



## Memorandum for Emergency Managers

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**Subject:** FY 2011 Grant Allocations and Guidance

**Date:** May 19, 2011, revised

Today DHS/FEMA released the grant guidance and application kits for 12 preparedness grant programs. The press release, Overview which contains the allocations, Grant Guidance and Application Kits, Fact Sheets, and Frequently Asked Questions and Answers are posted on the IAEM website at [www.iaem.com](http://www.iaem.com).

A few highlights:

### **Emergency Management Performance Grants**

- \$329,140,400 to be distributed. Allocated to states on basis of formula in Sec. 662 of Post Katrina Emergency Management Reform Act (PKEMRA.)
- States must submit applications no later than 11:59 pm EDT, June 20.
- Purpose of EMPG is to make grants to States to assist State, local and Tribal governments in preparing for all hazards.
- Guidance states on page 5, “A comprehensive State emergency management system must engage stakeholders at all levels. Local emergency management organizations should remain informed and have the opportunity to provide input to state planning processes. Although FEMA 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.
- Period of Performance is 24 months beginning on October 1, 2010.
- Both grantees and sub-grantees are each allowed to withhold up to five percent for M & A.
- “DHS and FEMA leadership have identified a priority that grantees are strongly encouraged to consider when developing their FY 2011 DHS/FEMA Preparedness Grant plans. The priority is Advancing ‘Whole Community’ Security and Emergency Management.” P. 3 of guidance.
- Four specific objectives are included with measurement method and reporting requirements listed.
  - Approved Emergency Plans
  - Completion of Threat and Hazard Identification and Risk Assessment
  - Develop and maintain Multi-Year Training and Exercise Plans
  - Target Training and Verify Capability of Personnel
- Data collection processes are enhanced to assess use and impact of funds.
- Guidance states that if the State Administrative Agency (SAA) is not the Emergency Management Agency (EMA), the SAA is **not eligible to retain funds for M & A.** (p. 12 of guidance)

- Guidance gives details of allowable costs in planning, organization, equipment, training, exercises, EOC construction and renovation, maintenance and sustainment (note restrictions).
- Construction and renovation for a state, local or tribal government's principal EOC is eligible at 50% Federal and 50% grantee.

### **Emergency Operations Center Grants**

- \$14,101,740 available to be awarded competitively
- For primary state, local or tribal government EOC—renovation or construction
- State Administrative Officer is only one eligible to submit applications on behalf of state, local or tribal
- Two reviews
  - SAA in coordination with State EMA
  - National Review
- 75% Federal; 25% grantee match (cash or in kind)
- Eligible EOCs requesting funding may request up to \$1,000,000 for construction projects or up to \$250,000 for renovation projects through the FY 2011 EOC Grant Program.
- **June 13, 2011:** Deadline for sub grantees to submit applications to the SAA
- **June 20, 2011:** Applications due to DHS-FEMA by the SAA
- Note: last year there were 437 individual project applications and 20 were funded.
- Period of performance is 36 months.

### **Homeland Security Grants**

#### **State Homeland Security Grant (SHSP)**

- \$526,874,600
- Deadline for applications to FEMA June 20
- 25% required for law enforcement activities (allocations slightly more and are listed)
- Pass through requirements to locals at end of memo

#### **Urban Area Security Initiative (UASI)**

- \$662,622,100
- Limited to 11 Tier 1 urban areas and 20 Tier 2
- Tier 1 will receive 81.6% of funding
- Tier 2 will receive 18.4%
- 25% required for law enforcement
- Any UASI funds retained by the State must be used in direct support of the Urban Area. States must provide documentation to the UAWG and FEMA upon request demonstrating how any UASI funds retained by the State are directly supporting the Urban Area.
- Deadline for applications to FEMA June 20

### **Metropolitan Medical Response System**

- \$34,929,932
- Funding divided equally between the 124 who received funding last year
- Deadline for applications to FEMA June 20

### **Priorities for State Homeland Security Program and Urban Area Security Initiative**

Guidance includes the following information on i an ii with more details starting page 4 of Guidance.

For SHSP and UASI, three priorities have been identified in which grantees **are strongly encouraged** to consider when developing their FY 2011 HSGP plans.

These priorities include: Advancing “Whole Community” Security and Emergency Management; Building Prevention and Protection Capabilities; and Maturation and Enhancement of State and Major Urban Area Fusion Centers. Additionally, as maturation of the national network of fusion centers is one of the Department’s highest priorities in FY 2011, the Department of Homeland Security (DHS) is requiring that at least one (1) fusion center Investment from a State provide funding support to the State’s primary fusion center, as designated by the Governor. In addition, FY 2011 eligible UASI Urban Areas will be required to provide an Investment for the DHS-recognized fusion center within the Urban Area. Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission.

### **Pass Through Requirements for State Homeland Security Grant Program**

#### **Requirement in Law**

The requirement in the authorization legislation, *Implementing the Recommendations of the 9/11 Commission Act of 2007* (P.L. 110-53)states—

“SEC. 2004. STATE HOMELAND SECURITY GRANT PROGRAM.

“(a) ESTABLISHMENT.—There is established a State Homeland Security Grant Program to assist State, local, and tribal governments in preventing, preparing for, protecting against, and responding to acts of terrorism.

“(b) APPLICATION.—

“(1) IN GENERAL.—Each State may apply for a grant under this section, and shall submit such information in support of the application as the Administrator may reasonably require.

“(2) MINIMUM CONTENTS OF APPLICATION.—The Administrator shall require that each State include in its application, at a minimum—

“(A) the purpose for which the State seeks grant funds and the reasons why the State needs the grant to meet the target capabilities of that State;

“(B) a description of how the State plans to allocate

the grant funds to local governments and Indian tribes;  
and

“(C) a budget showing how the State intends to expend the grant funds.

“(3) ANNUAL APPLICATIONS.—Applicants for grants under this section shall apply or reapply on an annual basis.

“(c) DISTRIBUTION TO LOCAL AND TRIBAL GOVERNMENTS.—

“(1) IN GENERAL.—Not later than 45 days after receiving grant funds, any State receiving a grant under this section shall make available to local and tribal governments, consistent with the applicable State homeland security plan—

“(A) not less than 80 percent of the grant funds;

“(B) with the consent of local and tribal governments, items, services, or activities having a value of not less than 80 percent of the amount of the grant; or

“(C) with the consent of local and tribal governments, grant funds combined with other items, services, or activities having a total value of not less than 80 percent of the amount of the grant.

“(2) CERTIFICATIONS REGARDING DISTRIBUTION OF GRANT FUNDS TO LOCAL GOVERNMENTS.—A State shall certify to the Administrator that the State has made the distribution to local and tribal governments required under paragraph (1).

### **Information on local pass through in FY 2011 FEMA Guidance**

Issue is addressed on pages 31 and 32 of the FY 2011 Homeland Security Grant Program Guidance and Application Kit.

The information follows:

#### ***Pass Through Requirement***

Awards made to the SAA for HSGP carry additional pass-through requirements. Pass-through is defined as an obligation on the part of the States to make funds available to local units of government, combinations of local units, or other specific groups or organizations. The State’s pass-through period must be met within 45 days of the award date for the HSGP. Four requirements must be met to pass-through grant funds:

- For purposes of the FY 2011 HSGP, receipt of funds means the date on which funds are available for expenditure (i.e., all special conditions prohibiting obligation, expenditure, and drawdown have been removed).
- There must be some action to establish a firm commitment on the part of the awarding entity
- The action must be unconditional on the part of the awarding entity (i.e., no contingencies for availability of SAA funds)
- There must be documentary evidence of the commitment

The award terms must be communicated to the official grantee.

FEMA will track the congressionally-mandated obligation of funds to local units of government through each State's Initial Strategy Implementation Plan (ISIP). In addition, FEMA strongly encourages the timely obligation of funds from local units of government to other sub-grantees, as appropriate.

**The SAA must obligate at least 80 percent (80%) of the funds awarded under SHSP and UASI to local units of government within 45 days of receipt of the funds.** For Puerto Rico, the SAA must also obligate at least 80 percent of the funds to local units of government within 45 days of receipt of the funds. Additionally, no pass-through requirements will be applied to the District of Columbia, Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands. Any UASI funds retained by the SAA must be used to **directly** support the designated Urban Areas in the State.

For SHSP and UASI programs involving obligation of funds, the State may retain some of the allocation of grant funds for expenditures made by the State on behalf of the local unit of government or Urban Area jurisdiction. This may occur only with the written consent of the local unit of government or Urban Area jurisdiction, with the written consent specifying the amount of funds to be retained and the intended use of funds. If a written consent agreement is already in place from previous fiscal years, FEMA will continue to recognize it for FY 2011. If any modifications to the existing agreement are necessary to reflect new initiatives, States should contact their assigned FEMA Program Analyst.

The SAA must obligate 100 percent (100%) of the funds awarded under OPSG to local units of government within 45 days of receipt of the funds. There are no obligation requirements for MMRS or CCP. However, if funds are retained, the maximum amount that can be retained is equivalent to the percentage that the State can retain for M&A.

If funds are retained for CCP, consultation with local Citizen Corps Councils is required to ensure funds are expended in a manner that supports local or statewide efforts to educate, train, and involve citizens. Jurisdictions are encouraged to leverage available funding resources to support community preparedness and participation.