

# **KANSAS DIVISION OF EMERGENCY MANAGEMENT**

## **Emergency Management Performance Grant (EMPG)**

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*Multi-Year Subrecipient Guidance*



*Updated February 25, 2019*

## **MULTI-YEAR GRANT GUIDANCE**

The primary intent of this multi-year program guidance is to serve as a support guide for Emergency Management Performance Grant (EMPG) Program subrecipients in Kansas to assist county emergency management programs to plan EMPG eligible program activities strategically across multiple years using the same programmatic guidance and guidelines.

Annual EMPG awards are subject to the availability of federal funding. To the extent federal funding becomes available to KDEM to make sub-awards, KDEM will email EMPG applications to subrecipients. KDEM will convey any new annual federal or state requirements to the subrecipient at the time of the annual application release.

The guidance in this document is subject to change based on new laws, Executive Orders or regulations enacted after publication. This guidance is applicable only to the EMPG program.

The Catalog of Federal Domestic Assistance number for the EMPG program is 97.042.

## **PROGRAM INFORMATION**

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 eligible expenses.

The EMPG program plays an important role in the implementation of the National Preparedness System (NPS) by supporting the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal of a secure and resilient nation.

State of Kansas leaders recognize both state and local governments must work together to protect their citizens by developing comprehensive, risk-based, all-hazard 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-hazard 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 and recovery from any threats or actual disaster or emergency, regardless of the cause.

## **PURPOSE OF THE GRANT**

The EMPG Program is to assist your county government in enhancing and sustaining an all-hazard emergency management program for the protection of life and property in your communities.

## ANTICIPATED EMPG PROGRAM PRIORITIES

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

- 1) Alignment of the EMPG program to the National Preparedness System;
- 2) Reporting on the implementation of the National Preparedness System;
- 3) Building and sustaining Core Capabilities;
- 4) NIMS implementation;
- 5) Planning to deliver Core Capabilities;
- 6) Validating Core Capabilities through training and exercises;
- 7) Reviewing and updating capability levels to determine if they remain relevant; and
- 8) Strengthening governance integration.

Funds provided through EMPG subrecipients shall be used for emergency management programs to accomplish the following initiatives:

- Update of Threat and Hazard Identification and Risk Assessments (THIRA);
- Planning activities, included but not limited to County Emergency Operations Plans (CEOPs), Continuity of Operations (COOP), strategic planning, mitigation planning, debris removal plans, etc.;
- Sustain critical core capabilities;
- Develop and maintain multi-year training and exercise plan;
- Target training and verify capability of personnel.

## PERFORMANCE PERIOD

The period of performance for subrecipients is January 1 through December 31 of each year.

## GRANT MATCH REQUIREMENTS

The EMPG Program requires a cost share at 50 percent federal and 50 percent non-federal share. The match can be cash or in-kind.

1. Cash Match (hard) includes non-federal cash spent for project-related costs, according to the program guidance. Allowable cash match must only include those costs which are in compliance with 2 CFR Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*.
2. In-kind Match (soft) includes, but is not limited to, the valuation of in-kind services. "In-kind" is the value of something received or provided that does not have a cost associated with it. More information can be found in 2 CFR Part 200, Subpart D, Section 200.306.
  - a. In-kind matches may consist of subrecipient contributions such as property, or third party contributions including services, equipment or property.
    - i. To qualify as in-kind the following conditions apply.
      1. Must be necessary and reasonable to accomplish the project objective.
      2. Cannot be from a federal source.

3. Cannot be program income.
  4. Cannot be used to match another federal grant.
  5. Must apply to the cost-sharing requirement of the grant.
- ii. In kind contributions must be documented and verifiable in the subrecipient records. Records must be maintained to support how the value of the in-kind contribution was determined.

## **ELIGIBLE SUBRECIPIENTS**

Eligible county governments are those that:

- 1) Submit an EMPG application;
- 2) Employ an emergency management director/coordinator as defined in KAR 56-2-2;
- 3) Successfully completed prior EMPG requirements and reports;
- 4) Are in compliance with the 2 CFR Part 200 *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*;
- 5) Are in compliance with the Non-Construction Program Assurances and the Drug-Free Workplace Requirements;
- 6) Are in compliance with KSA 48-929 et al (which may be found at [http://www.ksrevisor.org/statutes/ksa\\_ch48.html](http://www.ksrevisor.org/statutes/ksa_ch48.html) under Article 9), and KAR 56-2-2 (which may be found at [http://www.kssos.org/pubs/pubs\\_kar.aspx](http://www.kssos.org/pubs/pubs_kar.aspx) under Agency 56, Article 2, Regulation 2) ;
- 7) Maintain a system of personnel administration in conformance with standards prescribed by the Office of Personnel Management. Reference 5 CFR, Part 900, Subpart F, "*OPM Standards for a Merit System of Personnel Administration*";
- 8) Agree to submit to KDEM reports, both the programmatic report of activities and reimbursement package, After Action /Improvement Plans, and other supporting documentation in the format as requested.

## **FUNDING AMOUNT/FORMULA**

Annual EMPG funding levels will be based on available grant funds and feasibility of the jurisdiction to expend the funding. Award amounts may be reduced due to unsuccessful completion of prior EMPG requirements and reports.

The criteria for determining awards will be the same as in previous fiscal years. The breakdown in distributions is made in the following manner:

- Population
- Vulnerable needs population
- Income and jobs/property and assessed values
- Livestock and crops
- Transportation and hazardous materials

Host counties sharing a county director/coordinator will receive an additional base award of \$5,000 per county.

## **PENALTY FOR NON-COMPLIANCE**

Penalty for non-compliance of activities is:

- Reduction of 50% of EMPG award if county does not have a County Emergency Operations Plan (CEOP) approved by KDEM within the last 5 years.

CEOP status concerning EMPG eligibility shall be determined on January 1 each calendar year. If a county is deemed eligible on January 1, they shall maintain eligibility the entire calendar year. If a county does not meet CEOP requirements on January 1, but meets CEOP requirements prior to EMPG award letters, they shall meet the CEOP EMPG requirement.

Exercise and training requirements shall be determined on January 1 each calendar year and also will be updated with any change in Federal requirements as necessary during the year.

## **EMPG WORK PLAN REQUIREMENTS**

Yearly subrecipient work plans are expected to ensure that emergency management capabilities are developed and maintained in local jurisdictions sufficient to provide the basis for dealing effectively with catastrophic disasters and homeland security emergencies. Annual EMPG subrecipient work plans will be in the form of projects which will include reporting on:

- Administration of the program
- Advancing “Whole Community” Security and Emergency Management and Building and Sustaining Core Capabilities through:
  - Planning and Mitigation
  - Training and Exercising
  - Public Outreach activities/Education/Program enhancement activities
  - Emergency Operations Center (EOC) Readiness, Response and Recovery

## **ALLOWABLE COSTS**

- 1) Administration of the Program
- 2) As provided in law, EMPG funds may be used for all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management. Proposed staffing activities should link to achieving goals outlined in the EMPG work plan.
- 3) Personnel Expense: Personnel costs, including gross salary, overtime, compensatory time off, and associated fringe benefits including matching expenditures. These costs must comply with 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Personnel costs should link to achieving objectives outlined in the EMPG work plan.
- 4) Operating Expense: This includes costs to operate the county emergency management agency to include, at a minimum:
  - a. Rent for meetings and classrooms;
  - b. Information technology capabilities (servers, switches, workstation license keys in support of Comprehensive Resource Management & Credentialing System (CRMCS) Project);
    - i. Contracts cannot extend past the grant performance period.

- c. Office supplies that directly support the local emergency management program;
  - d. Computers including laptop and desktops, printers and plotters related to administrative purposes that directly support the local emergency management program;
  - e. Emergency Operations Center workstations;
  - f. Radios (radio purchases must be pre-approved by KDEM) and pagers for administrative purposes; emergency alert notification systems that directly support the local emergency management program;
- 5) Professional dues [i.e. Kansas Emergency Management Assn. (KEMA), International Assn. of Emergency Managers (IAEM)]. Dues must be specific to emergency management related duties.
- 6) Planning, Exercising, Training
- a. EMPG funds may be used for a wide range of emergency management planning activities -- including but not limited to Emergency Operations Plans (EOPs), Continuity of Operations (COOP) Plans, recovery plans, debris management plans, Standard Operating Guidelines (SOGs), completion of Threat and Hazard Identification and Risk Assessment (THIRA), etc. (See Planning requirements in Section Annual EMPG Requirements)
  - b. EMPG funds may be used to design, develop, conduct, and evaluate emergency management related exercises. Exercises must be consistent with the principles outlined in the Homeland Security Exercise and Evaluation Program (HSEEP) and procurement related requirements. (See procurement section below.) Exercises using EMPG funding must be NIMS compliant and an After Action Review (AAR)/Improvement Plan (IP) must be completed and submitted to KDEM through the online KETS system. (See Exercise requirements in Section Annual EMPG Requirements)
  - c. EMPG funds may be used for travel costs associated with emergency management- related training activities (e.g., airfare, mileage, per diem, and hotel) for personnel who are on travel status for official business related to EMPG-approved training. EMPG funds may also be used to rent facilities, purchase materials and supplies, and rent equipment for training purposes.
- 7) Public Education and Awareness
- a. EMPG funds may be used for a wide range of public education and awareness activities, including but not limited to: training campaigns, brochures, fairs, public service announcements, etc.
  - b. Enhancing citizen preparedness programs, teams, and the advancement of a whole community approach.

## **INELIGIBLE COSTS**

It is the responsibility of the subrecipient to determine eligibility of purchases before expending funds. The following list is designed to provide general guidance.

1. Food (other than per diem), automobile fuel, and automobile repair and maintenance expenses are not allowable reimbursement costs.
2. Vehicle purchases are not eligible.
3. Construction is not eligible.
4. EMPG funds may not be used 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.
5. Weapon systems and ammunition costs are not eligible.

6. Equipment purchases are NOT allowable.
7. The federal government defines equipment, covered in 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements, as an item of non-expendable, tangible personal property, having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of the capitalization level established by the recipient organization for financial statement purposes, or \$5,000.

## **NON-SUPLANTING**

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

## **PROCUREMENT**

Subrecipients must adhere to 2 CFR Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements*, Subpart D: Procurement when you use EMPG funds to procure a “service contract”. A “service contract” means a contract that directly engages the time and effort of a contractor whose primary purpose is to perform an identifiable task rather than to furnish an end item of supply.

# EMERGENCY MANAGEMENT PERFORMANCE GRANT (EMPG) SUBRECIPIENT AGREEMENT/APPLICATION

## SUBGRANT AWARD PROCEDURE

KDEM will evaluate applications and award subrecipient funds. Subrecipients will be notified by KDEM in an award letter accompanied by the signed EMPG subrecipient agreement.

Annual funding awards will be made contingent upon satisfactory completion of deliverables funded in the current and prior years, to include timely submission of reports. The KDEM Deputy Director may reduce the baseline funding award to a subrecipient that has not completed deliverables funded in the previous fiscal year(s) or suspend the subrecipient from the program until a future program year. Additionally, KDEM will continue to monitor the performance of applicants who fail to submit a report by the due date and funding may be withheld for reoccurring poor performance. Monitoring of this grant by KDEM staff may include technical assistance, site visits, and desk audits. See the Monitoring section for more information.

An Annual Budget (EMPG04) form will be submitted with the county's application, projecting all EMPG expenses to occur in that grant year. For Quarters 1-4, the Quarterly Financial Report (EMPG03), Reimbursement Request Form (EMPG05) and Statement of Work & Quarterly Performance Report (EMPG02) are to be submitted.

## SIGNATURES REQUIRED ON EMPG PROGRAM DOCUMENTS

Certain individuals, as identified on the on the EMPG Application, must sign specified EMPG obligating documents (award, amendments, etc.). These officials are:

1. 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.
  - a. The project manager is the primary point of contact for KDEM.
2. 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 county governments, this is typically the County Commissioner or County Administrator.***
3. Chief Financial Officer: This should be the chief financial officer, treasurer, or clerk of the applicant jurisdiction or organization. This is the person who will be contacted by the KDEM staff if questions arise regarding financial aspects of the grant.

## STATEMENT OF WORK (SOW) REPORT (EMPG02)

Each report submission will include a completed Statement of Work (Form EMPG02). This form will be used to report the work activities.

Indicate any other activities that you plan to be carried out in support of your goals and objectives. The Project Manager will provide progress quarterly in the Comment block.



In order for subrecipients to be eligible to receive annual grant funds, they must comply with the following:

### Program Administration

1. Complete and submit **signed** Statement of Work and accompanying documents, to be included with Application (proposed activities for the year) and with the progress reports (actual activities completed for the cumulative time reported).
2. Complete and submit quarterly EMPG performance reports to KDEM. EMPG02 (Statement of Work), EMPG03 (Fiscal Report), and EMPG05 (Reimbursement Request) Reports are due no later than January 30<sup>th</sup> for Quarters 1-4 (January-December of the preceding year)[may be combined]
3. Submit Annual Budget (EMPG04), to be included with Application
4. Submit annually a current Position Description for each individual who is funded with EMPG dollars in your emergency management program, to be included with Application.
5. Submit county 2CFR/A-133 (Single Audit) certification form (and associated copy of audit if county receives \$750,000+ in annual Federal funding).
6. Submit annual Summary Sheet for Assurances and Certifications.

### Planning Required Activity

1. EMPG funds can be used to develop and/or update your County Emergency Operations Plans (CEOPs) and, if necessary, these funds may be used to secure a contractor to meet these efforts. The following are requirements:
  - a. County shall meet KDEM Policy Directive # 2002- "County Emergency Operations Plans (CEOPs) and Emergency Management Performance Grant (EMPG) Eligibility". County shall provide a digital copy of CEOP to KDEM for eligibility determination.
  - b. Counties shall demonstrate an inclusive planning process. Examples of acceptable documentation could include: meeting minutes, sign-in sheets, email correspondence, etc.
  - c. Counties shall write to the current Kansas Planning Standards (KPS).
  - d. When using contractor(s):
    - i. Counties shall have one deliverable be "an approved plan", not just submission to the state.
    - ii. KDEM Planning Branch must approve the scope of work for plan revision.

### Training Required Activities

- 1) All EMPG funded personnel are expected to be trained emergency managers. Training activities should align to a current, multi-year training and exercise plan (TEP) developed through an annual Training and Exercise Planning Workshop (TEPW) and are built from training gaps identified during exercises and real events.

Standards for local disaster agencies [K.A.R. 56-2-2] outlines the basic functions of the agency which shall include (G) the development and coordination of a local emergency preparedness training program.

- 2) Comply with training grant requirements as set forth in FEMA's latest EMPG Notice of Funding Opportunity (NOFO).

- a. Complete and submit training certificates (proof of completion) for the following independent study courses within two years of employment; these Professional Development Series courses are located at, <https://training.fema.gov/is/crslist.aspx>
- i. An Introduction to Exercises – IS 120.c
  - ii. Fundamentals of Emergency Management – IS 230.d
  - iii. Emergency Planning – IS 235.c
  - iv. Leadership and Influence – IS 240.b
  - v. Decision Making and Problem Solving – IS 241.b
  - vi. Effective Communication – IS 242.b
  - vii. Developing and Managing Volunteers – 244.b

Note: Completion certificates from the Emergency Management Professionals Program (EMPP) Basic Academy can be substituted for the above Professional Development Series Independent Study (IS) courses.

These training requirements apply to the following:

- County Emergency Management Directors/Coordinator(s)
- Assistant or Alternate County Emergency Manager/Coordinator
- Staff who work directly for the County Emergency Manager and are “Paid” (Regardless of county or EMPG funding)

- b. National Incident Management System (NIMS) Training requirements include:

- i. Introduction to The Incident Command System (ICS) – IS 100.c
- ii. ICS for Single Resources and Initial Action Incidents – IS 200.b
- iii. An Introduction to The National Incident Management System (NIMS) – IS 700.b
- iv. An Introduction to The National Response Framework – IS 800.c

These training requirements apply to the following:

- County Emergency Management Directors/Coordinator(s)
- Assistant or Alternate County Emergency Manager/Coordinator
- Staff who work directly for the County Emergency Manager and are “Paid” (Regardless of county or EMPG funding)
  
- Elected officials are exempt, however, county emergency management staff is encouraged to make available the G402 course “*ICS Overview for Executives/Senior Officials*” for their elected officials, to their Board of County Commissioners, and other key officials within the jurisdiction. (Contact the KDEM Training Office for more details)

Note: ICS 300 is not a requirement but is encouraged. If training recipients are going to take ICS 300, it is the recommendation of FEMA to take the ICS 200 in a classroom setting versus taking it as an independent study course. ICS 400 is only going to be offered to individuals that will fill a Command role during an expanding incident. Any local application to attend an ICS 400 course will be vetted through the respective County Manager by the KDEM Training Office.

As new ICS courses are developed and released, it is recommended, but not required, to hold certification in the most current version available. KDEM training cadre members are required to certify in the most current version of all courses they teach.

- c. Proof of completion of training requirements shall be maintained and available when requested by DHS/FEMA during periodic reviews. Upon the completion of these above independent study courses, it is the responsibility of the training recipient to upload their training certificates to their KS-TRAIN online transcript at, [www.train.org/main/welcome](http://www.train.org/main/welcome).
  - i. Each user of KS-TRAIN has a learning management account in the system that can house all certificates of training completed.
  - ii. Certificates can be uploaded by signing-in and following instructions "Add an External Record" located in the Transcript tab. Training recipients may contact the KDEM Training Office for more detailed instructions.
  - iii. The FEMA Independent Study system does not automatically transfer records to KS-TRAIN, therefore, users will need to upload their own certificates.
- d. These training courses only have to be taken once to fulfill the requirements as long as proof of completion is maintained in the user's KS-TRAIN learning management account and is available for a DHS/FEMA periodic review.

### Exercise Required Activities

Exercises conducted should test and evaluate performance towards meeting capability targets for the core capabilities needed to address the jurisdiction's greatest risks. Exercises are to be progressive, and priorities should align to a current, Multi-Year Training and Exercise Plan (MYTEP) developed through an annual Training and Exercise Planning Workshop (TEPW).

Standards for local disaster agencies [K.A.R. 56-2-2] outlines the basic functions of the agency which shall include (F) the development and coordination of a local exercise program to test the capability of the jurisdiction to implement the emergency operations plan.

### Exercise Participation:

Local EMPG exercise funding compliance requires two levels of participation for any exercise:

- 1) Individual participation [credit]
- 2) County participation [credit]

"Individual" Exercise participation requirement applies to the following:

- a) County Emergency Manager/Coordinator(s);
- b) Assistant or Alternate County Emergency Manager/Coordinator; and
- c) Staff who work directly for the County Emergency Manager that are paid any amount from EMPG funding.
- d) Elected officials are exempt, however, encouraged to be engaged to ensure the exercise program has the support necessary for success.

- Each “**Individual**” funded with EMPG must:
  - Participate in a minimum of three exercises involving DHS/FEMA Core Capabilities in a calendar year (January 1 – December 31)
    - Participation includes Player, Facilitator, Controller/Simulator, or Evaluator (Observer does not meet the participation requirement).
      - e.g. Participation in your jurisdiction’s Training and Exercise Planning Workshop counts toward individual credit as well as county credit.
  
- Each “**County**” that receives EMPG funding must:
  - Conduct a minimum of three exercises involving DHS/FEMA Core Capabilities in a calendar year (January 1 – December 31) that test their own county plans:
    1. An annual Training and Exercise Planning Workshop (TEPW) is one of the three required exercises.
      - Whole community stakeholders are invited to this workshop to create a progressive, multi-year (3 years) Training and Exercise Plan (TEP).
      - Involving elected and appointed officials in establishing training and exercise priorities is encouraged.
    2. The two other required exercises may be any of the seven types of exercises identified by HSEEP and are consistent with the principles set forth by HSEEP methodology. To receive EMPG county credit, the exercise must be hosted within the jurisdiction requesting county credit.

Regional or Out-of-County Exercises:

- **Individual participation credit** can be awarded for those “participating” in exercises outside of their home jurisdiction (participation is defined by player, facilitator, controller/simulator, or evaluator). Confirmation of participation is verified through sign-in sheets/participant rosters.
  
- **Counties seeking county EMPG credit** for exercises conducted outside of their home jurisdiction must submit a Regional Exercise Application that includes information such as county stakeholders attending the exercise, specific county plans and capabilities tested, etc. The regional exercise application can be found on the KETS website, [www.kdemexercises.com](http://www.kdemexercises.com) under the Help tab and must be submitted and recognized prior to the exercise date.

Exercise Reporting:

- 1) All exercises supported/funded in whole or in part by grant dollars must be entered into the online exercise data management system, Kansas Exercise Tracking System (KETS) located at, [www.kdemexercises.com](http://www.kdemexercises.com). Directions, user manuals, and other guides for how to use the system are located under the Help tab in KETS.
  
- 2) Within 90 days after an exercise, the County Exercise Coordinator submits the following in KETS:
  - i. After Action Report (AAR) that documents your county’s participation in the exercise;

- ii. Improvement Plan (IP) **with at least three (3) corrective action assignments** that affect your agency/jurisdictional plans; and
  - iii. Sign-in sheets listing exercise participants.
- 3) Following the Training and Exercise Planning Workshop (TEPW), the County Exercise Coordinator submits the following in KETS:
- a. A current multi-year Training and Exercise Plan (TEP) outlining training and exercise priorities for a minimum of 3 years;
  - b. A list of the jurisdiction's priority DHS/FEMA core capabilities as defined in the National Preparedness Goal [www.fema.gov/core-capabilities](http://www.fema.gov/core-capabilities); and
  - c. Sign-in sheets listing workshop participants.

#### Other Exercise Program Requirements:

- 1) Each county must designate, in writing, an Exercise Program Manager.
  - a) The Exercise Program Manager:
    - a. Will be identified as the County Exercise Coordinator (or User) in KETS for submitting your county's exercise data and reports, and will serve as KDEM's exercise point of contact for the EMPG exercise program.
    - b. Must attend and complete Homeland Security Exercise and Evaluation Program (HSEEP) training; this individual is encouraged to attend other exercise development courses sponsored by KDEM.
- 2) All exercises funded with EMPG, HSGP, and/or HMEP funding must follow the principles outlined in the HSEEP; guidance may be located on the KDEM website, [www.kansastag.gov/KDEM.asp?PageID=193](http://www.kansastag.gov/KDEM.asp?PageID=193).

#### Substitute Exercise Credit for Real Incidents:

Real incidents may be considered for substitute exercise credit if specific criteria are met. In order to use a real incident for EMPG exercise credit, there is a specific application request form located on the KETS website at, [www.kdemexercises.com](http://www.kdemexercises.com). This application form outlines the criteria used to determine the eligibility requirement and is separated into two primary steps:

- Section 1: Incident Summary. There are seven (7) critical tasks that *must* be met for the application to be considered for substitute EMPG exercise credit.
  - If the real incident being considered as a replacement for an exercise cannot justify all seven critical tasks, the application will not be considered.
  - If the real incident being considered as a replacement for an exercise has the documentation necessary to show how each of the critical tasks were demonstrated, complete the remaining information in Section 1. Submit Section 1 with the necessary documentation to KDEM within 30 days of the conclusion of the incident.
- Sections 2 – 6: Analysis, Evaluation, AAR/IP
  - If Section 1 of the application is approved, the remaining sections of the application must be completed and submitted to KDEM within 60 days following notice of Section 1 approval.
    - a. Read the application in its entirety before submitting the request for approval.

- b. Real incidents cannot be used as exercise credit in two consecutive grant years, unless the second real incident is included in a Presidential Disaster Declaration.
- c. The expectations of using a real incident should not be placed on an approved multi-year Training and Exercise Plan (TEP).
- d. A real incident cannot be substituted for an annual Training and Exercise Plan Workshop (TEPW) as an exercise credit.
- e. The incident must have occurred within the grant-year calendar year (January 1 – December 31).
- f. Submission of this application attests to the belief that a real incident provided an extraordinary opportunity to test local plans, policies, and procedures beyond current, existing capabilities.
- g. This application pertains to incidents that are not pre-planned and/or annual community events.
- h. Do not submit a real incident event into KETS without prior approval from the KDEM Exercise Officer and/or Preparedness Branch Director.

### **National Incident Management System (NIMS) Implementation**

Prior to allocation of any Federal Preparedness Grant Awards, recipients must ensure and maintain adoption and implementation of NIMS. State of Kansas Executive Order 05-03 establishes the National Incident Management System (NIMS) as the state standard for incident management.

DHS/FEMA describes the specific activities involved in NIMS implementation and is a fundamental part of building national preparedness. NIMS Implementation Objectives for Local, State, Tribal, and Territorial Jurisdiction was released in 2018 and aims to promote consistency in NIMS implementation across the Nation. Objectives may be located at, [www.fema.gov/media-library/assets/documents/130743](http://www.fema.gov/media-library/assets/documents/130743).

Jurisdictions and organizations must achieve, or be actively working to achieve, all of the NIMS Implementation Objectives.

- The County Emergency Manager shall serve as the primary point of contact (POC) and principal coordinator for the implementation of NIMS.

### **Required Public Education/Awareness**

Conduct and participate in activities that increase citizen preparedness for disaster and emergencies based on current risks and threats. Sustain and enhance community resilience.

Report activities on Statement of Work (EMPG02)

### **Response & Recovery Coordination/EOC Readiness**

Establish, sustain, and/or enhance mechanisms in place for maintaining situational awareness with emergency management stakeholders; coordinate response and recover activities in support of incident management. Report on Statement of Work (EMPG02)

### **All EMPG02 Reports are due on the following:**

- No later than January 30th for Quarters 1-4 (January-December of the preceding year)[may be combined]

## **EMERGENCY MANAGEMENT PERFORMANCE GRANT FISCAL REPORT (EMPG03)**

Each subrecipient is required to submit a **signed** EMPG Fiscal Report (EMPG03) with their progress reports. The purpose of this form is to report emergency management dollars supported by the Emergency Management Performance Grant (EMPG). After the end of the year, the subrecipient should submit a copy of their year-to-date county expense report for the grant year, as backup verification for the amounts reported on the EMPG03 forms.

Reports are due on the following:

- No later than January 30th for Quarters 1-4 (January-December of the preceding year)[may be combined]

## **ANNUAL BUDGET FOR PERSONNEL & ADMINISTRATIVE EXPENSES (EMPG04)**

Each subrecipient is required to submit a **signed** Annual Budget for Personnel and Administrative Expenses. The purpose of the report is to document your County's annual EMPG and county expenditures.

## **EMPG SUBRECIPIENT REIMBURSEMENT REQUEST FORM (EMPG05)**

### Reimbursement procedure

To receive reimbursement of eligible EMPG costs, subrecipients must mail the **signed** EMPG Subrecipient Reimbursement Request Form(s) (EMPG04) along with necessary source documentation to KDEM. Reimbursement of Subrecipient expenditures requires determination of allowable cost and acceptable source documentation. The purpose of source documentation is to document what the expenditure was for and that expenditure did occur. Source documentation includes submission of copies of the original invoice to determine allowable cost and either a copy of payment record or pay stub.

Costs associated with law enforcement, fire, 911 or search and rescue cannot be included in the application budget. Although certain aspects of these activities intersect with emergency management for coordination, they are first-responder responsibilities with different funding sources. EMPG funding is for emergency management.

Reports are due on the following:

- No later than January 30th for Quarters 1-4 (January-December of the preceding year)[may be combined]

## MONITORING

The Kansas Division of Emergency Management (KDEM) will perform EMPG grant monitoring. EMPG grant monitoring is designed to provide assistance to the Subrecipients both from a technical and programmatic standpoint, as well as to assist KDEM in identifying areas of need for subrecipient support. Monitoring also is used to ensure the subrecipient is complying with state and federal guidelines.

### Monitoring visits

Monitoring visits may consist of programmatic and financial review, or any combination thereof. The monitoring may take place by phone, review of documents submitted to KDEM and/or on-site visits. Subrecipients will receive advance notice of on-site visits by KDEM. KDEM reserves the right to conduct multiple monitoring visits if irregularities exist in management of projects.

KDEM reserves the right to factor in monitoring visit discrepancies in determining whether or not to accept current subrecipient reimbursement requests and/or to fund future subrecipient projects.

## APPEALS

Should a subrecipient appeal an unfavorable action written by KDEM, the following procedure will be used:

- Within 30 working days of the receipt of the notice of the action, the subrecipient will submit to the KDEM Deputy Director a written notice of appeal. The notice of appeal should clearly identify the exact action that is being appealed and contain the relevant facts and explanations upon which the appeal is based.
- The KDEM Deputy Director will provide the subrecipient with a written response within 30 working days of receipt of the notice of appeal. The determination by the Deputy Director is final.

## SUBMISSION OF APPLICATION AND REPORTS

To reiterate, the Kansas EMPG program requires submission of an annual Grant Application Package and subsequent Report forms. The application packages and other updated forms will be sent to each county emergency manager annually after KDEM applies to FEMA for the EMPG grant. The associated checklists, forms, and program details are also posted on the KDEM EMPG website at:

<http://www.kansastag.gov/KDEM.asp?PageID=411>.

The required forms currently include:

- Annual Application Form
- Statement of Work Report (EMPG02)
- Fiscal Report (EMPG03) and backup documentation
- Budget Form (EMPG04)
- Reimbursement Form (EMPG05)
- Training documentation (not already submitted to KDEM)



- Submission of Exercise Activities in the online KETS system at:  
<https://www.kdemexercises.com/login>
- 2CFR/A-133 (County Single Audit) certification form (with copy of associated audit report if your county receives \$750,000+ in annual Federal funding).
- Summary sheet for Assurances and Certifications

All **SIGNED** forms may be mailed, faxed, or scanned/emailed:

Mail:

Kansas Division of Emergency Management

Attn: Bret Rowe

2800 SW Topeka Blvd

Topeka, KS 66611-1220

Fax:

(785) 646-2001

Attn: Bret Rowe, EMPG Coordinator

Scan/Email:

[bret.a.rowe.nfg@mail.mil](mailto:bret.a.rowe.nfg@mail.mil)

**Unsigned reports are considered incomplete.** Sending duplicate reports (mailing/faxing/e-mailing the same report by more than one method) and sending reports via Registered Mail are not necessary and will result in a delay in processing your reports. Sending reports via Overnight Mail (such as FedEx) is not necessary.