out the proposed project. DHS/FEMA will not fund projects that are initiated without the required EHP review.

Additionally, all recipients are required to comply with DHS/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

Sub recipients who receive awards 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 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. 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 DHS/FEMA HQ Program Analyst on such investments before developing applications.

VI. FUNDING GUIDELINES

Sub recipients must comply with all the requirements in 2 C.F.R. Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards). The 2 C.F.R. Part 200 can be found at the following link: http://www.ecfr.gov/cgibin/textidx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl.

In general, recipients should consult with their IDHS Program Manager prior to requesting anything that does not clearly meet the allowable expense criteria established by the NOFO. Funding guidelines established within this section support the six mission areas— Common, Prevention, Protection, Mitigation, Response, and Recovery—and associated 32 core capabilities within the Goal.

Allowable projects made in support of the EMPG priorities as well as other capability enhancing projects must fall into the categories of POETE (planning, organization, exercises, training, or equipment).

Direct Costs

Planning

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

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

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

Emergency Management/Operation Plans

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

- Developing/enhancing large-scale and catastrophic event incident plans

Communications Plans

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

Continuity/Administrative Plans

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

All-of-Nation/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 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

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>.

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; and supporting fusion center analysts who are directly involved in all-hazards preparedness activities as defined by the Stafford Act.

Any positions funded with EMPG funds must meet the training and exercise requirements for reimbursement of expense can be made. Those requirements are as follows:

- NIMS Training, Independent Study (IS) 100, IS 200, IS 700, and IS 800, and other Independent Study courses identified in FEMA Professional Development Series. 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>.
- Participate in no fewer than three exercises in a 12- month period.

Equipment

Allowable equipment categories for the EMPG Program are listed on the web-based version of the Authorized Equipment List (AEL) at <http://www.fema.gov/preparedness-non-disaster-grants> under the heading Authorized Equipment List or <http://www.fema.gov/grants>. 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 sub recipients have questions concerning the eligibility of equipment not specifically addressed in the AEL, they should contact the IDHS EMPG Program Manager for clarification. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Large equipment purchases must be identified and explained. For more information regarding property management standards for equipment, please reference 2 C.F.R. Part 200, including 2 C.F.R. §§ 200.310, 200.313, and 200.316.

Controlled Equipment

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

Requirements for Small Unmanned Aircraft System

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

Training

EMPG Program funds may be used for a range of emergency management-related training activities to enhance the capabilities of state and local emergency management personnel through the establishment, support, conduct, and attendance of training. Training activities should align to a current, Multi-Year TEP developed through an annual TEPW. Further guidance concerning the TEP and the TEPW can be found at <http://www.fema.gov/exercise>. Training should foster the development of a community oriented approach to emergency management that emphasizes engagement at the community level, strengthens best practices, and provides a path toward building sustainable resilience.

EMPG Program funds used for training should support the nationwide implementation of NIMS. The NIMS Training Program establishes a national curriculum for NIMS and provides information on NIMS courses; recipients are encouraged to place emphasis on the core competencies as defined in the NIMS Training Program. The NIMS Training Program can be found at http://www.fema.gov/pdf/emergency/nims/nims_training_program.pdf.

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/pdf/emergency/nims/nims_cred_guidelines_report.pdf.

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.

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 AAR/IP and addressed in the training cycle.
- 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.
- Certification/Recertification of Instructors
 - Costs associated with the certification and recertification of instructors are allowed. Sub recipients 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
 - The services of contractors/consultants may also be procured to support the design, development, conduct and evaluation of exercises.
- Overtime and Backfill
 - The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or FEMA, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- Travel
 - Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise activities.
- Supplies
 - Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise activities (e.g., gloves, non-sterile masks, and disposable protective equipment).
- Implementation of HSEEP
 - This refers to costs related to developing and maintaining an exercise program consistent with HSEEP.

- Other Items
 - These costs are limited to items consumed in direct support of exercise activities such as the rental of space/locations for planning and conducting an exercise, rental of equipment, and the procurement of other essential nondurable goods. Recipients are encouraged to use free public space/locations, whenever available, prior to the rental of space/locations. Costs associated with inclusive practices and the provision of reasonable accommodations and modifications that facilitate full access for children and adults with disabilities are allowable
- Unauthorized exercise-related costs include:
 - Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles) and emergency response apparatus (e.g., fire trucks, ambulances). The only vehicle costs that are reimbursable are fuel/gasoline or mileage.
 - Equipment that is purchased for permanent installation and/or use, beyond the scope of exercise conduct (e.g., electronic messaging signs)
 - Durable and non-durable goods purchased for installation and/or use beyond the scope of exercise conduct

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

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

VII. ADDITIONAL INFORMATION

Supplanting

Federal funds must be used to supplement existing funds for program activities and cannot replace or supplant nonfederal funds that have been appropriated for the same purpose.

Monitoring

IDHS must monitor sub recipients as a requirement of the federal award to assure compliance with applicable federal and state requirements and performance expectations are being achieved.

Sub recipients will be monitored by the IDHS Grants Management Compliance Monitor using a combination of desk reviews and site visits.

Determinations for those entities that will be monitored are made based on the IDHS Grants Management Risk Assessment.

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 EMPG Program Manager within five days of learning of the conflict of interest. Similarly, subrecipients 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, or his or her partner has a close personal relationship, a business relationship, or a professional relationship, with an applicant, sub applicant, recipient, subrecipient, or FEMA employee.

Financial and Compliance Audit Report

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 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 the requirements of Government and 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=55b4da49c95a0c0f5dcd984d39e4ea0f&mc=true&node=se2.1.200_1501&rgn=div8.

VIII. CONTRACT & APPLICATION REQUIREMENTS

All applicants awarded a grant must agree to the following:

- Enter into a Sub Grant Agreement between the IDHS and the sub recipient and agree to abide by all provisions of the Sub Grant Agreement.
- Abide by all the federal terms and conditions in the sub grant agreement.
- Must be able to sign the agreement electronically using the State's Supplier Contracts module.
 - Applicants do NOT need to provide a resolution to determine the signatory for grant agreements.
 - Applications must include the signatory information in the submitted proposal.
- Submit all reports in the prescribed format and time frames as determined by the IDHS.
- Comply with federal cost principals contained in the 2CFR 200 found at http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl
- Report on the funding you receive to be in compliance with the Federal Funding Accountability Transparency Act (FFATA). All grantees receiving federal funds must begin reporting on the grant-funded activities if they receive \$25,000 or more in federal funds per grant. You are required to provide your DUNS number, award amount and date, project description and location of the funded work, on the form provided in your grant award packet from ICJI. This information will be posted to a dedicated web site, USASpending.gov.

IX. SELECTION PROCESS

Financial Risk Assessment

One aspect of the Uniform Guidance 2 CFR Part 200 Uniform Administrative Guidance, Cost Principles, and Audit Requirements for Federal Awards is the addition of new language that requires both federal and pass-through entities to review the merit and risk associated with a potential grant recipient prior to making the award. In evaluating the risks posed by grant applicants, the awarding agency may use a risk-based approach and consider any items such as: financial stability, quality of grant management systems, history of performance, quarterly performance reports, and audit findings.

IDHS has developed a risk assessment tool that will be used to measure the risk of awarding grant funds to applicants. The score created by the tool will be included in the overall scoring of the proposal and will also be used as indicator for monitoring if an award is made to the applicant.

Please find a copy of the Risk Assessment in Appendix A.

Scoring

IDHS staff will form a Sub Recipient Proposal Scoring Committee. IDHS Grants Management staff will conduct an initial screening of the proposal to check for completeness of the application. The committee will then review each proposal and score the proposal using the following score sheet:

The Committee will make recommendations based on the scores of all proposals to IDHS Executive Staff. The Executive staff will review and make recommendations to the IDHS Executive Director. The Executive Director will make the final approval of all funding decisions.

Applicants can request a copy of the scoresheet and any comments that were provided by the scorers after awards have been made.

Please find a copy of the Scoresheet in Appendix B.

XI. AWARD NOTIFICATION

Notification of award approvals will be sent via email to the sub recipient in the form of an award letter. The award letter will include the following:

- Sub Recipient Name
- Sub Recipient Award Amount
- Sub Recipient Performance Period
- Federal Award Identification Number (FAIN)
- Total Amount of the Federal Award
- Federal Awarding Agency
- Federal Award Date
- CFDA Number

The award letter will provide if applicable any special conditions that must be met or resolved prior to reimbursement.

The sub recipient will be required to sign and return the award letter by the date provided in the letter.

XII. REPORTING

Quarterly Program Reports

Reports are due quarterly for this program on the following dates:

Reporting Period	Report Due Date
October 1 – December 31	January 15
January 1 – March 31	April 15
April 1 – June 30	July 15
July 1 – September 30	October 15

Program reports are intended to update IDHS Grants Management Staff of the status of the project and to indicate if any assistance or guidance is needed to successfully complete the project. Program reports are required and should be submitted on time. Incomplete, incorrect or late reports could impact the sub recipient's ability to receive future grant funding.

Closeout Reporting Requirements

IDHS will close out the grant sub award when it determines that all applicable administrative actions and all required work of the award have been completed by the sub recipient. This section summarizes the actions that the recipient must take to complete the closeout process in accordance with 2 C.F.R. § 200.343 and IDHS policy and procedure.

Within 45 days of the end of the period of performance sub recipients must submit a final program report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance.

Additionally, the sub recipient must liquidate all obligations incurred under the award no later than 45 calendar days after the end date of the period of performance. If a sub recipient fails to liquidate their obligations within this time period, IDHS may disallow the costs associated with those unliquidated obligations.

The sub recipient must have updated the iGMS Inventory module to include any equipment purchased with grant funds.

After final reports have been reviewed and approved by IDHS Grants Management Staff, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds the recipient has not drawn down that will be deobligated, and address requirements for record retention, and disposition and reporting requirements for any equipment purchased using EMPG grant funding.

Other Reports

IDHS Grants Management Staff may ask for additional reports throughout the grant period. These reports could include but are not limited to exercise reports, training reports, financial data/reports, THIRA/HIRA or gap analysis and equipment inventory reports.

XIII. IDHS CONTACT INFORMATION

If you have any questions, please contact your Program Manager or IDHS Grants Management at grants@dhs.in.gov.

APPENDIX A

Risk Questions	Yes	No	Comment
1. Has the sub recipient staff and/or organization remained constant or no staff changes since last review?			
2. Has the sub recipient's programmatic performance been satisfactory (medium or low risk) for more than one type of award?			
3. Have the sub recipient's quarterly reports been accurate and submitted on time?			
4. Did the sub recipient comply with fiscal requirements of the grant?			
5. Did the sub recipient's prior monitoring reviews have findings? If so, were the findings corrected?			
6. Did the sub recipient submit or provide correct documentation for expenditures?			
7. Did the sub recipient utilize all funds?			
8. Were unused grant funds returned by sub recipient as required by 2CFR 200.345?			
9. Did the sub recipient have zero findings in their previous A-133 audit regarding funds provided by IDHS (pass-through entity)?			
10. Did the sub recipient fulfill all requirements of the grant/s related policy(ies)?			
Totals	0	0	
Overall Total	0		

APPENDIX B

Section A: Problem Statement	
1. Did the applicant clearly identify a gap or shortfall?	0-5
2. Did the applicant describe clearly how the gap was identified?	0-5
3. Did the applicant describe the impact the gap has on the community?	0-5
Section Total	15
Section E: Project Summary	
1. Did the applicant provide a detailed summary, scope of work, or purpose?	0-5
2. Did the applicant describe how the mission area, core capability, and POETE align properly to the project summary?	0-5
3. Does the project described address the gap outlined in the Problem Statement?	0-3
4. Did the applicant explain how the expenditures will support the core capability?	0-3
5. Does the reader feel they have a complete understanding of the project?	0-3
Section Total	19
Section F: Project Goals and Objectives	
1. Did the applicant describe the goal clearly and concisely?	0-5
2. Are the objectives SMART objectives? Are they specific, measurable, attainable, relevant, and time-bound?	0-5
3. Did the applicant explain how any gaps will be lessened due to the desired outcomes of this project?	0-3
4. Do the goal and the objectives relate directly to the project described in the Project Summary?	0-3
Section Total	16
Section G: Challenges and Risks	
1. Did the applicant describe any challenges and/or risks? Yes/no	
1a. If yes: Did the applicant describe the challenges and/or risks and if they can be mitigated for success of the project?	0-4
1b. If no, Did the applicant describe why there are no challenges and/or risks associated to this project?	0-4
Section Total	4
Budgeted Items	
1. Are the budget items all allowable, allocable, reasonable and necessary for the described project?	0-4
2. Are all budget items included in the correct budget category?	0-2
3. Are all items in the budget specific?	0-2
4. Do all budget line items include detailed narrative to describe the item?	0-2
5. Are computations included with each line item where required?	0-2
Section Total	12
Risk Assessment	
A Risk Assessment is completed by Grants Management Compliance Monitoring Staff. Should be included prior to scoring with 0 being high risk and 10 being low risk. All new agencies will automatically receive a 0 for high risk.	0-10
Section Total	10
Total Score	
	76

APPENDIX C

FY16 EMPG Competitive Template

I. Identification Information

- A. Applicant Information
- B. Financial Officer contact information
- C. Name of Authorizing Signatory for Grant Agreement

This person is the authorized signatory for the entity submitting for this grant.

- D. Additional Information
 - 1. Discrimination
 - 2. FFATA

II. Proposal Information

Please select whether this is a new project or sustainment.

New/Sustainment

A. Problem Statement

Describe the identified gap/shortfall and the impact on your community. What tool was used to identify said gap/short?

(Narrative box 2500 characters)

EMPG supports investments that must follow the National Preparedness Goal: "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." Please select what Mission Area, Core Capability, and POETE that your project supports towards fulfilling the National Preparedness Goal.

- B. Mission Area (applicant selects one of the following: Common, prevention, protection, mitigation, response, recovery)
- C. Core Capabilities (applicant selects one of the 32 core capabilities)
- D. POETE (applicants select one that supports project: Planning, Organization, Equipment, Training, Exercise)

E. Project Summary:

Provide a summary/scope of work/purpose. How does your project tie back to the selections you made? Describe the project that will justify the request for proposed funds.

(Narrative box 2500 characters)

F. Project Goals and Objectives.

2 Parts: 1) Explain the primary goal of your project; Describe how your project and/or expenditures will support your selected core capability 2) Describe your desired objectives or outcomes, including expected long-term impact, where applicable, and explain how the gap/shortfall will lessen because of this project. (Objectives should be SMART specific, measurable, attainable, relevant, and time-bound).

(Narrative box 2500 characters)

(Narrative box 2500 characters)

G. Challenges and Risk

*Describe any challenges or risk that may impact the planned implantation of this project, beyond the financial need.
(Narrative box 2500 characters)*

H. Environmental Historical Screening Memorandum.

Does this project require new construction, renovation, retrofitting or modifications of existing structure: yes or no

III. Tie to funds and Build Budget

Click the Add Funds link and select the appropriate funding from the drop down box provided.

Click the Add button to tie the funds to the proposal.

Click the amount in the Budgeted column to open the budget to create, complete and submit your budget.

APPENDIX D

Letter of Intent

To: IDHS Grants Management

From: Enter name of Point of Contact

Date: Monday, May 09, 2016

RE: Fiscal Year 2016 Emergency Management Performance Grant Program (EMPG): Competitive Grant Program
Intent to Apply for Funding

1. Description of the project: Click here to enter text.
2. Legal Name of Entity: Enter the name associated with the Federal TAX ID number
3. DUNS #:Click here to enter text.
4. Federal Tax ID #:Click here to enter text.
5. Do you already have an iGMS login? Enter Yes or No
 - a. If no, please complete the following:
 - i. Indiana Grants Management System (iGMS) Point of Contact: (Person who will be completing the proposal budget and submitting the Request for Expenditures (RFES))
 1. Name: Click here to enter text.
 2. Email: Click here to enter text.
 3. Telephone Number: Click here to enter text.

** Your agency may submit multiple proposals via one letter of intents. Please include the description of each project separately under Question 1.