



# State of Arizona EMPG Programmatic and Financial Frequently Asked Questions

## WHAT IS THE PERFORMANCE PERIOD FOR THE GRANT?

The performance period is the window of time in which all grant expenditures must be made. For example:

- The FY2015 EMPG grant performance period is July 1, 2015 - June 30, 2016.
- The FY2016 EMPG grant performance period is July 1, 2016 - June 30, 2017.

All expenditures associated with your FY2015 and/or FY2016 award must be made within the associated time frame. Any expenditure made outside the performance period is not eligible for that grant year.

## WHAT FORMS ARE DUE WHEN?

For FY2016, the EMPG application is due to DEMA no later than March 10, 2016. Additionally:

- Sub-recipient Quarterly Programmatic Activity Report Forms are due on the 15th day after the close of each quarter. For FY2016, the dates are Oct 15, 2016; Jan 15, 2017; Apr 15, 2017; July 15, 2017.
- If you are using EMPG funding for Personnel expenses, an agency organization chart is required by end of first quarter. Changes to key personnel during performance period must be submitted to DEMA within 30 days of the change. A letter describing the changes and a revised organizational chart should be included.
- Sub-recipient Reimbursement Request Forms are due on the 30th day after the close of each quarter. For FY2016, the dates are Oct 30, 2016; Jan 30, 2017; Apr 30, 2017; July 30, 2017.

## ALLOWABLE EXPENDITURES

### Planning:

## CAN I USE EMPG FUNDS TO DEVELOP OR ENHANCE EMERGENCY MANAGEMENT PLANNING ACTIVITIES?

Yes. Planning spans all five National Preparedness Goal mission areas.

### Travel:

## WHAT ARE THE REQUIRED CRITERIA FOR AUTHORIZED TRAVEL/REIMBURSEMENT?

In order to be eligible for reimbursement under the EMPG program, travel must meet the following criteria:

- Must be official business related to approved training, exercise activities and/or linked to accomplishing activities outlined in the EMPG program work plan.
- Must be allowable and reasonable and may include airfare, mileage, per diem and hotel.





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- Must have an agenda for the meeting/conference.
- Per federal policy, your travel must also abide by local/state travel policy, whichever is more stringent. For reference, the State of Arizona Travel Policy: AZ State Per Diem Rate is available at: [https://gao.az.gov/sites/default/files/Supp\\_1\\_trvrates-012308.pdf](https://gao.az.gov/sites/default/files/Supp_1_trvrates-012308.pdf)

## What documentation is required for travel/reimbursement?

The reimbursement request must include:

- Original receipts for all expenditures, including meals, flight, baggage, taxi fare, hotel, etc.
- An agenda from the attended event (if applicable)
- If claiming mileage, you must include a printout of the distance using MapQuest or Google Maps
- As a note, all international travel must have prior approval from FEMA (submitted through DEMA). Your reimbursement request should include a copy of the approval.



## ORGANIZATION:

### What are Organization Costs?

Organization costs include personnel costs, including salary, overtime, compensatory time off, and associated fringe benefits for a jurisdiction's emergency management staff. These costs must comply with 2 C.F.R. Part 200, Subpart E—Cost Principles, and be approved as part of your initial EMPG application or subsequent amendment.

## EQUIPMENT:

### What Equipment is allowable under EMPG? Ref. §200.313:

Equipment purchases under the EMPG program must be reasonable, allowable, and necessary to accomplish the projects identified in the jurisdiction's application. For list of equipment see the Authorized Equipment List (AEL) at <http://www.fema.gov/preparedness-non-disaster-grants> or <http://www.fema.gov/grants>. Additionally:

- The equipment must be used for the authorized purposes of the project during the period of performance, or until the property is no longer needed for the purposes of the project.
- Agencies must obtain and maintain all necessary certifications and licenses for the requested equipment.
- All communications equipment should comply with the most recent version of the SAFECOM guidance.

### What is the process for Equipment Disposition? §200.313(e):

Equipment with a current per unit fair market value of \$5,000 or less may be retained, sold or otherwise disposed of with no further obligation to the federal awarding agency. Please contact DEMA for specific guidance.



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## TRAINING:

### Can I use EMPG funds for Training-related costs?

Yes. EMPG funds can be used to:

- Develop, deliver, and evaluate training.
- Overtime and backfill costs in accordance with NOFO.
- Travel (e.g., airfare, mileage, per diem and hotel)—see above for reimbursement requirements
- Hiring of full or part-time staff or contractors/consultants.
- Instructor (re)certification.

## EXERCISES:

### Can I use EMPG funds for Exercise-related costs?

Yes. EMPG funds can be used to:

- Design, develop, conduct, and evaluate an exercise.
- Hire full or part-time staff or contractors/consultants.
- Cover overtime and backfill costs in accordance with NOFO.
- Travel. (e.g., airfare, mileage, per diem, and hotel)
- Purchase supplies for the exercise.
- Implement HSEEP principles into exercise program.
- Other items (e.g., limited items consumed in direct support of exercise activities (i.e., location rentals for planning and conducting exercises, equipment rentals, and procurement of essential nondurable goods)).
- Limited purchase of food/snacks/water (see below for more detail)



### Are food purchases allowable under the EMPG grant?

Yes. However, food purchases must adhere to the following:

- Training and exercises—light refreshments.
- Working lunches—allowable only if the duration of the training/exercise exceeds a six hour period.
  - Lunch meal purchases can be provided at the State per diem rate.



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- EOC activations—food expenses are allowable provided they meet the allowable, allocable, and reasonable criteria. If the county/tribe is under a state or federal declaration, food costs should be reimbursed under the Public Assistance Program.
- Providing food for meetings and conferences is **not** an allowable expense.
- Providing bottled water is **not** an allowable expense unless potable water is not within 100 yards of the event; in such cases, providing bottled water to participants is allowable.

## CONSTRUCTION AND RENOVATION:

### Are construction and renovation projects allowable under EMPG?

Yes. A written request must be submitted to DEMA for FEMA's approval prior to the start of construction. This submission will include an Environmental & Historic Preservation (EHP) review.



## SUPPLIES:

### What types of supplies are allowable under EMPG?

Supplies that directly support the Emergency Management Program are eligible, provided they do not violate any other grant guidance or Federal requirement. Examples of eligible supply purchases are:

- Supplies for training and exercises that are expended or consumed during the course of the planning and conducting of the exercise activities (e.g., gloves, non-sterile masks and disposable protective equipment)
- General office supplies critical to the function of the EM Program and reasonable in cost and quantity.
- Emergency supplies (e.g., shelf-stable food, water and/or basic medical supplies) not to exceed \$100,000.

## PROFESSIONAL AND CONSULTANT SERVICES: Ref. §200.231, 200.326, & 200.323

### Are Professional and Consultant Services allowable under EMPG?

Yes, provided they are reasonable in scope and result in a product that directly benefits the jurisdiction's EM program. This includes maintenance costs of existing contracts. In addition to meeting grant guidance, the services must meet the following:

- EMPG application includes a proposed Scope of Work (SOW) for the services. SOWs should include a description of the type of service to be rendered, estimated cost (including a cap, when applicable) and a timeframe for completion of contracted services.
- If utilizing individual consultant services, please:



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- Provide an hourly, daily, or weekly base rate. Please ensure the rates are allowable, justified, reasonable, and comparable to market.
- Include in your first reimbursement a description of the procurement method used to identify the contractor. A copy of the procurement policy is required if not already on file with DEMA.
- If awarded funding for professional and consultant services, please provide the following with quarterly activity report/reimbursement request:
  - Copy of invoice from vendor
  - Copy of signed contract (with first reimbursement request for contracted services, only)

## MAINTENANCE CONTRACTS AND WARRANTY COVERAGE §200.452

### Are Maintenance Contracts and Warranty Coverage allowable under EMPG?

Yes. In accordance with 2 CFR §200.452, costs incurred for utilities, insurance, security, necessary maintenance, janitorial services, repair, or upkeep of buildings and equipment (including Federal property unless otherwise provided for) which neither add to the permanent value of the property nor appreciably prolong its intended life, but keep it in an efficient operating condition, are allowable. Costs incurred for improvements which add to the permanent value of the buildings and equipment or appreciably prolong their intended life must be treated as capital expenditures (see §200.439 Equipment and other capital expenditures). These costs are only allowable to the extent not paid through rental or other agreements.

## AMENDMENT AND/OR CHANGES TO THE APPLICATION

### Can I request to amend or change the project scope or budget during the performance period? Ref. §200.308

Yes. Amendments and/or changes can be requested to the DEMA Grant Administration Office and they are due no later than March 1 of each grant fiscal year. Amendments should be submitted for:

- Change in scope or objectives of project
- Change of authorized official or key personnel
- Disengagement for more than 3 months or 25% reduction in time, of approved project director or lead.

### What do I submit to the EMPG Program Coordinator for an amendment request?

Please complete the standard amendment form provided by DEMA. Your amendment should:

- Include a strong justification for approval
- Include information on how the change meets original program intent
- Comply with grant terms and conditions
- Identify costs that are allowable, allocable, reasonable, and necessary, in accordance with 2 CFR subpart E (cost principles) and the applicable fiscal year funding opportunity and program guidance.



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## How soon will I hear back from DEMA on amendment requests?

DEMA reviews requests and notifies sub-recipient of approval and/or approval (with special conditions) within 30 days. An approved request results in a modification to the award documentation. Revised award documents are sent to the sub-recipient agency.

## What reports are required to be filed with DEMA?

As part of your initial application, you will be asked to confirm the following:

- Participation in the development of the state/tribal THIRA (Threat Hazard Identification Risk Assessment)
  - Sub-recipients should attend in the annual AZDOHS/DEMA THIRA workshop, and cite their participation in the Quarterly Programmatic Activity Progress Report when completed.
- National Incident Management System (NIMS) implementation
  - Recipient should report on NIMS implementation through State Preparedness Report (SPR). NIMS implementation includes standardized resource management concepts for typing, credentialing, and an inventory to facilitate the identification, dispatch, deployment, tracking and recovery of resources.
- MYTEP development: development of a Multi-year Training and Exercise Plan (TEP) and participation in the related Training and Exercise Plan Workshop (TEPW).
  - Percent completion of the TEP outlined in the initial EMPG Program application should be included in the Quarterly Programmatic Activity Progress Report.
- Update of jurisdiction's emergency operations plan within the last two years

## What requirements do EMPG Program funded personnel have to meet?

All EMPG Program funded personnel must meet the following criteria:

- **TRAINING:** personnel shall complete and record proof of completion: NIMS training, Independent Study (IS) 100, 200, 700, and 800, and other independent courses identified in Professional Development Series. Progress towards these requirements should be demonstrated consistently throughout the grant period.
- **EXERCISE:** personnel shall participate in three HSEEP-compliant exercises of any type (i.e. discussion-based or operations-based) per period of performance.
- **TIME AND EFFORT REPORTING:** personnel are required to submit a quarterly Time and Effort Report (TER) form along with their reimbursement request. The TER should document a minimum of one week's activity for all EMPG-funded personnel with the quarter being submitted for reimbursement.

Proof of all three items should be included in the quarterly programmatic reports, unless otherwise noted above.



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## Does the Environmental Planning & Historic Preservation (EHP) Compliance application apply to my project(s)?

The EHP application/review process is required before any federal funds can be expended on the project if your project falls into these categories:

- **RENOVATION/UPGRADES/MODIFICATIONS OR PHYSICAL SECURITY ENHANCEMENTS TO EXISTING STRUCTURES:** The project impacts the environment, including building modification or renovation and new construction.
- **PURCHASE OF EQUIPMENT:** The project includes the purchase of equipment that requires installation on or in a building or structure.
- **TRAINING AND EXERCISE:** The project involves training exercises with a field-based component, such as drills or full-scale exercises.
- **GENERATOR INSTALLATION:** The project involves installation of new or replacement generators, to include the concrete pads, underground fuel and electric lines, and if necessary a fuel storage tank.
- **NEW CONSTRUCTION/ADDITION:** The project involves new construction, addition to, or expansion of a facility.
- **COMMUNICATION TOWERS, ANTENNAS, AND RELATED EQUIPMENT:** The project involves construction of a new or replacement communications towers, or installation of communications-related equipment on a tower or building or in a communications shelter or building.
- **OTHER:** The project does not fit in any of the categories listed above.

The application review process is submitted to DEMA's program coordinator; the program coordinator submits the application to FEMA Region IX's Grant Programs Directorate accordingly. Depending on the type of project, the timeline for response will vary.

## What does the Programmatic/Financial Monitoring DEMA conducts include?

In accordance with 2 CFR §200.328 Monitoring involves the review and analysis of the programmatic, financial, performance, compliance and administrative processes, policies, activities, and other attributes of the EMPG award, and identifies areas where technical assistance, corrective actions and other support may be needed. DEMA conducts monitoring visits to ensure compliance with the program guidance in one of three ways:

- **DESK BASED REVIEWS:** technical support is provided during the period of performance via email and phone.
- **TECHNICAL SUPPORT SITE VISITS:** one-on-one meetings with the sub-recipient to provide support in specific aspects of the EMPG program or process. These are conducted at the request of the sub-recipient.



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- **SCHEDULED SITE MONITORING VISITS:** meetings at the office of the sub-recipient with the grant program staff.
  - These are the opportunities for questions to be asked, best practices to be shared, and concerns to be addressed. Also for review of programmatic forms and discussion of program requirements as outlined in the grant guidance; to discuss possible changes and/or amendments, to provide new personnel with an overview of the grant requirements, and/or provide any additional support to grants staff as needed.

All monitoring visits are coordinated with sub-recipients in advance. Sub-recipients are provided with pre-site visit notification in the form of email and agency letterhead. During the visit, a formal checklist is used to ask various programmatic, financial, performance, compliance and administrative processes, policies, activities questions.

#### Additional Performance Measures and Risk Assessment Considerations:

- Is the sub-recipient using the standard forms provided by DEMA when providing performance updates?
- Are quarterly activity reports submitted consistently and in a timely manner?
- Do the quarterly activity reports include progress toward completing the activities and projects stated and approved in their EMPG application?
- Do the activity reports validate how expenditures support maintenance and sustainment of current goal core capabilities?
- Do the activities support progress made towards implementing the National Preparedness System?

#### Does EMPG have a Cost Share requirement?

Yes. EMPG is a 50/50 cost share grant, with each federal dollar requiring a sub-recipient dollar to match it. In accordance with 2 CFR §200.306 (b), the sub-recipient's portion of the cost share must be:

- Documented
- Not included as contributions for any other Federal award
- Necessary and reasonable for accomplishment of project or program objectives
- Allowable under Subpart E—Cost Principles of this 2 CFR §200.306
- Not paid by the Federal government under another federal award, except where the federal statute authorizing a program specifically provides that federal funds made available for such program can be applied to matching or cost sharing requirements of other federal programs.

#### CONTACTS:

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