



FY 2011

Emergency Management
Performance Grant
(EMPG)

Local Guidance

**State of Ohio EMA
FY 2011 EMPG
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**KEY CHANGES TO THE FY2011
EMERGENCY MANAGEMENT PERFORMANCE GRANT (EMPG)**

1. Training and Exercise requirement (page 2, 3, 13 – 15):

Per FEDERAL GUIDANCE: All EMPG Program funded personnel shall participate in no less than three exercises in a 12 month period (set by Ohio EMA as July 1, 2011 through June 30, 2012) and should complete the following training requirements and record proof of completion.

NIMS Training: IS 100; IS 200; IS 700; IS 800

FEMA Professional Development Series: IS 139; IS 230.a; IS 235.a; IS 240.a; IS 241.a; IS 242.a; IS 244.a

2. Cost allocation plans will be considered for reimbursement in the FY2011 EMPG (Page 11, Appendix B). Plans must meet the guidance listed in appendix X of this document. Plans that do not meet such requirements will not be considered for reimbursement.

3. FY2011 EMPG will require a Baseline Assessment as a component of the application documents submitted to apply for your award (pages 7, 8). The Baseline Assessment allows Ohio EMA to obtain information about new requirements and anticipated funds expenditures.

4. If you are applying for Special Project funding, you must complete a Work Plan that addresses how the funding will be utilized and project the time frame similar to other Work Plans. **(page 8, Appendix D)**

5. For FY2011 EMPG, sub-grantees will be asked to submit documents prior to receiving a grant agreement. This change is being executed in an attempt to allow for any changes to grant agreements that reflect a desired reduction in the allocation (Pages 7 and 8)

Part I. INTRODUCTION

A. Overview

The purpose of the EMPG Program is to make grants to States to assist State, local, and Tribal governments in preparing for all hazards, as authorized by 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 and the 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 so that a comprehensive emergency preparedness system exists for all hazards.

A comprehensive State emergency management system must include local stakeholder input. Local emergency management organizations should remain informed and have the opportunity to provide input to State planning processes. Although DHS expects States to include support for their local jurisdictions in the EMPG Program, each Governor is responsible for determining the appropriate amount of funding to be passed through to support the development or enhancement of local emergency management performance capabilities. As such, Ohio EMA will again commit to passing 70% of EMPG funds through to county EMA.

B. Authorizing Statutes

Section 507 of the *Department of Homeland Security Appropriations Act, 2010* (Public Law 111-83), as extended by the *Department of Defense and Full-Year Continuing Appropriations Act, 2011* (Public Law 112-10), as amended; *Implementing Recommendations of the 9/11 Commission Act of 2007* (Public Law 110-53); the *Post-Katrina Emergency Management Reform Act of 2006* (PKEMRA) (Public Law 109-295); and the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, (Public Law 93-288), as amended, 42 U.S.C. 5121-5207.

C. Supporting National Priorities

Advancing “Whole Community” Security and Emergency Management. As the country experiences threats of terrorist attacks (foreign and domestic) and natural disasters, communities are challenged to develop collective, local abilities to withstand the potential impacts of these events, respond quickly, and recover in a way that sustains or improves the community’s overall well-being. Achieving this collective capacity calls for innovative approaches across the community, including emergency management to build up existing practices, institutions, and organizations that help make local communities successful, and that can leverage this infrastructure if and when an incident occurs. As a result of this new federal approach there have been some significant changes to the FY2011 EMPG program that will affect sub-grantees. The changes are highlighted in the “Changes for Fy2011” Page in this document. A summary of these new requirements follows:

- All EMPG funded personnel shall participate in no less than three exercises of any type (e.g. Drills, Tabletop Exercises, Functional), in a 12-month period.
- All EMPG Program funded personnel shall complete the following training requirements and record proof of completion. National Incident Management System (NIMS) Training: IS 100; IS 200; IS 700; and IS 800; FEMA Professional Development Series:

IS 139; IS 230.a; IS 235.a; IS 240.a; IS 241.a; IS 242.a; and IS 244.a. This requirement brings with it the need for sub-grantees to submit a list of EMPG Program funded personnel along with the training completed to be included in the EMPG Program quarterly reporting

Similarly, county EMA are strongly encouraged to leverage FY2011 EMPG funds towards addressing any identified shortfalls within local emergency management while also sustaining their daily emergency management capabilities.

Part II. Funding Availability and Eligible Applicants

A. Funding Availability

The EMPG program provides funding to County EMA as a cost-share for work activities and related costs as identified in the grant application. County reimbursements will not exceed 50% of eligible expenses. The county must match 50% of the federal award with funds from existing EMA accounts or in-kind sources in accordance with 44 CFR, Part 13. The County EMA may accept contributions and/or cash as their share of the eligible expenses. **However, no federal grant funds can be used or included as the County EMA share of the eligible expenses. In extreme circumstances, County EMA directors can request a specific review of a funding source to be considered as cost-share to the federal EMPG Award.**

DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, 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.

In Ohio, funds are allocated annually using 25% as a base for each county; and 75% based on population. FY 2011 allocations were proposed to the counties prior to development of the grant guidance. Counties were asked to advise Ohio EMA if they could accept the allocation as stated, if a reduction was necessary or if more could be accepted. Per the request of some counties their allocations may have been reduced to meet their needs. Actual allocations will be no *less* than the amounts shown in the table on the following page.

An amount of the FY2011 EMPG has been reserved for funding special projects to assist in Emergency Operations Center construction/renovation. The application and guidance for these special project funds can be found in Appendix D of this packet.

Proposed FY2011 EMPG Local Allocations

County	Allocation		County	Allocation
ADAMS	\$37,827		LICKING	\$86,097
ALLEN	\$86,097		LOGAN	\$47,989
ASHLAND	\$47,989		LORAIN	\$120,395
ASHTABULA	\$86,097		LUCAS	\$171,841
ATHENS	\$63,233		MADISON	\$47,989
AUGLAIZE	\$47,989		MAHONING	\$120,395
BELMONT	\$63,233		MARION	\$63,233
BROWN	\$47,989		MEDINA	\$86,097
BUTLER	\$120,395		MEIGS	\$37,827
CARROLL	\$37,827		MERCER	\$47,989
CHAMPAIGN	\$47,989		MIAMI	\$86,097
CLARK	\$86,097		MONROE	\$31,052
CLERMONT	\$86,097		MONTGOMERY	\$171,841
CLINTON	\$47,989		MORGAN	\$31,052
COLUMBIANA	\$86,097		MORROW	\$37,827
COSHOCTON	\$47,989		MUSKINGUM	\$63,233
CRAWFORD	\$47,989		NOBLE	\$31,052
CUYAHOGA	\$248,753		OTTAWA	\$47,989
DARKE	\$47,989		PAULDING	\$37,827
DEFIANCE	\$47,989		PERRY	\$37,827
DELAWARE	\$86,097		PICKAWAY	\$47,989
ERIE	\$63,233		PIKE	\$37,827
FAIRFIELD	\$86,097		PORTAGE	\$86,097
FAYETTE	\$37,827		PREBLE	\$47,989
FRANKLIN	\$248,753		PUTNAM	\$37,827
FULTON	\$47,989		RICHLAND	\$86,097
GALLIA	\$37,827		ROSS	\$63,233
GEAUGA	\$63,233		SANDUSKY	\$63,233
GREENE	\$86,097		SCIOTO	\$63,233
GUERNSEY	\$47,989		SENECA	\$63,233
HAMILTON	\$171,841		SHELBY	\$47,989
HANCOCK	\$63,233		STARK	\$120,395
HARDIN	\$37,827		SUMMIT	\$171,841
HARRISON	\$31,052		TRUMBULL	\$120,395
HENRY	\$37,827		TUSCARAWAS	\$63,232
HIGHLAND	\$47,989		UNION	\$47,989
HOCKING	\$37,827		VAN WERT	\$37,827
HOLMES	\$47,989		VINTON	\$31,052
HURON	\$63,233		WARREN	\$86,097
JACKSON	\$37,827		WASHINGTON	\$63,233
JEFFERSON	\$63,233		WAYNE	\$86,097
KNOX	\$47,989		WILLIAMS	\$47,989
LAKE	\$120,395		WOOD	\$86,097
LAWRENCE	\$63,233		WYANDOT	\$37,827

B. Eligible Applicants

County emergency management agencies which meet the following criteria are eligible to apply for FY 2011 EMPG funding.

1. Each county agency must be an emergency management agency which has been established pursuant to Sections 5502.26, 5502.27, or 5502.271 of the Ohio Revised Code.
2. Each emergency management agency must have a director. The Ohio Revised Code precludes the appointment of the chief executive of the political subdivision for which the emergency management agency serves to the position of director. Local emergency management agencies should have a full-time emergency management director; however, eligibility may be extended to paid part-time directors with written justification and the advance approval of Ohio EMA. Part-time directors must be employed for EMA purposes for a minimum of 20 hours each week.
3. Each emergency management agency must have a currently updated Emergency Operations Plan (EOP) on file with Ohio EMA.
4. Each emergency management agency shall establish an exercise schedule that tests its emergency operations plan and evaluates preparedness for identified hazards and risks within the county covered by the emergency operations plan.
5. Each county emergency management agency must demonstrate compliance with the NIMS requirements, for county emergency management agency staff only.

Requirements for a county to remain an eligible participant in the Emergency Management Performance Grant program are the following:

1. In the event that a county EMA director position is vacated, the county must fill the director vacancy within 90 days. During the interim, an acting director must be officially appointed. A **one-time 30-day** extension may be granted by Ohio EMA, upon written request and justification by county elected officials.
2. Each emergency management agency director (or approved designee) shall attend the two state-sponsored director's seminars.
3. Each emergency management agency shall update their county EOP annually and whenever corrective actions from exercises or an actual event require. County EOPs must be consistent with state and federal guidance and the National Response Framework. In addition, the chief executive officer for the political subdivision served by the emergency management agency must approve and promulgate the EOP

C. Cost Share Requirements

In FY 2011, the EMPG Program has a 50 percent (50%) Federal and 50 percent (50%) non-federal cost match (cash or in-kind) requirement, as authorized by the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Public Law 93-288), as amended, 42 U.S.C. 5121-5207. Specifically, Title VI, sections 611(j) and 614. Unless otherwise authorized by law, Federal funds cannot be matched with other Federal funds. Cost matching requirements are administered in accordance with 44 CFR Part §13.24. To meet matching requirements, the sub-grantee contributions must be reasonable, allowable, allocable, and necessary under the grant program and must comply with all Federal requirements and regulations.

Costs are considered eligible as the non-federal match if they meet the following criteria:

1. Local political subdivisions must provide 100 percent funding (General Revenue Funds, GRF) of the eligible expenses for and through their local emergency management agency. Up to 50 percent of these expenses may be reimbursed through EMPG program grant funds, not to exceed the awarded allocation.
2. In past EMPG awards, counties were required to submit a certified budget to document that matching funds were available, as required for the grant. Recently, EMPG awards have increased in the length of performance period. As a result, grants are now covering multiple calendar years which makes it difficult to supply a single annual certified budget to cover the entire grant. With this in mind, **as part of the Grant Agreement you are certifying that matching funds exist, over the duration of the performance period, that allow the county to expend twice the amount of the FY2011 EMPG allocation.** Counties must ensure that they have read, understood and agreed to this certification prior to submitting for the grant.
3. All costs submitted through EMPG for reimbursement must be as a result of Emergency Management related work (i.e. listed in EM job description) and be related to an approved Work Plan. Costs incurred to complete work on programs funded separately from emergency management are not considered eligible as cost share for EMPG and will not be reimbursed. **As an example: If the EMA Director and/or staff work on programs other than EMA, that percentage of payroll and benefits must be supported by alternate funding and is not eligible to be a match for or reimbursed with EMPG grant funds.**
4. **Continued for the Fy2011 EMPG, counties have the availability to In-Kind match up to 25% of their grant using volunteer hours or donated resources. Documentation requirements are the exact same as “hard match” costs. Any In-Kind matching of the EMPG must be coordinated with the respective Ohio EMA field liaison and Preparedness Grants Branch.**

Part III. Program Requirements

A. General Program Requirements

1. Performance Period

The performance period for FY2011 EMPG is **October 1, 2010 through June 30, 2012**. Although EMPG is an annual process, this period of performance will allow county EMA maximum flexibility to plan and coordinate the use of FY2011 EMPG funds. As most local governments budget on a calendar year, it is possible that 2011 EMPG funds may span portions of three local budget years. Extensions to the period of performance will be considered only through formal requests to Ohio EMA with specific and compelling justifications as to why an extension is required.

2. Expenditure of previous EMPG grant funds

In order for FY 2011 EMPG funds to be made available, the county must ensure that all funds from previous EMPG awards (FY 2010) have been exhausted or de-obligated and returned to the state.

B. Application Requirements

To apply for your FY 2011 EMPG the following **three items** must be completed and forwarded to Ohio EMA: Assurances, Baseline Work Plan and NIMS Certification. Details on these five items follow:

1. Assurances

Completion and signature of the *Assurances – Non-construction Program* (Standard Form 424B) form and *Disclosure of Lobbying Activities* (Standard Form – LLL) forms are required as part of the application for FY 2011 EMPG funds. The forms are supplied within this grant guidance and can be found online at:

<http://apply07.grants.gov/apply/forms/sample/SF424B-V1.1.pdf>
and <http://www.whitehouse.gov/omb/grants/sflllin.pdf> respectively.

2. Baseline EMPG Assessment

New for FY2011 EMPG are the Federal requirements associated with EMPG funded staffing, training and exercise. The baseline assessment document allows Ohio EMA to define the population of state and local EMA employees who are funded by the grant and who have to meet the requirements of the grant. Additionally, the baseline assessment will provide for the county EMA to confirm the amount of the EMPG grant that will be matched during the performance period.

3. NIMS Certification

In order to receive FY 2011 EMPG funding, the County EMA is required to certify as part of their grant application that they are addressing and/or have met the FY10 NIMS

requirements. Please refer to the NIMS Certification form, which is included in the application packet for a listing of the Fiscal Year 2010 NIMS compliance requirements that should have been met. **Note that failure to complete the annual NIMSCAST submission may delay the release of your FY2011 EMPG funds.** Additional information about NIMS compliance and resources for achieving compliance can be found at *Ohio EMA NIMS* website <http://www.ema.ohio.gov/NimsGuidance.aspx> or the *NIMS Integration Center* web page, <http://www.fema.gov/emergency/nims>

4. Grant Agreements:

When the Assurances, Baseline Work Plan and NIMS Certification have been received, reviewed and approved by Ohio EMA, the Grant Agreement will be prepared and sent to the county for signature. The Grant Agreement includes important information. It is essential that all Award, Fiscal and General Requirements of the grant have been read, understood and agreed to prior to signing. In order for the Grant Agreement to be accepted, the Sub-Grantee Grant Manager and Sub-Grantee Fiscal Contact information must be filled in and the Grant Agreement must be signed and dated by the Sub-Grantee Grant Manager with an original signature. Upon receipt by Ohio EMA, the grant agreement will be signed by the Executive Director of Ohio EMA. A copy of the signed Grant Agreement will then be forwarded to the county EMA along with a letter advising official notice of your award and any other guidance necessary.

C. Allowable and Unallowable Costs Guidance

Costs related to the 2011 EMPG are determined to be allowable if they meet the eligibility criteria of all of the following documents as applicable:

- Federal Guidance to States
- Information Bulletins from FEMA to States clarifying guidance
- State Guidance to Local Governments
- All applicable circulars 2 CFR Part 225(A-87), 44 CFR Part 13, OMB Circulars A-102, A-122, A-133etc.

The following descriptions are a combination of Federal and State guidance on Planning, Organizational, Equipment, Training, Exercise and Management & Administrative Costs.

1. Personnel Costs

Personnel costs (to include eligible personnel costs in planning, training, exercise, organizational, M&A, etc.) including salary, overtime, compensatory time off, and associated fringe benefits, as well as volunteer hours towards In-Kind matching are allowable costs with FY 2011 EMPG funds. These costs must comply with 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)*. Proposed personnel costs should be linked to achieving objectives outlined in the EMPG Work Plan. **This is where the “Time and Effort” documentation requirement comes from. For your reference and convenience, the appropriate sections of the guidance have been provided below.**

2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)* clarifies the requirement to properly document and support personnel time

being paid by a federal grant. Attachment B, Section 8.h., “*Support of salaries and wages*”, notes that:

- (1) Charges to Federal awards for salaries and wages, whether treated as direct or indirect costs, will be based on payrolls documented in accordance with generally accepted practice of the governmental unit and approved by a responsible official(s) of the governmental unit.
- (2) No further documentation is required for the salaries and wages of employees who work in a single indirect cost activity.
- (3) Where employees are expected to work solely on a single Federal award or project, charges for their salaries and wages will be supported by periodic certifications that the employees worked solely on that program for the period covered by the certification. These certifications will be prepared at least semiannually and will be signed by the employee or supervisory official having first-hand knowledge of the work performed by the employee.
- (4) Where employees work on multiple activities or cost objectives (i.e. EMPG Work Plans or projects paid via other grants), a distribution of their salaries or wages will be supported by personnel activity reports or equivalent documentation.
- (5) Personnel activity reports or equivalent documentation must meet the following standards:
 - (a) They must reflect an after the fact distribution of the actual activity of each employee,
 - (b) They must account for the total activity, for which each employee is compensated,
 - (c) They must be prepared at least monthly and must coincide with one or more pay periods, and
 - (d) They must be signed by the employee.
 - (e) Budget estimates or other distribution percentages determined before the services are performed do not qualify as support for charges to Federal awards.

In cases where the EMA Director, or their staff, also fulfills duties assigned through other government agencies or programs funded separately from emergency management, the costs that are attributed to non-emergency management activities are not eligible for reimbursement under this grant.

For example, a Director who also serves as the county’s Risk Manager. The time spent administering the Risk Management program is not an EMA activity and thus cannot be funded with or used as the match for the EMPG funds. As these cases are unique, these costs will be addressed as needed between the county and Ohio EMA through your Field Liaison.

A sample time card that meets the aforementioned requirements is provided in Appendix C of this guidance.

2. Planning Costs Guidance

FY 2011 EMPG Program funds may be used for a range of emergency management planning activities. Planning provides a methodical way to engage the whole community in thinking through the life cycle of potential crises, determining required capabilities, and establishing a framework for roles and responsibilities. Planning must include participation from all stakeholders in the community who are able to contribute critical perspectives and may have a role in executing the plan. Planning should be flexible enough to address incidents of varying types and magnitudes. Planning activities may include, but are not limited to, the following:

- Community-based planning to advance “whole community” security and emergency management
- Development of THIRA that reflects a representative make up and composition of the jurisdiction
- Acquisition of critical emergency supplies, such as shelf stable food products, water, and basic medical supplies (requires each State to have FEMA’s approval of a viable inventory management plan; an effective distribution strategy; sustainment costs for such an effort; and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning)
- Maintaining a current EOP that conforms to the guidelines outlined in the CPG 101v.2
- Disaster housing planning, such as creating/supporting a State disaster housing task force and developing/enhancing State disaster housing plans
- Modifying existing incident management and emergency operations plans
- Developing/enhancing comprehensive emergency management plans
- Conducting a hazard analysis and risk assessment
- Developing/enhancing all-hazards mitigation plans
- Developing/enhancing large-scale and catastrophic event incident plans
- Developing/enhancing COOP/COG plans
- Developing/enhancing logistics and resource management plans
- Developing/enhancing evacuation plans, including alerts/warning, crisis communications, sheltering, and re-entry
- Developing/enhancing financial and administrative procedures for use before, during, and after disaster events in support of a comprehensive emergency management program
- Developing/enhancing volunteer and/or donations management plans
- Public education and awareness
- Public-Private sector partnerships
- Developing/enhancing other response and recovery plans
- Developing/enhancing emergency management and operations plans to integrate citizen/volunteer and other non-governmental organization resources and participation
- Program evaluations
- Mass evacuation planning and pre-positioning of equipment for areas potentially impacted by mass evacuations
- Supply preparation
- Pre-event recovery plans/response and mitigation plans in coordination with State and local governments (including Tribal governments, rural water associations, and chief information officers)

3. Organizational Costs Guidance

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. Proposed staffing activities should be linked to accomplishing the projects and activities outlined in the EMPG Program Work Plan.

Food costs associated with EMA actions (meetings, trainings, etc.) must be documented by proof of cost, proof of payment, purpose of event (agenda, invitation, etc) and a roster or sign in sheet of persons attending. Food costs submitted for reimbursement with out all listed documentation will be un-allowed.

For FY 2011 EMPG, Cost Allocation Plans that meet the guidance provided in Appendix B will be considered for reimbursement. Plans that do not meet the guidance provided in this document will not be considered.

Counties having questions regarding organizational activities and costs should contact their Ohio EMA Field Liaison.

4. Equipment Costs Guidance

Allowable equipment categories for the FY 2011 EMPG Program are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), which is sponsored by FEMA at <http://www.rkb.us>. 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.

The select allowable equipment includes equipment from the following AEL categories:

- Information Technology (Category 4)
- Cyber-Security 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)

Sub-grantees are advised to review the AEL to ensure that no EHP review is required prior to purchase. Contact Ohio EMA Field Liaison or Preparedness Grants Staff if equipment will be purchased.

In addition to the above, general purpose vehicles (such as sports utility vehicles) are allowed to be procured in order to carry out the responsibilities of the EMPG Program. If sub-grantees have questions concerning the eligibility of equipment not specifically addressed in the AEL, they should contact their Ohio EMA Field Liaison to coordiante clarification.

Sub-grantees that are using FY 2011 EMPG Program funds to support emergency communications activities should comply with the *FY 2011 SAFECOM Guidance for Emergency Communication Grants*, including provisions on technical standards that ensure and enhance interoperable communications. Emergency communications activities include the purchase of Interoperable Communications Equipment and technologies such as voice-over-internet protocol bridging or gateway devices, or equipment to support the build out of wireless broadband networks in the 700 MHz public safety band under the Federal Communications Commission Waiver Order. SAFECOM guidance can be found at <http://www.safecomprogram.gov>.

Grantees interested in developing a public safety broadband network in the 700 MHz band in their jurisdictions must adhere to the technical standards set forth in the FCC Waiver Order, or any succeeding FCC orders, rules, or regulations pertaining to broadband operations in the 700 MHz public safety band. If any future regulatory requirement (from the FCC or other governmental entity) results in a material technical or financial change in the project, the recipient must submit a revised budget, associated documentation, and other material, as applicable, for review and approval by the Statewide Interoperability Coordinator (SWIC), or SWIC equivalent. Upon approval by the SWIC, the grantee shall then forward the approval and associated documentation to FEMA Grant Programs Directorate (GPD). The recipient shall also ensure projects support the Statewide Communication Interoperability Plan (SCIP) and are fully coordinated with the full-time SWIC in the State of the project.

Grantees (and sub-grantees) are required to provide the AEL number for all communications equipment purchased with grant award funding (plus a description of the equipment and the quantity purchased of each item) to the FEMA GPD once items are procured as part of periodic programmatic grant reporting.

5. Training Costs Guidance

Per FEDERAL GUIDANCE: All EMPG Program funded personnel shall participate in no less than three exercises in a 12 month period and **should complete the following training requirements and record proof of completion.**

NIMS Training:

IS 100; IS 200; IS 700; IS 800

FEMA Professional Development Series:

IS 139; IS 230.a; IS 235.a; IS 240.a; IS 241.a; IS 242.a; IS 244.a

Access to online training for all courses listed above can be found through FEMA's website at <http://www.training.fema.gov/IS/>

If an EMPG funded employee has already passed the training requirements for a PDS certificate (under any previous format; classroom, online with other courses, etc.) and has documentation of that completion, no further PDS action is required. If NIMS training has been completed and documentation is available, no further NIMS training for this requirement will be necessary. The sub-grantee will be required to list the EMPG funded personnel and note the completion of these requirements on the Baseline Assessment as part of the FY2011 EMPG application.

While FEMA is still clarifying components of the training requirements, there is NOT a requirement to complete the NIMS and PDS training during the performance period of the FY2011 EMPG. The requirement is that EMPG funded employees work towards completion of these requirements.

In addition to the required training listed above FY 2011 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 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.

Types of training 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
- Mass evacuation training at local, State, and Tribal levels

Allowable training-related costs include the following:

- Funds Used to Develop, Deliver, and Evaluate Training. Includes costs related to administering the training: planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment.
- 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 the awarding agency, 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 approved training.
- Hiring of Full or Part-Time Staff or Contractors/Consultants. Full- or part-time staff may be hired to support direct training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or awarding agency, whichever is applicable.
- Certification/Recertification of Instructors. Costs associated with the certification and recertification of instructors are allowed. States are encouraged to follow the FEMA Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses which involve training of trainers.

All training related program activities or costs should be addressed to Phil Johnson, Training and Exercise Supervisor at (614) 799-3680 or via e-mail at prjohnson@dps.state.oh.us

6. Exercise Costs Guidance

Per FEDERAL GUIDANCE and Clarifying Information Bulletin(s): All EMPG Program funded personnel shall participate in no less than three exercises in a 12 month period and should complete the following training requirements and record proof of completion.

Ohio EMA has received clarification on this requirement that will assist sub-grantees in meeting complying with the guidance. While **real world events do not count** toward the three (3) exercise requirement, the requirement can be met by participating in ANY of the 7 HSEEP recognized exercise activities, to include seminars, workshops, tabletop exercises, games, drills, functional exercises or full-scale exercises

Some examples of activities that can be documented towards this requirement include, but are not limited to participation in: regular Ohio EMA communications checks with local EMA, participation in the Ohio EMA Director's seminars conducted twice annually, LEPC exercises, HSEEP exercises, locally funded/executed exercises, and drills conducted within the local EMA. While the options to meet the requirement are vast, the sub-grantee is required to document that each employee funded by EMPG has participated in at least three such exercises in the twelve month period of July 1, 2011 through June 30, 2012.

In addition to the required exercise actions, Exercise costs are eligible in the FY2011 EMPG. Exercises implemented with grant funds should evaluate performance of the capabilities required to respond to the exercise scenario. Exercise activities should align to a current, Multi-Year TEP developed through an annual TEPW. Further guidance concerning the Training and Exercise Plan and the Training and Exercise Plan Workshop can be found at <https://hseep.dhs.gov>. Grantees are encouraged to develop exercises that test their EOPs in accordance with the requirements outlined on pages six and seven.

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. Grantees are encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities
- **Hiring of Full or Part-Time Staff or Contractors/Consultants.** Full- or part – time staff may be hired to support direct exercise activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or the awarding agency, whichever is applicable. The services of contractors/consultants may also be procured to support the design, development, conduct and evaluation of exercises.
- **Overtime and Backfill.** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, 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 projects
- **Supplies.** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise projects (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment)
- **Implementation of HSEEP.** This refers to costs related to developing and maintaining a self-sustaining State HSEEP which is modeled after the national 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 (e.g., portable toilets, tents), and the procurement of gasoline, exercise signs, badges, and other essential nondurable goods. Grantees are encouraged to use free public space/locations, whenever available, prior to the rental of space/locations.

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

All exercise related program activities or allowable expense questions should be addressed to Darren Price, Exercise Program Manager, at (614) 799-3660 or via e-mail at deprice@dps.state.oh.us **prior** to costs being incurred for exercise activities.

6. Management and Administrative (M&A) Costs Guidance

M&A activities are those defined as directly relating to the management and administration of EMPG Program funds, such as financial management and monitoring. It should be noted that salaries of State and local emergency managers are not typically categorized as M&A, unless the State or local EMA chooses to assign personnel to specific M&A activities.

7. Construction and Renovation Costs

FEMA recognizes that updated, functioning Emergency Operations Centers (EOCs), accessible to and usable by individuals with disabilities, are a core component of an effective emergency management system. Therefore, construction and renovation activities for a State, local, or Tribal government's principal EOC are allowable under the EMPG Program. The match requirement for EOC construction and renovation with EMPG Program funding is 50 percent (50%) Federal and 50 percent (50%) grantee. Please see requirements related to Duplication of Benefits in *Section II, Part I.B.1.1.4*.

FY 2011 EMPG Program grantees using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. 3141 *et seq.*). Grant recipients must ensure that their contractors or subcontractors for construction projects pay workers employed directly at the work-site no less than the prevailing wages and fringe benefits paid on projects of a similar

character. Additional information, including Department of Labor wage determinations, is available from the following website: <http://www.dol.gov/compliance/laws/comp-dbra.htm>. In order for sub-grantees to drawdown funds for limited EOC construction and renovation projects under the EMPG Program:

The sub-grantee must provide to Ohio EMA who then must provide to FEMA:

- Description of the EOC facility, location, and the scope of the construction or renovation project
- Certification that an assessment has been conducted to identify EOC needs regarding such issues as the facility, communications capability, computer systems and network capabilities, survivability, and sustainability
- How the construction or renovation project will address the needs identified from the assessment
- Consequences of not implementing the construction or renovation project

Written approval must be provided to the sub-grantee, by FEMA through Ohio EMA prior to the use of any EMPG Program funds for construction or renovation

All proposed construction and renovation activities must undergo an Environmental Planning and Historic Preservation (EHP) review, including approval of the review from FEMA, prior to undertaking any action related to the project. No projects initiated after August 29, 2008 without proper EHP review will be funded. Projects using EMPG Program funds that were initiated or completed before an EHP review was concluded will be disapproved and funds will be deobligated. To avoid unnecessary delays in starting a project, grantees are encouraged to pay close attention to the reporting requirements for an EHP review.

8. 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 and future grant awards, unless otherwise noted. Grantees are reminded that supplanting is not permitted under the EMPG Program. Maintenance contracts and warranties, repair and replacement costs, upgrades, and/or user fees for equipment that was not originally purchased with preparedness grant funding (or provided by DHS components listed in IB 336) may not be subsequently paid for with preparedness grant funding. Please refer to GPD's IBs 336 and 348, located at <http://www.fema.gov/government/grant/bulletins/index.shtm>. 20

Maintenance Contracts and Warranties: To increase the useful life of the equipment, FEMA has determined that maintenance contracts and warranties may be purchased using grant funding from one FY to cover equipment purchased with funding from a different FY. The use of grant funding for the purchase of maintenance contracts and warranties must meet the following conditions:

- Maintenance contracts and warranties may only be purchased for equipment that has been purchased using FEMA preparedness grant funding
- To avoid supplementing Congressional appropriations for specific programs, maintenance contracts and warranties must be purchased using funds from the same grant program used to purchase the original equipment
- The term of the maintenance contract or warranty shall not exceed the period of performance of the grant to which the contract is being charged

Repair and Replacement Costs: The cost of repair and replacement parts for equipment purchased using FEMA preparedness grant funding is an allowable expense.

- Repair and replacement parts may only be purchased for equipment that has been purchased using FEMA preparedness grant funding
- To avoid supplementing Congressional appropriations for specific programs, repair and replacement parts must be purchased using the same grant program used to purchase the original equipment

Upgrades: FEMA preparedness grant funding may be used to upgrade previously purchased allowable equipment. For example, if the grantee purchased risk management software with EMPG Program funds in FY 2005 and would like to use FY 2011 grant funding to upgrade the software, this is allowable

- Upgrades may only be purchased for equipment that has been purchased using FEMA preparedness grant funding
- To avoid supplementing Congressional appropriations for specific programs, upgrades must be purchased using the same grant program used to purchase the original equipment

User fees: User fees are viewed as costs for specific services required to maintain and provide continued operation of equipment or systems. An example would be the recurring service fees associated with handheld radios or mobile data computers

- User fees may only be paid for equipment that has been purchased using FEMA preparedness grant funding
- To avoid supplementing congressional appropriations for specific programs, user fees must be paid for using the same grant program used to purchase the original equipment.
- The service time purchased shall not exceed the period of performance of the grant to which the user fee is being charged

Sub-grantees must comply with all the requirements in 44 CFR Part §13 and 2 CFR Part §215.

9. Unallowable Costs Guidance

- Expenditures for weapons systems and ammunition
- Costs to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities
- Activities unrelated to the completion and implementation of the EMPG Program
- Other items not in accordance with the portions of the AEL and allowable costs listed above

D. Post Award Requirements and Grant Administration

1. Updating FY2011 EMPG Work Plans

In accordance with pass-through requirements with the EMPG, Ohio EMA is required to track quarterly progress of the grant. Grant recipients will be monitored periodically by Ohio EMA Field Liaisons both programmatically and financially, to ensure that the project goals, objectives, timelines, budgets and other related program criteria are being met. The Work

Plans that are created and submitted with your application are the mechanism that allows this tracking. As such, **regardless of whether you are requesting quarterly funds, you are required to submit your work plan updates quarterly** to indicate the progress that has been made during the quarter. This process shall be repeated until either the project is complete or EMPG funds have been exhausted. Updated work plans must be sent to Ohio EMA not later than 10 days after the quarter has ended (January 10th, April 10th, July 10th, and October 10th). Failure to update work plans quarter will result in delayed reimbursement of cash requests.

Monitoring of Work Plans will be accomplished through a combination of desk reviews and on-site monitoring visits. The monitoring is not a formal audit, but instead, technical assistance visits to ensure county EMA understand and are complying with the grant program. As part of the grant monitoring process, counties may be asked to supply documentation of activities completed towards finalization of a work plan.

If adjustments, corrections or revisions need to be made to a work plan, please contact your Field Liaison for assistance.

2. Reimbursement Process

In order to be reimbursed from the FY 2011 EMPG, eligible costs must be submitted on the FY2011 EMPG Cash Request, which is included in the Forms section of this document. **Costs submitted on forms other than the FY2011 EMPG Cash Request (previous years' forms, locally generated forms) will not be accepted.** Cash requests will be reviewed by a field liaison to assure completeness when received by Ohio EMA.

a. Field Liaison review

The first step of the reimbursement process is an initial review for cash request completeness. This review is conducted by your Ohio EMA field liaison and focuses on making sure forms are filled out properly and complete documentation accompanies the request.

If a cash request is not complete, which includes but is not limited to the following items: lacking proper signature, cash request not completely filled out (missing cells), lack of proper documentation, the request will be returned to the county for revision. County EMA are encouraged to utilize their Field Liaison for technical assistance, as needed, in filling out the cash request and compiling documentation to support the cash request. Detailed instructions have also been provided to assist you in filling out your Cash Requests.

1) Proper documentation

Cash requests submitted for reimbursement from the FY2011 EMPG must be accompanied by proper documentation of each cost. Proper documentation requires "Proof of Cost" (time and effort records, invoices, bills, etc.) and "Proof of Payment" (copies of warrants, canceled checks, auditor's monthly detail). A copy of the auditor's monthly expenditure detail has been found to be a very reliable, single source of proof of *payment* documentation. To reduce the amount of paper in documentation, counties are encouraged to submit a copy of the detail with applicable expenses highlighted. If proper documentation is not provided, the cost may be un-allowed for reimbursement.

Food costs associated with EMA actions (meetings, trainings, etc.) must be documented by proof of cost, proof of payment, purpose of event (agenda, invitation, etc) and a roster or sign in sheet of persons attending. Food costs submitted for reimbursement with out all listed documentation will be un-allowed.

b. Eligibility review; processing

The second step of the reimbursement process is a determination of eligibility, data entry of the cash request for tracking/monitoring purposes and preparation for payment. The Ohio EMA Preparedness Grants Branch conducts this step.

c. Payment processing and notification

The final step of reimbursement is approval of cash request by Ohio EMA fiscal and payment. When a Cash Request has been approved and payment processed, notification will be made to the county that payment will be arriving. As a tool to assist local governments in tracking Electronic Funds Transfers, the State of Ohio has created the “OAKS EFT Remittance Look-Up” website. By entering your OAKS vendor ID (available on your grant agreement as “Subgrantee Vendor ID), ZIP code and query information, you can confirm that payment was made. The EFT remittance web-site can be found at:
<http://www.oaks.ohio.gov/remitlookup/>

d. Tracking and Close-Out

In addition to notification that payment is in process, Ohio EMA Preparedness Grants will be sending to the county a “payment packet” attached to the e-mail that notified the county of pending payment. The packet includes a copy of the submitted cash request, an explanation of changes (if applicable) and remaining balance in the form of a memo. The intent of this packet is to provide the county with comprehensive documentation for your files on the processing and payment of your EMPG cash request.

Upon completing full reimbursement of your allocation or end of the program period of the grant, Ohio EMA will send a close-out notification to the local jurisdiction advising of the closure of the sub-grant and the final disposition of any un-spent funds.

3. Federal Reporting

County EMAs must complete a Bi-annual Strategic Implementation Report (BSIR) twice each year until the grant closes. Grantees will complete the initial obligation and expenditure information. **The BSIR must be updated approximately each January and July until the grant closes. Reimbursements and future awards may be withheld if the report is delinquent.** The BSIR will be completed online at www.reporting.odp.dhs.gov.

4. Financial Management

Local governments receiving financial assistance via EMPG shall establish and maintain financial management systems in conformity with FY2011 EMPG grant guidelines, 44 CFR, 2 CFR and OMB Circulars A102 and A133.

5. Property Management

Property accountability is required and includes adherence to established purchasing procedures, periodic inventory checks, and retention of appropriate supporting documentation. Procedures for managing equipment (including replacement), whether acquired in whole or in part with EMPG funds, will, at a minimum, meet the following requirements:

1. Property records must be maintained which include:
 - Description of the property
 - Serial number or other identification number
 - Source of the property
 - Identification of title holder
 - Acquisition date
 - Cost of the property
 - Percentage of Federal participation in the cost of the property
 - Location of the property
 - Use and condition of the property; and
 - Disposition data, including the date of disposal and sale price.
2. A physical inventory of the property must be taken and the results reconciled with the property records at least once every two years.
3. A control system must exist to ensure adequate safeguards to prevent:
 - Loss
 - Damage; or
 - Theft of the property.Any loss, damage, or theft shall be investigated by the county, as appropriate.
4. Adequate maintenance procedures must exist to keep the property in good condition.
5. If the county is authorized or required to sell the property, proper sales procedures must be established to ensure the highest possible return.
6. A copy of the local equipment inventory will be reviewed during program monitoring visits and available upon request.
7. Property management should satisfy standards prescribed in OMB Circular A-102, Attachments O and OMB Circular A-87.

6. Availability of Public Records

Ohio's public records law generally requires disclosure of information. Ohio Revised Code Section 149.43 sets forth the requirements, along with the exceptions for disclosure. Specifically, Section 149.433 allows some security information to be exempt from disclosure.

Applicants are encouraged to consult state and local laws and regulations and discuss these requirements with their legal counsel. Grantees should be familiar with the regulations governing protected critical infrastructure information (6 C.F.R. Part 29) and sensitive security information (49 C.F.R. Part 1520), as these designations may provide additional protection to certain classes of homeland security information.

7. Record Retention

Counties are required to retain all grant-related documentation for three years after the close of the federal grant program. Ohio EMA will provide notification of grant closure date when it occurs.

8. Audits

The County EMA is accountable for the use of funds under the EMPG program. The County EMA must maintain records that adequately identify the sources and application of funds provided for financially assisted activities. Actual expenditures or outlays will be compared with budgeted amounts to determine if the expenditures qualify as a reimbursable expense under the EMPG. Upon review of County EMA reimbursement requests, Ohio EMA may withhold payments for expenses not related to the EMPG or when the County EMA has not complied with program requirements. This documentation is subject to review at any given time by state or federal auditors as well as EMA officials.

Counties receiving \$500,000 (all inclusive countywide) or more in a year in federal awards shall complete a Single Audit. This requirement is also addressed in OMB Circular A-133. The county EMA needs to consult with the County Auditor/Treasurer to understand how they comply with this requirement. The County EMA should also ensure the most recent Single Audit is submitted to Ohio EMA. County emergency management agencies will be audited by the State Auditor's Office or a private firm acceptable to the State Auditor's Office. Counties will comply with audit requirements and resolve any audit findings.

Grantees are reminded to review the following federal documents and ensure that grant activities are conducted in accordance with applicable guidance available at www.whitehouse.gov/omb/circulars

1. OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments.
2. OMB Circular A-87 (2 CFR), Cost Principles for State, Local, and Indian Tribal Governments.
3. OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations.
4. OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations.

9. Appeals

County emergency management agencies may appeal funding decisions of Ohio EMA to the Executive Director of Ohio EMA. Appeals must be received by the Executive Director within 30 days of the county's receipt of the decision. The Executive Director will have 60 days in which to review the decision and supporting materials and will notify the county of the decision in writing.

County emergency management agencies may appeal the decision of the Ohio EMA Executive Director, via the Executive Director, to Director of the Department of Public Safety. The appeal must be submitted by formal letter signed by the County EMA Director, within 10 days following the notice of Ohio EMA disapproval or other decision that is the subject of the appeal.

No appeals or retroactive approval of an item or service already procured will be considered if not sent within 30 days of the end of the federal fiscal year in which the procurement was made. This will provide sufficient time for review prior to the end of the fiscal year.

Appendix A: Sample Forms - Also available on Ohio EMA website at www.ema.ohio.gov

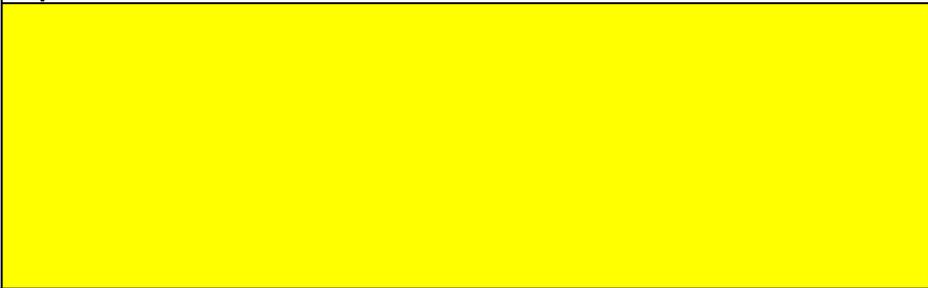
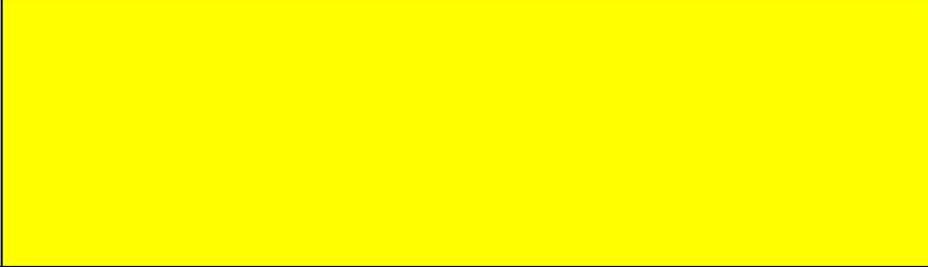
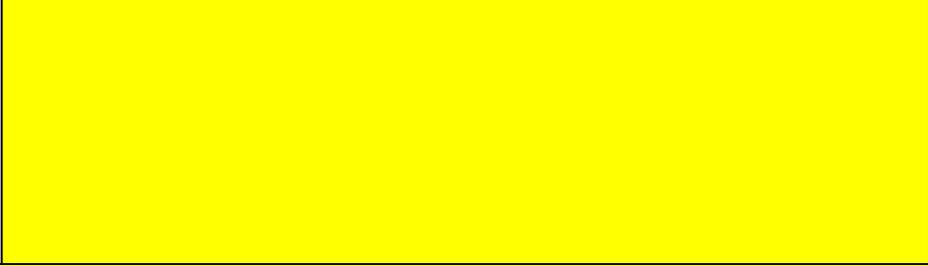
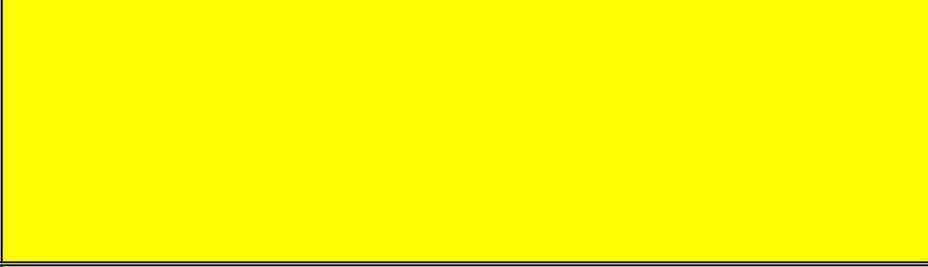
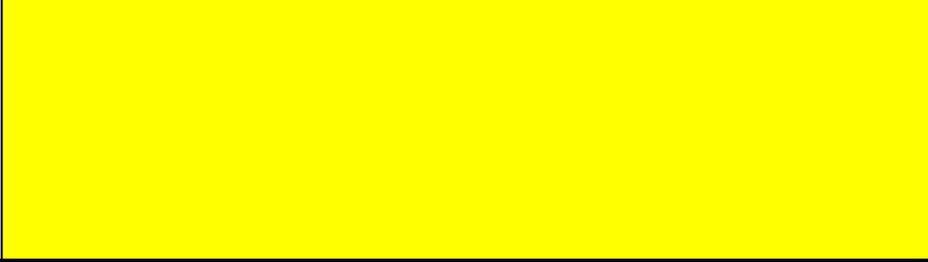
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Baseline Instructions

Basics:

- The Work Plan form is formatted as an Excel Spreadsheet
 - Cells that are shaded yellow are required fields that must be filled in.
 - Work Plan can be printed off, filled in and tallied by hand if preferred.
-
1. Enter County Name
 2. Enter Proposed Allocation amount based on FY2011 EMPG guidance.
 3. Enter the amount of FY2011 EMPG proposed allocation that your county anticipates being able to match/utilize. Information should be based on historical usage of the grant and current budgets and matching ability.
 4. If you've identified that your county will not be able to fully utilize the FY2011 proposed allocation and you are requesting your grant be amended, please check the box.
 5. For the staffing pattern portion of the baseline you'll need to enter ALL paid employees who serve in an EMA position at the local level. Please identify those that are funded by EMPG and give an initial indication of if PDS and NIMS training (in accordance with the guidance) have been completed or not.
 6. Break the costs out by category (it may only be one category or several, depending on the project. The amounts you enter into the budget lines on the Work Plan should reflect the EMPG allocation amount that you will ultimately be accepting (proposed or amended at the county request).
 7. Identify by quarter the objectives or goals that the county EMA is anticipating to complete during the quarter. For quarters that have already passed you can enter actual results.

EMPG Baseline (continued)
 FY2010 Emergency Management Performance Grant

3rd Quarter Activity (Apr 2011-June 2011)	Expected Outcome: 
4th Quarter Activity (July 2011 - Sept 2011)	Expected Outcome: 
5th Quarter Activity (Oct 2011 - Dec 2011)	Expected Outcome: 
6th Quarter Activity (Jan 2012 - Mar 2012)	Expected Outcome: 
7th Quarter Activity (Apr 2012 - Jun 2012) Performance Period Ends	Expected Outcome: 
OHIO EMA USE ONLY	Field Ops: _____ Date: _____

Work Plan Quarterly Update Instructions

Basics:

- The Work Plan Update form is formatted as an Excel Spreadsheet
 - Cells that are shaded yellow are required fields that must be filled in.
 - Work Plan can be printed off, filled in and tallied by hand if preferred.
-
1. Enter County Name
 2. Enter the quarter being updated.
 3. Re-cap the objectives and/or goals that you anticipated completing for the quarter.
 4. Describe the actual accomplishments for the quarter. Please include any events or circumstances that kept the county from completing any scheduled activities.
 - a) List any planning activities that were accomplished (see guidance for examples of eligible planning items)
 - b) Update the training portion of the document to reflect progress towards PDS , NIMS training and/or any training delivered or attended that supported the EMA locally.
 - c) Update the exercise portion of the document to capture the exercises that the county EMA has participated in. Please list the employees that participated for reporting to FEMA on the new requirement.
 - d) Update any other actions or organizational actions that were taken during the quarter that enhanced the local EMA capability.

NIMS Compliance Information

Applicant:	
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To be eligible to receive FY 2011 Federal preparedness funding assistance, applicants must meet NIMS compliance requirements. State, Territory, Tribal, and local governments are considered to be in full NIMS compliance if they have adopted and/or implemented the FY05 through FY2010 compliance activities. Adoption and/or implementation has been self-certified each year by the Governor's office for each State and Territory, which includes Tribal and local governments. Ohio Revised Code 5502.28(c) designates NIMS and its incident response management component, the Incident Command System (ICS), as the primary response/recovery framework for all jurisdictions in the state.

Therefore, the Applicant's Director, Chief Executive, or designee must review and certify below that these FY05 through FY2010 NIMS requirements have in fact been implemented to the "good faith effort" standard within the agency or jurisdiction by all disciplines receiving direct benefit as a result of FY05 through FY2010 expenditures and likely to receive direct benefit as a result of FY2011 preparedness grant expenditures. Evidence of compliance with these requirements must be made available, upon request, to Ohio EMA. Failure to do so may result in suspended or terminated funding.

Please check one:

- The Applicant is one of the 17 state agencies, commissions, divisions, or departments, or is a jurisdiction over 5,000 population (based on the 2000 U.S. Census) required to complete a National Incident Management System Compliance Assistance Support Tool (NIMSCAST). The Applicant's NIMSCAST is complete and any open corrective action plans are being addressed.

- The Applicant is not required to complete a National Incident Management System Compliance Assistance Support Tool (NIMSCAST). The Applicant has established a training program that ensures the requisite NIMS/ICS training for personnel with a role in emergency response or incident management. The Applicant also has established the necessary policies and procedures to execute any responsibilities assigned in a state or local emergency operations plan.

The Applicant hereby certifies that the tasks necessary to address implementation of NIMS requirements in accordance with FY2010 NIMS guidance have been accomplished, and as such the Applicant has satisfied the NIMS compliance conditions that are a prerequisite to receipt of FY2011 grant funds.

Sub-grant Signatory (signature)

Date

Please refer to the Ohio NIMS Implementation Guidance is available at <http://ema.ohio.gov/NimsGuidance.aspx> for additional detail regarding NIMS compliance requirements.

CASH REQUEST Instructions

Basics:

- The FY 2011 EMPG cash request is formatted as an Excel Spreadsheet
- The spreadsheet is protected to allow values to be entered into the applicable cells only.
- The “Tab” key should take you to the next available cell on the spreadsheet.
- There are a total of 10 pages included in the electronic version of the cash request.
- This allows you to enter a total of 150 line items on one electronic cash request.
- Cash Request will sum line items and provide a total on the last sheet you have filled out.
- Cash Request can be printed off, filled in and tallied by hand if preferred.

County:

- Enter name of county that is completing the cash request.

Period Covered:

- Enter the beginning date and end date of the reporting period.

Quarters:

- Enter the quarter that the request is being made. Keep in mind the quarters are already set based on the Federal fiscal year. Q1 is October through December 2010; Q2 is January through March 2011; Q3 is April through June 2011, Q4 is July through September of 2011; Q5 is October through December of 2011; Q6 is January through March of 2012; and Q7 is April through June of 2012.

Vendor Name:

- Vendor name should be filled out to properly indicate the company, individual or entity to which the eligible costs were paid.
- Individuals (employees) should be listed individually.

Description of Purchase/Service:

- Describe the item or service purchased.
- Recurring services (payroll, cell phone, bills, etc) must include dates of service
 - Example: Payroll – October 1 through October 15; Cell phone service – January
- Generic terms such as “Supplies”, “Miscellaneous” and “Travel” will not be accepted.
- Be specific in the description of what is being purchased.

Budget Category:

- Expenditures must fall into one of the following categories: P = Planning; O = Organizational; EQ = Equipment; T = Training; EX = Exercise; A = Administrative
- Budget Categories are set by the Budget Worksheet and Work Plans that you have developed. If you are purchasing a special piece of equipment, but have no Equipment Work Plan, the cost cannot be reimbursed without making adjustments to your budget worksheet and work plan(s) accordingly.

Invoice Date:

- Insert date invoice was prepared;
- For payroll insert the ending date of the pay period

Invoice Amount:

- Insert the total (gross) amount of the invoice or paycheck

Warrant date:

- Insert date warrant was prepared, date on check or date of electronic transfer

Warrant Number:

- Insert the warrant number, check number, or transfer number for the line item payment.

Warrant Amount:

- Insert the amount of the warrant as paid on the warrant as listed

Requested Reimbursement:

- This column is where you make any adjustments to the actual amount that is eligible
- Example: EMA Director is also Risk Manager and gets paid 50% from each. The bi-weekly gross pay is \$1,000.00. The invoice amount may be N/A, however the warrant amount should reflect the gross pay (\$1,000) for the pay period. The requested reimbursement would then be reduced by 50% to represent only the EMA eligible portion of the warrant.
- Unless your costs are similar to the example listed above where payroll, cell services copy machine service plans, etc. are paid by more than the EMA funding, counties should not reduce the amount of the line item in an attempt to get the EMPG eligible amount. This gets confusing and results in the county being reimbursed 25% instead of the 50% they should be receiving. Seek out your field liaison if you have questions.
- Ohio EMA will calculate the 50% EMPG eligible amount of your cash request (less any changes made for unallowable costs).

Total (Page x of y) Request for Reimbursement:

- If you're using the Cash Request as an Excel spreadsheet, this amount will be calculated for you. Counties are strongly encouraged to use the electronic version of the form.
- If you are filling the form in by hand you will need to sum your items and fill the total in.

Approved Federal share to reimburse (50%):

- This cell will be filled in by Ohio EMA only; no county entry is required.

County EMA Director Signature:

- Original signature of the EMA director

Print EMA Director Name:

- This is also fillable in the Excel Spreadsheet.

Date Signed:

- Fillable in the Excel Spreadsheet

Remember: All line items must be supported by proof of cost and proof of payment documentation!

EMERGENCY MANAGEMENT PERFORMANCE GRANT CASH REQUEST							Page	of	Pages	
							1	of		
County:	PERIOD COVERED (From - To):	QUARTER(S):			YEAR: FY 2011					
LINE ITEM	Vendor Name (Employee name if Payroll)	Description of Purchase/Services	Budget Category	Invoice Date	Invoice Amount	Warrant Date	Warrant Number	Warrant Amount	Requested Reimbursement	OEMA Use A/U
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										
TOTAL (PAGE 1) REQUEST FOR REIMBURSEMENT										
I hereby certify that the expenses reported in this request have been paid by the County; That costs have not been reimbursed from other Federal Grants, programs or EMPG from another year; Costs are eligible under the EMPG program (Per A-87); These costs do not exceed the costs as budgeted in the approved budget worksheet. ATTACH SUPPORTING DOCUMENTATION (Proof of Cost and Proof of Payment)							\$		Approved Federal share to reimburse (50%)	
County EMA Director's Signature:				County Auditor Signature (if desired by county)						
Print EMA Director's Name:			Date Signed:		County Auditor Name:					
OHIO EMA USE ONLY	Field Ops: _____ Grants: _____ Date: _____ Date: _____									

Appendix B: Cost Allocation Plan Guidance

Per 2 CFR, Part 225 Attachment C, section D. “Submission Requirements” sub-section 3; “Where a local government only receives funds as a sub-recipient, the primary recipient will be responsible for negotiating indirect cost rates and/or monitoring the sub-recipient’s plan. As such, and with the commitment of executive leadership of the agency, Ohio EMA will allow for local governments to submit cost allocation plans under the following conditions as outlined by 2 CFR Part 225 (A-87) and as applicable/required:

- Per 2 CFR Part 225, Attachment A, section H: No cost allocation shall be acceptable without a certification by the governmental unit at a level not lower than the chief financial officer of the governmental unit. The certification must contain at a minimum the verbiage included in attachment A of this document which has been prepared using Attachment C of 2CFR Part 225.
- Cost allocation plans will only be accepted for the costs associated with the county fiscal year (calendar year) that falls fully within the performance period of the EMPG award.
 - o Example: For Fy2011 EMPG with a period of performance from October 1, 2010 through June 30, 2012 would only allow for costs associated with the county’s calendar year 2011 cost allocation plan to be submitted for reimbursement.
- Per 2CFR Part 225, Attachment A, section E the following accompanying documents must be submitted with the cost allocation plan:
 - o Organization Chart sufficiently detailing operations including the services that are included in the central services activities.
 - o A Copy of the most recent Comprehensive Annual Financial Report
 - o Aforementioned certification that plan was prepared in accordance with 2 CFR Part 225, contains only allowable costs and was prepared in a manner that treated similar costs consistently among the various Federal Awards and between Federal and non-Federal awards/activities.
- Per 2 CFR Part 225, Attachment A, Section E, subsection 2 the plan must contain:
 - o A brief description of the service
 - o An identification of the unit rendering the service and the operating agencies receiving the service
 - o The items of expense included in the cost of the service
 - o The method used to distribute the cost of the service to benefitted agencies and;
 - o A summary schedule showing the allocation of each service to the benefitted agencies.

Any plan that does not include the aforementioned requirements will not be approved and costs non-allowed.

Cost allocation plans will be reviewed against cash requests submitted in the same grant year to ensure no duplication of costs (direct vs. indirect).

As time and resources may not allow for review of all cost allocation plans and the local government has certified that their cost allocation plan, the certified plans may be reviewed periodically as part of desk audits, field monitoring efforts and cash request processing.

Appendix C: Special Projects

FY2011

SPECIAL PROJECTS PROGRAM

Please note: If you are applying for Special Project funding, you must complete a Work Plan that addresses how the funding will be utilized and project the time frame similar to other Work Plans.

Program Overview

The Ohio Emergency Management Agency invites all eligible counties to participate in the Special Projects grants application process for Federal Fiscal Year (FY) 2011. The Special Projects program is funded from the Emergency Management Performance Grant (EMPG). The FY 2011 Special Projects program will be focused on the Construction of Emergency Operations Centers, warning systems or EOC communications systems equipment. Project requests will be evaluated on a competitive basis as per the criteria outlined in this guidance document. It must be noted that when receiving FEMA funds for new EOC construction, the project must fully comply with the conditions established in the Ohio EMA Design Recommendations and Criteria for Emergency Operations Centers. (Attachment IV)

All counties participating in the FY 2011 EMPG are invited to apply for Special Project Funding. County directors should keep in mind that the estimated amount of Special Projects funds available for FY2011 is approximately \$500,000. We would request that counties limit their applications to no more than one project within any of the three project areas; 1) EOC construction or renovation; 2) warning systems; or 3) communication systems that will be located in county EOCs or radios for EMA staff or vehicles.

Your application package must clearly outline the scope of the proposed project and contain sufficient information for the state to use in reviewing applications and awarding grants. A clear cost breakdown must be provided on the itemization sheet. Care should be taken in completing the justification portion of your application. The justifications will be used as part of the process of prioritizing counties for funding. Justifications should include all relevant information that can be used to judge the importance and value of the project. A good justification would include; an explanation of the scope of the project which outlines hardware to be purchased, a discussion of the projects impact on the population and it's benefits, how the project fits in with current systems and plans, a cost/benefit analysis of the project, a statement certifying that local matching funds are available for the project, the mitigation measures the project would achieve and the risk factors present in the county that necessitate implementing the project.

EOC Construction Projects

As in the past, this is a 50% cost-match program and the number of counties that currently have EOC's that do not meet the State EOC criteria far outweighs the anticipated federal funding levels. Therefore, the project requests will be evaluated on a competitive basis as per the criteria outlined later in this document. Applications should only be submitted for an EOC construction project for which construction will take place during the FY2011 performance period (October 1, 2010 through September 30, 2012) and there are local matching funds available. The EOC construction project justification must include design completion and start of construction dates and a construction milestone schedule so that the progress can be accurately monitored.

Counties should note that acceptance of the funding for an EOC construction project constitutes a commitment to complete the project to meet the criteria of the Ohio EMA Design Recommendations and Criteria for EOC's even if future funding for multi phase projects would not become available.

Please note that the review process for Special Project grant awards made by Ohio EMA includes submitting the information to DHS-FEMA. Through the federal review of previous EOC projects and as outlined in the Ohio EMA design criteria document, we know that the cost of any demolition (including the removal of interior walls for building renovations) will not be an eligible cost for reimbursement. A discussion of other eligible and ineligible costs is provided in the Ohio EMA design criteria document.

Applicants must also comply with all National Environmental Policy Act (NEPA) requirements. Grantees wishing to use EMPG funding for construction projects must complete and submit a NEPA Compliance Checklist to this office for review and ODP approval. Additionally, grantees may be required to provide additional detailed information on the activities to be conducted, locations, sites, possible construction activities, possible alternatives, and any environmental concerns that may exist. Results of the NEPA Compliance Review could result in a project not being approved for EMPG funding, the need to perform an Environmental Assessment (EA) or an Environmental Impact Statement (EIS).

The Special Project funding procedures that are used to determine grant allocations incorporate carrying forward past qualifying projects into future years. This will allow qualified EOC construction projects that are unable to be fully or partially funded in the current year to be considered for available funding if/as available in subsequent years.

The attached form (Attachment I) should be used in submitting special project requests. Your application package must clearly outline the scope of the proposed project and contain sufficient information for the state to use in reviewing applications and awarding grants. A clear cost breakdown must be provided on the itemization sheet. Care should be taken in completing the justification portion of your application. The justifications will be used as part of the process of prioritizing counties for funding. The county EOC assessments that were performed in 2003 will also be used for prioritization purposes in the case of EOC construction project requests. Justifications should include all relevant information that can be used to judge the importance and value of the project. A good justification would include; an explanation of the scope of the project, a discussion of the projects' impact on the population and it's benefits, how the project fits in with current systems and plans, a cost/benefit analysis of the project, a statement certifying that local matching funds are available for the project, the mitigation measures the project would achieve and the risk factors present in the county that necessitate implementing the project. A discussion of past incidents and existing risk factors that require EOC activation (e.g., tornados, flooding, etc.) should be included.

Warning Systems

The Warning Systems application may cover requirements for more than one community. The attached form (Attachment II-Warning Systems) should be used in submitting a warning special project request. This is a 50% cost-match program and reimbursement will be made after submittal of invoices and proof of payment for the warning system is completed.

In addition to the information discussed above in the Program Overview section, a justification for a siren system would include the following: The number of sirens to be installed and how

they would be activated; the population that would be covered in the siren warning area and what percentage of the total county population would be affected; who will activate the system and for what uses; is the proposed system 24-hour/day capable; what systems or process does the activation point use to become aware of the need for activation; a cost/benefit analysis of the siren installation; how do the new sirens fit into the existing local plans; what risk factors exist and incidents have occurred (e.g., number of tornadoes or other incidents in the county in recent time period, etc.) to drive the need for the system; is the siren installation a new additional location or the replacement for an inoperable system, etc.

Communications Systems

For FY2011, counties may also submit a Special Project request for communications equipment. Communications equipment is limited to equipment that will be located in the county Emergency Operations Center and will improve interoperability with responders, along with radios for County EMA staff or County EMA vehicles. The attached form (Attachment III) should be used in submitting Communications Systems Special Project requests. This is a 50% cost-match program and reimbursement will be made after submittal of invoices and proof of payment for the communications equipment is completed. In addition to the items mentioned in the Program Overview section, a good justification for communications equipment will include a detailed breakdown of the equipment, and how it will help address the issue of interoperability of communications from the EOC or EMA staff during an emergency. It will also include discussion of which agencies and jurisdictions will have improved communications capabilities with the EOC or EMA staff due to this equipment, and whether it will facilitate inclusion in the other local, regional or MARCS systems. The justification must outline how the equipment aligns with the goals of the Ohio SCIP. In accordance with Safecom guidelines, equipment must be P-25 compliant.

Special Projects Review & Acceptance Process

Application forms for a Special Projects grant should be submitted to Ohio EMA with their FY 2011 EMPG application. The Special Project application must be received by close of business on October 14, 2011 in order to be eligible for funding. Special Project requests received after this deadline date will not be considered for funding. To be eligible for FY 2011 Special Project funding, your EMPG application must contain, in the EMPG Budget Narrative, a description of work related to your Special Project Funding request.

It is strongly recommended that the County EMA send their application using a service that can track the whereabouts of a mailing. This might be a system such as the US Postal Service's "Certified Mail" or a private vendor such as Federal Express or UPS. This should ensure that any claims of an item being lost in the mail can be verified and thus permit the County EMA to resubmit its application without penalty. Hand-delivered applications are acceptable if both parties document the exchange and receipt of the application. Fax or electronic applications are not permitted, as Ohio EMA requires the original signatures on the submitted documentation.

Submission of the Special Project application request should be addressed to the State of Ohio EMA, Attn: Technical Support – Facility Engineer, 2855 W. Dublin-Granville Road, Columbus, Ohio 43235- 2206.

Special Project requests will be awarded on a competitive basis. Ohio EMA will allocate funds to counties whose applications demonstrate; the greatest need, the greatest benefit and conformance to guidelines. Funding will be allocated to projects within the three areas of eligibility (EOC

construction or renovation; Warning Systems; EOC communications Systems) based on the total score awarded to the justification document. The screening of projects will be conducted in accordance with the guidelines discussed below.

As funding is available, County EMA directors' meeting eligibility criteria will be invited to submit projects to be considered for funding awards. Selection of projects to be funded will be made by Ohio EMA based on the project quality and merit.

The FY 2011 Special Projects fund allocation will be utilized for as many EOC construction and/or renovation projects; warning systems or communications equipment projects as possible. Project funding for EOC construction may be phased over two to three years. A county must have the local funds and be ready to start the project to receive an award. EOC projects that score high enough to be prioritized for funding but are not funded in the fiscal year of the application will carry over two to three years. A county must have the local funds and be ready to start construction to receive an EOC fund award. EOC projects that score high enough to be prioritized for funding but are not funded in the fiscal year of the application will carry forward in the priority order originally assigned. As new EOC projects are approved for funding on an annual basis, they will be added to the bottom of the previous year's list.

Projects will be prioritized for funding according to a ranking system. Projects must achieve a minimum threshold (point total) *of* six (6) points to be placed *on* a list for consideration for funding. EOC Projects on the list achieving a minimum funding threshold score *of* nine (9) points will carry forward to future years if they were not funded during the year *of* application.

The ranking of projects will be based on the following criteria:

1. Was the project received by the due date for submission, the application instructions followed and the required forms completed properly?
2. Does the project meet program eligibility criteria, and does the county meet the requirements of the Ohio Revised Code (ORC) as it relates to training, required county plans and procedures, etc?
3. Are local matching funds available to support the projects and was the certification of these funds submitted?
4. Are other sources of funding available?

If other sources of funding are available to support a project, the source of funding and application process will be outlined to the county in an effort to fund the project from that outside source. This action will assure that Special Project dollars are available to support projects that are not eligible under other funding programs.

If the above criteria are not met the project is denied. If the project meets the above criteria, then it is prioritized in accordance with the following criteria:

5. Quality of justification.

A ten-point scale will be used in this ranking. Projects with no or little justification will be ranked a 0 or 1; well-justified projects will receive a 10. A good justification would include: An explanation of the scope of the project, a discussion of the projects impact on the population and it's benefits, how the project fits in with current systems and plans, a cost/benefits analysis of the project, a statement certifying that local matching funds are available for the project, the mitigation measures the project would achieve and the risk factors present in the county that necessitate implementing the project. The justification should also include the construction start

date or equipment installation date and schedule milestone dates that will facilitate monitoring the project progress.

6. Does the project present a one-time opportunity and/or cost savings?

Projects that are time sensitive or that if accomplished with other work efforts will result in significant cost savings will receive higher ranking. An example of this would be the construction of an EOC in a public building slated for design or construction during the fiscal year of the application. Based on amount of savings or significance of opportunity, a ranking of 1 - 5 will be given.

7. What is the past history of federal funding, fund utilization and project completion?

Counties with projects from past years that have not been completed or counties who have received funding in recent years or turned back funding will be ranked lower in this category than those who have not received recent funding. Projects that have received more than one extension will have one (1) point deducted for each extension granted beyond one. Counties who have turned back allocated funds within the last three fiscal years will have two (2) points deducted. If a county has not received funding in the past three years they will be given two (2) points.

8. What is the impact of the project on the population at risk?

Projects of significant impact will score higher in this category. Projects in areas of high risk, based on risk assessment and history of disasters, will score higher than those in low risk areas. Scores assigned will range from 0 to 5.

9. Can the project be divided into smaller components over time?

If a project can be funded over multiple years, the project may be divided into smaller phases or partially funded; this will allow the available funding in each Fiscal Year (FY) to be spread over a greater number of counties. If a multiple year project is approved, the approval will be for the specified multi year duration. An annual review of progress will be conducted to determine if the subsequent award should be made. Multi year projects will receive priority for funding throughout their phases and will not be re-ranked each year.

If upon the scoring of projects in accordance with the above, one or more projects carry equal ranking, those projects which were part of the original FY EMPG submission scope of work will be given priority over those submitted with EMPG modifications.

For the purpose of adjusting the evaluation standards as necessary to meet changing EMA needs, the above criteria will be periodically reviewed and republished.

EMERGENCY OPERATIONS CENTER PROGRAM

County: _____

EOCs constructed under this program must meet the FEMA approved - state EOC design and construction standards. A copy of these standards can be obtained from OHIO EMA's Technical Support Division.

PHASE I

1. Will you require EOC design funding for Architect and/or Engineer Fees? Yes No

FISCAL YEAR FUNDING REQUIRED _____			
ARCHITECT/ENGINEER FEES	LOCAL SHARE	\$	_____
	FEDERALSHARE	\$	_____
	TOTAL	\$	_____

2. Will you require EOC construction funding? Yes No

FISCAL YEAR FUNDING REQUIRED _____			
CONSTRUCTION COSTS	LOCAL SHARE	\$	_____
	FEDERALSHARE	\$	_____
	TOTAL	\$	_____

COMMUNICATIONS EQUIPMENT	LOCAL SHARE	\$	_____
(* only eligible as part of EOC construction)	FEDERALSHARE	\$	_____
	TOTAL	\$	_____

ADMINISTRATIVE EQUIPMENT **	LOCAL SHARE	\$	_____
(* only eligible as part of EOC construction)	FEDERALSHARE	\$	_____
	TOTAL	\$	_____

TOTAL CONSTRUCTION FUNDING REQUEST \$ _____

DO YOU ANTICIPATE REQUIRING A MULTI-YEAR CONSTRUCTION PERIOD? Yes No

(ANTICIPATED NUMBER OF YEARS)

3. JUSTIFICATION (submit on separate pages as required)

4. I certify that local matching funds are available to support this request.

COMMUNICATIONS SYSTEMS PROGRAM

- 1. Please indicate funding required, type and quantity of equipment. (All costs figures are to be shown as total costs. The 50% federal / 50% local breakdown will be made by the State Office.)

EOC/EMA COMMUNICATIONS SYSTEM

<u>QUANTITY</u>	<u>TYPE</u>	<u>RADIO SYSTEM USED ON</u>	<u>ESTIMATED COST</u>
_____	Radio Base Stations	_____	_____
_____	Mobile Radio	_____	_____
_____	Portable Radio	_____	_____
_____	Patching Device	_____	_____

- 2. JUSTIFICATION (submit on separate pages as required)

3. I certify that local matching funds are available to support this request.

Signature

Date

OHIO EMERGENCY MANAGEMENT AGENCY
Design Recommendations and Criteria For
Emergency Operations Centers

It is the policy of the Ohio Emergency Management Agency (EMA) to assist the counties of the State of Ohio with financial aid (when funds are available) and design guidance for the construction of Emergency Operations Centers (EOCs). While it is recognized that each county has unique needs and wants, the Ohio EMA has developed basic requirements that all county EOCs should meet in order to provide Survivable Crisis Management (SCM) capability. These guidelines will not preclude the county from constructing any facility; however, financial aid will be dependent upon meeting minimum standards.

REQUIREMENTS:

- A. **Location:**
 The EOC **must** be constructed in a location that will minimize the effects of any local hazards, cannot be in the 100 year flood plain nor will it change or alter listed or nationally designed historic sites or structures. It should also be located close to government offices for easy access by agency representatives.
- B. **Size:**
 The EOC **must** be sized to handle the maximum anticipated staff that would be called in the event of a major disaster. (The attached chart can be used as a guide). A minimum of 50 square feet per person is required (80 square feet preferred) including restrooms, etc.
- C. **Design Criteria:**
 The facility **must** be designed and built to comply with the Ohio Basic Building Code (OBBC) and include “Essential Facility” earthquake requirements as applicable and indicated by seismic maps. The Federal Emergency Management Agency (FEMA) requirement for earthquake design is one level above that specified in the OBBC for “Essential Facilities”. The code will address local hazards, high winds, snow loads, ADA requirements, etc.
- D. **Rooms/Spaces:**
 The EOC **must** contain the following spaces/rooms to provide adequate working room:
1. Day-to-day office space for EMA Director and staff including secretary/receptionist (if applicable).
 2. Meeting/lead agency/Executive room.
 3. Communications room for radio/telephone and support equipment.
 4. Operations room for emergency coordination.
 5. Restrooms.
 6. Mechanical/electrical switch room.
 7. Kitchen/break area.
 8. Storage area for maps, procedures, publications, supplies, etc.
- E. **Operations Room:**
 The Operations Room, where agency representatives will assemble, **must** provide the essential elements that will be needed during a disaster. It must be large enough to

provide sufficient space for one or two representatives from each planned agency based upon the list developed during the planning process.

The Operations Room **must** also incorporate the following features:

1. Telephone lines and logs.
2. Status display capability (manual or video with large format).
Maps
Charts
Logs
3. Computer, internet and network needs for automatic data processing.
4. 30 square feet per person.

F. Communications:

During a disaster the EOC **must** be able to communicate with the responders in the field. These communication capabilities must include:

1. Telephone lines for each agency and other levels of government planned in the Operations Room (such that each agency has telephone access).
2. Telephone lines for other support areas (Director's office, secretary, executives, etc.).
3. Adequate analog phone lines for computer modems.
4. Fax line and machine.
5. LAN system if applicable.
6. Weather monitoring capability.
7. Access to Emergency Alert System (EAS).
8. Capability to activate local warning systems.
9. Electromagnetic protection for facility and antenna (lightning).
10. A communications room adjacent to the Operations Room sized to accommodate the maximum staff expected and (preferably) including space for amateur radio.
11. Radios with frequencies to communicate with field personnel (police, fire, EPA, parks, highways, health, school transportation systems, hospitals, public works, utilities, Red Cross, the state and other counties, etc).
12. Radio tower to support radio equipment (may be remotely located).

G. Emergency Power:

An emergency electrical power generator **must** be provided, which is large enough to power the EOC and all facilities (HVAC, radios, elevator, computer systems, etc.), and is permanently wired, automatic start and transfer. It should be located so that the noise or fumes do not interfere with the EOC and include a self-contained fuel system with a minimum four day reserve.

H. Operating Procedures/Agreements:

It is **mandatory** that Standard Operating Procedures (SOP) for managing the EOC during disaster activations be developed. In addition, when the EOC is located in a multiple use facility, such as a county jail, it is necessary that a Memorandum of Understanding (MOU) be developed and agreed to among the agencies using the facilities. The MOU should be explicit in outlining the use of the EOC, installation of antenna, and who bears the charges when the EOC is activated.

PLANNING:

The first step in developing a new EOC is planning. Careful attention to detail will make execution of the project much easier.

1. Identify needs – how will the facility be used.
2. Design for dual use – the EOC is ideal for meetings and training.
3. Locate away from hazards:
 - Technological and nuclear facilities
 - HAZMAT
 - Railroads
 - Highways
 - Airfield landing paths
 - Flood plains
 - Pipelines
 - High voltage power lines
4. Consider how facility will be secured during activation.
5. Determine maximum staff size (see chart).
6. Consider co-locating with 9-1-1 communications center or county jail.
7. If locating in an existing building, consider using basement or interior spaces.
8. Consider including showers in the restrooms.
9. Consider separate adequate space for media assembly and briefing.
10. Develop a list of agency personnel that will staff the EOC during emergencies.
11. Consider a computer floor to facilitate reconfiguration of Operations Room.
12. Plan for an interruption of domestic water supply.
13. Consider fiber optics throughout the agency and/or connected to outside agencies.
14. Acquire a local radio frequency for disaster coordination. Become the jurisdiction's advocate for frequency coordination.
15. Consideration should be given to including in the Operations Room the following features:
 - a) Weather radar and other GIS
 - b) High ceiling
 - c) Column free
 - d) Video status/shelter, etc., logs
 - e) Video tapes
 - f) Local TV/CNN
16. An additional transfer switch should be considered so that additional generators can be plugged into the system.
17. When considering automation, the Ohio EMA recommends the State of Ohio Enterprise Client Computer Hardware Standard. Standard No. ITS-PLF_01. The current version is dated 3/24/2008. The Minimum Standard for a client computer is :

Desktop Hardware Standard Specification		
Hardware Attribute	Basic Office Desktop	Managed Desktop (small form or mini tower)
Processor	Intel Core 2 Duo E4500 (2.2 GHz 2MB 800MHz FSB)	Intel Core 2 E6550 (2.2 GHz 2MB 800MHz FSB)
Chipset	Intel Q35/Q33 Express	Intel Q35/Q33 Express
Memory (min)	1 Gb (2x512) 2 open slots	2Gb (2x1Gb) 2 open slots
Memory type	PC2-5300(DDR 2-667MHz)	
Graphics	Intel GMA 3100 integrated graphics	
PCI	1 + internal slots	
PCI express	1+ internal slots (16x or 1x)	
Network adapter	Intel 82566 Gigabit LAN	
Hard Drive	80Gb (SATA 7200RPM) or 160Gb (SATA 7200RPM)	
Optical drive	CDRW/DVD-ROM combo, DVD +/- RW	
USB ports	6+	
Audio	1 + headphone 1+ microphone	
Video	VGA DSUB- 15	
Optional features		
Wireless	802.11 a/b/g	
Legacy ports	PS2, serial, parallel	
Modem	56k v.92	
Floppy Drive		

Suggested EOC Disaster Staff

Emergency Management Director
Chief Executives
PIO
Communications and Warning Officer
Military Liaison Officer
Radio Operators
Telephone Answerers
Disaster Assessment Person
Police Liaison
Fire Liaison
Public Works Liaison
Shelter Operations Liaison
Welfare Liaison
Medical and Health Liaison
Message Controller
Messengers and Plotters
Resource Officer
Security Officer

Allowable / Non-Allowable Costs

Allowable Cost

Design fees
Excavations for construction
Building shell construction and interior finishing
Modifications to existing building
Antenna and towers
Heating ventilating and air conditioning equipment
Display equipment for Operations Room
Furniture for Operations Room
Radio / communications equipment
Emergency generator
Kitchen / break room equipment
Plumbing / electric

Non-Allowable Costs

Landscaping
Parking lots
Construction of non-EMA space
Space less than 50 sq. ft. per person
Equipment designed for daily non-EMA use
Maintenance
Land purchase
Demolition

Appendix D: FY2011 EMPG Match Guidance

Introduction

Determining match for the purposes of submitting grant applications to any Federal Agency should be a coordinated process at the State and local level. It is highly recommended that programmatic staff at the State and local level consult with their financial staff prior to submitting any grant applications, especially those that identify cash or in-kind match.

Governing Provisions (See page 53-57 for details)

44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments* (44 CFR § 13.24, *Matching or Cost Sharing*)

2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87)

Program Guidance and/or Program Regulations

Types of Match

1. Cash Match. Cash (hard) match 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 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87) and 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*.

2. In-kind Match. In-kind (soft) match 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. For example, if in-kind match (other than cash payments) is permitted, then the value of donated services could be used to comply with the match requirement. Also, third party in-kind contributions may count toward satisfying match requirements provided the grantee receiving the contributions expends them as allowable costs in compliance with 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87) and 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*.

Definitions

Matching or Cost Sharing. This means the value of the third party in-kind contributions and the portion of the costs of a federally-assisted project or program not borne by the Federal Government. All cost-sharing or matching funds claimed against a FEMA grant by State, local or Tribal governments must meet the requirements of the program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225.

Cash Match (hard). This includes cash spent for project-related costs under a grant agreement. Allowable cash match must include only those costs which are allowable with Federal funds in compliance with the program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225.

In-kind Match (soft). This means contributions of the reasonable value of property or services in lieu of cash which benefit a federally-assisted project or program. This type of match may only be used if not restricted or prohibited by program statute, regulation or guidance and must

be supported with source documentation. Only property or services that are in compliance with program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225, are allowable.

Basic Guidelines

- For costs to be eligible to meet matching requirements, the costs must first be allowable under the grant program.
- The costs must also be in compliance with all Federal requirements and regulations (e.g., 44 CFR Part 13 and 2 CFR Part 225); the costs must be reasonable, allowable, allocable, and necessary.
- Records for all expenditures relating to cost sharing or matching must be kept in the same manner as those for the grant funds.
 - The following documentation is required for third-party cash and in-kind contributions: Record of donor; Dates of donation; Rates for staffing, equipment or usage, supplies, etc.; Amounts of donation; and Deposit slips for cash contributions. According to 44 CFR § 13.24, this documentation is to be held at the Applicant and/or sub-applicant level.
- Except as provided by Federal statute, a cost sharing or matching requirement may not be met by costs borne by another Federal grant.
- The source of the match funds must be identified in the grant application.
- Every item must be verifiable, i.e., tracked and documented.
- Any claimed cost share expense can only be counted once.

Examples (For additional examples of match, please contact your State finance office)

Non-Federally funded equipment or facilities used during exercises can be claimed as soft match, but only at the time of donation. For example, only the fair market price for the use of the facility for the period of the exercise can be claimed as match.

Third party in-kind contributions of salary, travel, equipment, supplies and other budget areas that are from third party sources must be in compliance with 44 CFR § 13.24, *Matching or Cost Sharing*. These types of contributions include voluntary contributions such as emergency personnel, lawyers, etc., who donate their time to a Federal grant program. The normal per hour rate for these professionals (acting in their professional capacity) can be used to meet the matching requirement. The value of the services provided is taken into consideration when determining the value of the contribution - not who is providing the service. For example, if a lawyer is volunteering his services to assist flood victims in filing legal paper work, the lawyer's normal hourly rate is allowable. If the lawyer is volunteering his services and is working in a soup kitchen, the lawyer's hourly rate would not be applicable; it would be the hourly rate for a soup kitchen worker.

44 CFR § 13.24, *Matching or Cost Sharing.*

(a) Basic rule: Costs and contributions acceptable. With the qualifications and exceptions listed in paragraph (b) of this section, a matching or cost sharing requirement may be satisfied by either or both of the following:

- (1) Allowable costs incurred by the grantee, sub-grantee or a cost-type contractor under the assistance agreement. This includes allowable costs borne by non-Federal grants or by others cash donations from non-Federal third parties.
- (2) The value of third party in-kind contributions applicable to the period to which the cost sharing or matching requirements applies.

(b) Qualifications and exceptions:

(1) Costs borne by other Federal grant agreements. Except as provided by Federal statute, a cost sharing or matching requirement may not be met by costs borne by another Federal grant. This prohibition does not apply to income earned by a grantee or sub-grantee from a contract awarded under another Federal grant.

(2) General revenue sharing. For the purpose of this section, general revenue sharing funds distributed under 31 U.S.C. 6702 are not considered Federal grant funds.

(3) Cost or contributions counted towards other Federal costs-sharing requirements. Neither costs nor the values of third party in-kind contributions may count towards satisfying a cost sharing or matching requirement of a grant agreement if they have been or will be counted towards satisfying a cost sharing or matching requirement of another Federal grant agreement, a Federal procurement contract, or any other award of Federal funds.

(4) Costs financed by program income. Costs financed by program income, as defined in § 13.25, shall not count towards satisfying a cost sharing or matching requirement unless they are expressly permitted in the terms of the assistance agreement (This use of general program income is described in § 13.25 (g)).

(5) Services or property financed by income earned by contractors. Contractors under a grant may earn income from the activities carried out under the contract in addition to the amounts earned from the party awarding the contract. No costs of services or property supported by this income may count toward satisfying a cost sharing or matching requirement unless other provisions of the grant agreement expressly permit this kind of income to be used to meet the requirement.

(6) Records. Costs and third party in kind contributions counting towards satisfying a cost sharing or matching requirement must be verifiable from the records of grantees and subgrantees or cost- type contractors. These records must show how the value placed on third party in-kind contributions was derived. To the extent feasible, volunteer services will be supported by the same methods that the organization uses to support the allocability of regular personnel costs.

(7) Special standards for third party in kind contributions.

(i) Third party in kind contributions count towards satisfying a cost sharing or matching requirement only where, if the party receiving the contributions were to pay for them, the payments would be allowable costs.

(ii) Some third party in-kind contributions are goods and services that if the grantee, sub-grantee, or contractor receiving the contribution had to pay for them, the payments would have been an indirect cost. Costs sharing or matching credit for such contributions shall be

given only if the grantee, sub-grantee, or contractor has established, along with its regular indirect cost rate, a special rate for allocating to individual projects or programs the value of the contributions.

(iii) A third party in-kind contribution to a fixed-price contract may count towards satisfying a cost sharing or matching requirement only if it results in:

(A) An increase in the services or property provided under the contract (without additional cost to the grantee or subgrantee); or

(B) A cost savings to the grantee or subgrantee.

(iv) The values placed on third party in kind contributions for cost sharing or matching purposes will conform to the rules in the succeeding sections of this part. If a third party in-kind contribution is a type not treated in those sections, the value placed upon it shall be fair and reasonable.

(c) Valuation of donated services:

(1) Volunteer services. Unpaid services provided to a grantee or sub-grantee by individuals will be valued at rates consistent with those ordinarily paid for similar work in the grantee's or sub-grantee's organization. If the grantee or sub-grantee does not have employees performing similar work, the rates will be consistent with those ordinarily paid by other employers for similar work in the same labor market. In either case, a reasonable amount for fringe benefits may be included in the valuation.

(2) Employees of other organizations. When an employer other than a grantee, sub-grantee, or cost-type contractor furnishes free of charge the services of an employee in the employee's normal line of work, the services will be valued at the employee's regular rate of pay exclusive of the employee's fringe benefits and overhead costs. If the services are in a different line of work, paragraph(c)(1) of this section applies.

(d) Valuation of third party donated supplies and loaned equipment or space:

(1) If a third party donates supplies, the contribution will be valued at the market value of the supplies at the time of donation.

(2) If a third party donates the use of equipment or space in a building but retains title, the contribution will be valued at the fair rental rate of the equipment or space.

(e) Valuation of third party donated equipment, buildings, and land. If a third party donates equipment, buildings, or land, and title passes to a grantee or sub-grantee, the treatment of the donated property will depend upon the purpose of the grant or sub-grant, as follows:

(1) Awards for capital expenditures. If the purpose of the grant or sub-grant is to assist the grantee or sub-grantee in the acquisition of property, the market value of that property at the time of donation may be counted as cost sharing or matching,

(2) Other awards. If assisting in the acquisition of property is not the purpose of the grant or sub-grant, paragraphs (e)(2) (i) and (ii) of this section apply:

(i) If approval is obtained from the awarding agency, the market value at the time of donation of the donated equipment or buildings and the fair rental rate of the donated land may be counted as cost sharing or matching. In the case of a sub-grant, the terms of the grant agreement may require that the approval be obtained from the Federal agency as well as the grantee. In all cases, the approval may be given only if a purchase of the equipment or rental

of the land would be approved as an allowable direct cost. If any part of the donated property was acquired with Federal funds, only the non-Federal share of the property may be counted as cost sharing or matching.

(ii) If approval is not obtained under paragraph (e)(2)(i) of this section, no amount may be counted for donated land, and only depreciation or use allowances may be counted for donated equipment and buildings. The depreciation or use allowances for this property are not treated as third party in-kind contributions. Instead, they are treated as costs incurred by the grantee or sub-grantee. They are computed and allocated (usually as indirect costs) in accordance with the cost principles specified in § 13.22, in the same way as depreciation or use allowances for purchased equipment and buildings. The amount of depreciation or use allowances for donated equipment and buildings is based on the property's market value at the time it was donated.

(f) Valuation of grantee or sub-grantee donated real property for construction/acquisition.

If a grantee or sub-grantee donates real property for a construction or facilities acquisition project, the current market value of that property may be counted as cost sharing or matching. If any part of the donated property was acquired with Federal funds, only the non-Federal share of the property may be counted as cost sharing or matching.

(g) Appraisal of real property. In some cases under paragraphs (d), (e), and (f) of this section, it will be necessary to establish the market value of land or a building or the fair rental rate of land or of space in a building. In these cases, the Federal agency may require the market value or fair rental value be set by an independent appraiser, and that the value or rate be certified by the grantee. This requirement will also be imposed by the grantee on sub-grantees.

2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB A-87)

1. Factors affecting allowability of costs. To be allowable under Federal awards, costs must meet the following general criteria:

- a.** Be necessary and reasonable for proper and efficient performance and administration of Federal awards.
- b.** Be allocable to Federal awards under the provisions of 2 CFR Part 225.
- c.** Be authorized or not prohibited under State or local laws or regulations.
- d.** Conform to any limitations or exclusions set forth in these principles, Federal laws, terms and conditions of the Federal award, or other governing regulations as to types or amounts of cost items.
- e.** Be consistent with policies, regulations, and procedures that apply uniformly to both Federal awards and other activities of the governmental unit.
- f.** Be accorded consistent treatment. A cost may not be assigned to a Federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Federal award as an indirect cost.
- g.** Except as otherwise provided for in 2 CFR Part 225, be determined in accordance with generally accepted accounting principles.
- h.** Not be included as a cost or used to meet cost sharing or matching requirements of any other Federal award in either the current or a prior period, except as specifically provided by Federal law or regulation.
- i.** Be the net of all applicable credits.
- j.** Be adequately documented.

2. Reasonable costs. A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. The question of reasonableness is particularly important when governmental units or components are predominately federally-funded. In determining reasonableness of a given cost, consideration shall be given to:

- a. Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the governmental unit or the performance of the Federal award.
- b. The restraints or requirements imposed by such factors as: Sound business practices; arm's-length bargaining; Federal, State and other laws and regulations; and, terms and conditions of the Federal award.
- c. Market prices for comparable goods or services.
- d. Whether the individuals concerned acted with prudence in the circumstances considering their responsibilities to the governmental unit, its employees, the public at large, and the Federal Government.
- e. Significant deviations from the established practices of the governmental unit which may unjustifiably increase the Federal award's cost.

3. Allocable costs.

- a. A cost is allocable to a particular cost objective if the goods or services involved are chargeable or assignable to such cost objective in accordance with relative benefits received.
- b. All activities which benefit from the governmental unit's indirect cost, including unallowable activities and services donated to the governmental unit by third parties, will receive an appropriate allocation of indirect costs.
- c. Any cost allocable to a particular Federal award or cost objective under the principles provided for in 2 CFR Part 225 may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons.
- d. Where an accumulation of indirect costs will ultimately result in charges to a Federal award, a cost allocation plan will be required as described in Appendices C, D, and E to this part.

4. Applicable credits.

- a. Applicable credits refer to those receipts or reduction of expenditure-type transactions that offset or reduce expense items allocable to Federal awards as direct or indirect costs. Examples of such transactions are: Purchase discounts, rebates or allowances, recoveries or indemnities on losses, insurance refunds or rebates, and adjustments of overpayments or erroneous charges. To the extent that such credits accruing to or received by the governmental unit relate to allowable costs, they shall be credited to the Federal award either as a cost reduction or cash refund, as appropriate.
- b. In some instances, the amounts received from the Federal Government to finance activities or service operations of the governmental unit should be treated as applicable credits. Specifically, the concept of netting such credit items (including any amounts used to meet cost sharing or matching requirements) should be recognized in determining the rates or amounts to be charged to Federal awards.

Appendix E: FAQs on Training and Exercise Requirements for FY2011

- If someone has already taken any of the IS courses listed in the FY 2011 EMPG Guidance, they do not have to take them again during the FY 2011 performance period.
- If the classroom version (at EMI or state sponsored) of the IS course was taken, the IS version of the course does not need to be taken. For example, if IS-230.a was already taken, the new version (IS-230.b) on the EMI website does not have to be taken and either is allowable, as are the earlier versions of the course.
- For those EMA personnel who have been in the profession for several years or longer, any course completion “counts”. A PDS achieved at any point since its creation is still valid.
- Achieving CEM or AEM certification does not meet the intent of the training requirements, i.e. achieving the PDS certification. CEM or third party certification are managed and run by non-governmental associations. Most CEMs will have also completed the PDS.
- Achieving a state level professional emergency management certification does not meet the intent of the training requirements for the same reasons as above. People with CEM’s, AEM’s or State level professional emergency management certification will generally have already completed the PDS, or could complete them with very little effort.
- All EMPG-funded personnel at both the State and local levels shall participate in no less than three exercises in a 12-month period. Real world events do not count toward meeting this requirement.
- The exercise requirement to conduct 5 exercises including a full scale annually is for State grantee (Ohio EMA) only. The requirement for staff funded out of EMPG to participate in at least three exercises is for any EMPG funded staff at the State and local levels. Keep in mind that these exercises may be of any type.
- Actual events may not count toward the exercise requirement.