



STATE OF WISCONSIN
DEPARTMENT OF MILITARY AFFAIRS
DIVISION OF EMERGENCY MANAGEMENT

Brian M. Satula
Administrator

Scott Walker
Governor

INFORMATION & GUIDANCE MEMO
10-01-12

DATE: October 1, 2012

TO: Tribal Emergency Management Directors/Coordinators

FROM: Brian M. Satula, Administrator 
Wisconsin Emergency Management

SUBJECT: **FEDERAL FISCAL YEAR 2013 EMERGENCY MANAGEMENT
PERFORMANCE GRANT AND PLAN OF WORK**

This Information and Guidance Memo transmits the Emergency Management Performance Grant (EMPG) and Plan of Work. Also provided are the required documents for the EMPG Grant. This grant covers the 2013 Federal Fiscal Year (October 1, 2012 to September 30, 2013.)

Federal Fiscal Year (FFY) 2013 will continue to stress adherence to the program requirements negotiated for the EMPG program. **To receive EMPG funding, all established performance program elements must be accomplished and submitted to the Region Director in accordance with the grant agreements and the supporting Plan of Work.**

Wisconsin Emergency Management (WEM) has established a performance agreement with the U.S. Department of Homeland Security. This agreement establishes a number of basic objectives for the emergency management program statewide. These objectives are contained in the WEM Emergency Management Performance Grant and are in effect through FFY 2013.

Tribal governments are legally bound by this contractual agreement for the performance of the objectives for which they receive grant funds. The awarding of funds under this agreement is contingent upon successful completion of this year's Plan of Work.

State allocations for support of local and tribal emergency management programs remains consistent with established levels. The estimated EMPG funding amounts were sent to tribes in WEM Information and Guidance Memo 08-02-12. The funding amounts were established with a base amount of \$12,000 and additional funds based on 75/25 percent basis for population and area respectively. The tribal figures are based on populations and land area within which the various tribal governments provide services.

The properly executed grant application forms, along with the required support documents and Plan of Work, are to be submitted to the designated WEM Regional Office by November 15, 2012. If you have any questions concerning this Information and Guidance Memo or any of the documents included with this package, please contact your Regional Director.

ATTACHMENTS IN WORD DOCUMENT:

- EMPG Grant Policy Statement
- Instructions for the Plan of Work
- Checklist for Submission of Plan of Work Documents
- FY 2013 Plan of Work Agreement
- Summary Sheet for Assurances and Certifications
- Instructions for Completing the EMPG Financial Reports

ATTACHMENTS IN EXCEL WORKBOOK:

- 2013 EMPG Plan of Work Tracking Spreadsheet
- EMPG Financial Summary Report
- EMPG Financial Summary Report Equipment Expenditure form
- EMPG Financial Summary Report Other Authorized Expenditure form
- EMPG Payroll Report

DISTRIBUTION:

- Maj. Gen. Don Dunbar, TAG (I&G Memo only)
- WEM Staff

TRIBAL EMPG GRANT POLICY STATEMENT

Effective October 1, 2012

A. Eligibility

1. Tribal Emergency Management Offices are eligible to receive Emergency Management Performance Grant (EMPG) funds.
2. Tribes must meet all applicable Federal Emergency Management Agency (FEMA) requirements and all applicable Wisconsin statutes to become and/or remain eligible for EMPG funding. These requirements are set forth in the Catalog of Federal Domestic Assistance (CFDA) 97.042 Emergency Management Performance Grant, as well as in Wisconsin State Statute Chapter 323.
3. In order to become eligible to receive EMPG funds, all Tribes are required to file a Letter of Intent to participate by March 31st of each year. This Letter of Intent to participate will apply to the upcoming Federal Fiscal Year and must be filed through the appropriate Regional Office to the WEM Administrator.

B. Position Requirements

1. Each tribe shall designate an Emergency Management Director/Coordinator. Position descriptions for tribal employees receiving EMPG funds must be filed annually with the Plan of Work or verification must be provided in writing indicating that there have been no changes in position description as previously provided to WEM and note the date the position description was approved. Position descriptions must set out specific duties as related to Emergency Management including the percentages of time devoted to those duties and must be signed by the employee and the Tribal Representative. If a tribal position description does not normally include percentages of time for major duties, an addendum sheet shall be added to the job description, which includes the percentages of time for major duties, a statement, which indicates that the addendum is true and correct, and signatures of the Emergency Management Director and his/her supervisor. All position descriptions will be submitted for review and approval of the WEM Administrator or the Administrator's designee.
2. WEM encourages the establishment and/or retention of full-time tribal Emergency Management Directors. Full-time is defined as any tribal Director's position in which 100% of the time set out in the required position description is allocated to the tribal Emergency Management Program, or closely related duties. The number of hours per week allocated to a full-time position will be based on the individual tribal definition of full-time for comparable positions within that tribe.
3. The annual Plan of Work will be developed to reflect the minimum program performance requirements for full or part-time positions based upon the tribe's grant application request. Part-time is defined as any position, which is less than full-time as defined by the tribe. Any position that is designated at a percentage for EMPG purposes will devote 100% of that designated percentage to the Emergency Management Program, or closely related duties.
4. EMPG funding will not be made available for any Tribal Director's position at less than half time without the express written approval of the WEM Administrator or the Administrator's designee.
5. EMPG funds are provided only for the reimbursement of salary and fringe benefits for the Emergency Management Director or positions that work in direct support of the tribal Plan of Work requirements and emergency management program, as well as office supplies used for the emergency management program and other allowable costs as stated in the FY 2013 EMPG Federal Guidance
6. When changes in duties and responsibilities occur, a revised position description must be submitted for review and approval of the WEM Administrator or the Administrator's designee

within 60 days of the change of duties. If a tribal position description does not meet the Division's policy with regard to established time percentages, the tribe will lose eligibility for that position.

7. Tribes that hire a contractor to fill the tribal Emergency Management Director Position must ensure that the contract complies with all of the Federal Emergency Management Agency EMPG grant requirements and all applicable Wisconsin state statutes. The tribe shall provide WEM with a copy of the contract along with the position description.

C. Plan Requirements

1. An approved Emergency Operations Plan (EOP) or Emergency Response Plan (ERP) must be in effect and required updates must be developed, completed and submitted for review to the appropriate Regional Office by the end of the update cycle as established by WEM and set out in the tribe's approved annual Plan of Work.
2. The Tribal EOP/ERP must conform to all applicable State requirements as set out in Wisconsin Statutes Chapter 323, as well as the tribal EOP/ERP standards and review criteria as provided by WEM.
3. The Tribal Hazard Analysis is a stand-alone document that is to be updated annually with the following exceptions. Tribes that have an approved Tribal All Hazards Mitigation Plan, are developing a Tribal All Hazards Mitigation Plan or have applied for a planning grant to develop that plan are not required to update their Tribal Hazard Analysis

Transformation from the EOP format to the Tribal Emergency Response Plan (ERP) with Emergency Support Function (ESF) format for those Tribes that chose to transition should be completed and will be promulgated in FY 2013. For 2013, full time Tribal Directors will be required to update their entire tribal EOP and part time Tribal Directors will be required to do a comprehensive update of half of the tribal EOP. All tribal plans should align with FEMA Comprehensive Preparedness Guide (CPG) 101, Version 2.0. WEM has recently partnered with WEMA to review and revise the EOP/ERP standards and review criteria that will be required as part of the FY2013 POW. These review criteria are expected to include 1) a streamlined plan review checklist and 2) narrative guidance for the semi-annual Progress Report. The plan review criteria will be released in a separate document by November 15th.

D. Plan of Work Agreement

1. For funding eligibility, the annual Plan of Work, as negotiated between each tribe and WEM **must be submitted** and the work activities **performed** as approved. Any **significant proposed changes** in the approved Plan of Work **must be submitted in writing, for approval to the appropriate Regional Office at least 30 days prior to the end of the reporting** in which the work was to have been accomplished.
2. A tribe must report semi-annually on accomplishments toward the completion of the approved annual Plan of Work. The work items (EOP/ERP updates, Exercise HSEEP reports, etc) must be submitted to the Regional Director by the end of each half (March 31 and September 30). **Any work item not completed must be explained in writing when the semi-annual progress report is submitted to the appropriate Regional Office for review.** Any Plan of Work requirement or activity not completed will be rescheduled for completion within the next reporting period or as approved in an extension request from the tribe through the Regional Office.
3. Changes in completion of required Plan of Work activities that go beyond a specific Plan of Work year must receive the approval of the WEM Administrator or the Administrator's designee, and must be properly reflected in the subsequent year's Plan of Work. Any other extenuating circumstances that cause a delay in completion of required Plan of Work elements will be reviewed by the Regional Director on a case-by-case basis.

4. Failure of a tribe to complete specific EMPG requirements may subject the tribe to the withholding or loss of EMPG funds only. Late submission of the mid year report without an approved extension may preclude the tribe from participating in any year end redistribution of funds. Late submission of the year end close out report without an approved extension will result in no redistribution payment and may result in no second half payment. Extensions cannot be longer than 10 business days beyond the original due date for that particular half (April 30 and October 31, 2013).

E. Tracking of Expenses

Counties shall establish a tracking system to document costs and time spent in EMPG related duties. This system shall serve to substantiate the figures submitted on financial reports. Along with the listed categories, you may include other allowable costs listed in the current Fiscal Year Federal EMPG Application, including Contractual Services.

- Budgeted Funds for Equipment Purchases
 - List the applicable Authorized Equipment Code (AEL/SEL) on the EMPG Financial Summary Report
 - Complete the Equipment Expenditure form, with more detail than listed on the EMPG Financial Summary Report and including AEL/SEL codes
 - In accordance with Assurances 2013, attach the vendor invoices for AEL/SEL purchases and attach a screen print from <https://www.epls.gov> showing the vendors were not on the Excluded Parties List System debarment list as of the purchase date
 - Submit Environmental & Historic Preservation paperwork for designated items on the AEL/SEL prior to initiating installation
- Budgeted Funds for Other Authorized Line Items (including Contractual Services)
 - List the items on the Financial Summary Report in separate categories
 - Complete the Other Authorized Expenditure Form, using more detail than listed on the Financial Summary Report
 - If you have Contractual Services, attach a copy of the signed contract
 - If you have Contractual Services, In accordance with Assurances 2013, attach a screen print from <https://www.epls.gov> showing the contractor was not on the Excluded Parties List System debarment list as of the contract date

Both the Equipment Expenditure form and the Other Authorized Expenditure form are submitted with the application and also with the progress report for the period in which the expenditure is made.

F. Audit

1. An audit of tribal records pertaining to the receipt of EMPG funds may be conducted at the discretion of the WEM Administrator.
2. Whenever it is revealed that a tribal Emergency Management Program has received EMPG funds at levels that exceed their eligibility, the tribe receiving the assistance will be responsible for repayment of the excessive funding.

G. Reimbursement

Reimbursement to a tribe for successful completion of Plan of Work items scheduled for the previous six-month reporting, will be provided within forty-five business (45) days from the date of approval of the tribe's semi-annual progress report by the appropriate Regional Director or forty-five (45) business day from the receipt of funds from FEMA, whichever is later. In recent years, the federal

budget has been approved as late as the 3rd quarter of the Federal Fiscal Year. This delays approval of WEM's EMPG Application and receipt of funds to reimburse tribes.

H. Appeal Process

EMPG

In the event that, based upon the semi-annual progress reports, there is a Regional Office recommendation that a tribe's EMPG funding be lost, the tribe has the right to contest that decision. The tribe shall have 30 days in which to file a written notice appealing the decision in question. The appeals process will be as follows:

1. **State Administrative Review:**
The tribe shall submit to the Director of the Bureau of Response and Recovery a written summary of the issues and facts upon which the tribe's appeal of the Regional Office decision is based. The WEM Administrator will review the appeal information and issue a decision within 30 days.
2. **Federal Administrative Review:**
The tribe has the option to appeal the decision of the State Administrative review pursuant to the provisions of 44 CFR Part 302.3(G)(2).

INSTRUCTIONS FOR THE TRIBAL PLAN OF WORK

Those Tribal Nations intending to receive EMPG funding must submit letters of intent, applications, reports, and billings within designated time frames. These requirements are established on the Plan of Work and referenced in the grant policy. Use the Checklist for Submission of Plan of Work Documents to determine which forms and other documents need to be submitted. The work activities (EOP/ERP updates, Exercise HSEEP reports, etc) from the Plan of Work must be submitted to the Regional Director by the end of each half (March 31 and September 30). Progress reports will be on a six-month basis and are due in the Regional Office within one month after the close of each six month reporting period (first half ends March 31 and second half ends September 30).

At the time of application, work activities for the fiscal year are to be listed under each of five functional areas. The period of the fiscal year in which the work activity will be carried out must be listed in the space provided (first or second half). Space is provided on the right side of the form to report on the status of the listed work activity or to note when the project was completed and submitted to the Regional Office. When the Plan of Work is submitted as a progress report, it should be accompanied with a narrative statement of one to two pages which highlights accomplishments in measurable terms (numbers, amounts, times, dates).

The EMPG grant application must be submitted to the appropriate WEM Regional Office no later than November 15, 2012.

H. Planning

Wisconsin Emergency Management has developed the Wisconsin Emergency Response Plan. The emergency response plan is structured around the Basic Plan and 15 emergency support functions (ESF's), identified in the National Response Framework. The packet provided to the Tribes for the Wisconsin Emergency Response Plan included a state plan, county plan and municipal plan template. Wisconsin Emergency Management has provided:

- Basic Plan
- ESF 1 (Evacuation/Transportation)
- Mass Evacuation Annex
- ESF 2 (Communications)
- ESF 3 (Public Works/ Engineering)
- ESF 4 (Firefighting)
- ESF 5 (Emergency Management)
- ESF 6 (Human Services)
- ESF 7 (Resource Support)
- ESF 8 (Public Health)
- ESF 9 (Urban Search & Rescue)
- ESF 10 (HAZMAT)
- ESF 11 (Agriculture)
- ESF 12 (Energy)
- ESF 13 (Public Safety) ESF 15 (External Affairs).

All ESF's may not apply to each Tribe. The applicable ones will be determined during your negotiations with your Region Director. Transformation from the EOP format to the Tribal Emergency Response Plan (ERP with Emergency Support Function ESF) format for those Tribes that chose to transition should be completed and will be promulgated in FY 2013. For those with EOP's, in 2013 full time Tribal Directors will be required to update their entire tribal EOP and part time Tribal Directors will be required to do a comprehensive update of half of the Tribal EOP. All Tribal plans should align with FEMA Comprehensive Preparedness Guide (CPG) 101, Version 2.0. WEM has recently partnered with WEMA to review and revise the EOP/ERP standards and review criteria that will be required as part of the FY2013 POW. These review criteria are expected to include 1) a streamlined

plan review checklist and 2) narrative guidance for the semi-annual Progress Report. The plan review criteria will be released in a separate document by November 15.

Section A – Tribal Emergency Operations and Emergency Response Plan

Transformation of any Tribal EOP format, to the Tribal Emergency Response Plan (ERP) with Emergency Support Functions (ESF) is a part of the 2013 EMPG grant. The ERP and ESF's will remain in draft form until the entire plan is completely developed. In the interim, Tribal Directors will need to maintain, at a minimum, contacts and phone numbers in the Tribal Emergency Operations Plan. For this fiscal year, full-time Tribal Directors that have not promulgated their ERP will be expected to update their entire Tribal EOP. Part-time directors will be required to update half of their Tribal EOP.

All EOP and ERP update submissions must include the appropriate Transmittal Sheet, signed by the tribal Emergency Management Director, and a current signature page from the body of the annex. At a minimum, the signature page must include the signatures of the tribal Emergency Management Director and that of the Tribal representative.

Section B – Regional Planning

The regional planning emphasis for the tribes will focus on continuing development of Tribal Emergency Management mutual assistance agreements leading toward the goal of development of Incident Management Teams.

Resource Catalogue

The tribal resource lists that are uploaded in E•SPONDER® need to be reviewed, revalidated, and updated regularly to maintain currency. All tribes must have an up-to-date resource list on E•SPONDER®. Tribes that have previously uploaded spreadsheets should update their information. A blank spreadsheet, instructions on how to complete the spreadsheet, and the documents that contain information on kinding and typing information is kept on the front Wisconsin E•SPONDER® page

Section C – Tribal Hazard Analysis

The Tribal Hazard Analysis discusses and provides a record of the hazards impacting the tribe. This all hazards document is an EMPG requirement and must be updated on an annual basis. Tribes that have an approved All Hazards Mitigation Plan, or are developing an All Hazards Mitigation Plan, or have applied for a planning grant to develop that plan, are not required to update any previous Hazard Analysis.

Section D – Mitigation Plans

Those tribes who have not applied for a tribal mitigation planning grant are strongly encouraged to complete the application. Tribes developing or updating their tribal mitigation plans should list that in this section. Tribes are required to have a FEMA-approved all hazards mitigation plan in order to be eligible for hazard mitigation grant dollars to implement mitigation projects. Once a plan is approved, it must be updated and re-approved by FEMA every five years. The Tribe should begin to update the plan two years to eighteen months from the five-year due date to ensure that there is sufficient time to evaluate, update the plan, and obtain the formal adoptions by all participating jurisdictions as well as allow time for the state and federal review and approval process.

Section E – Local Plans

In addition, tribes should list in this section other local planning activities as applicable to reflect a complete scope of emergency planning. This should include, but is not limited to, such items as development or updates of individual agency plans, or other local plans.

II. Training

It is required that every EMPG-supported employee completes the training requirements that are listed in Information and Guidance Memo 08-10-11. The courses that will be taken to meet these requirements must be listed in the POW document and will be negotiated with the Regional Director when the POW is negotiated. Those individuals who were holding the position of Tribal Emergency Management Director prior to the 1999 implementation of the New Directors Series are not required to take the four modules that make up the series. However, it is strongly recommended that persons who have not attended these courses previously should consider attending. With the ongoing changes to the curriculum, it is beneficial to attend.

Section A – New Directors

New Tribal Emergency Management Directors/Coordinators are required to attend and complete the New Directors Educational Series (with the exception of Module B (EPCRA Planning)) as negotiated with the Regional Director in the Plan of Work. Each module focuses on a specific program and is presented during a day-long session in Madison with the appropriate WEM staff.

Section B – Hazard Mitigation

Those Tribes that are developing, or intend to develop, an all-hazards mitigation plan are required to attend a hazard mitigation planning workshop during the fiscal year.

Section C – Emergency Management Institute/Independent Study

Anticipated attendance at EMI courses by Emergency Management Directors, as well as by local officials, should also be noted in your Plan of Work. Submit your application form FEMA 119-25-1 (dated Aug 2010), should be submitted directly to the Wisconsin Emergency Management – Training Section and the attention of David Nunley. FEMA now supports an open enrollment period with the following conditions:

- Applications for course vacancies must be received at least 6 weeks before the course start date for the applicant to be considered for the course.
- Vacancies within 6 weeks of the course start date shall only be filled from the established wait list, so it is important to apply early.

Application forms are available from FEMA's web site: www.training.fema.gov/emiweb/EMICourses.

All emergency management employees are encouraged to complete any of the currently available FEMA independent study courses. FEMA correspondence courses may be downloaded and test results submitted online at <http://training.fema.gov/EMIWEB/IS>.

Section D – State-Sponsored Courses

Courses that WEM will offer during the first quarter of the fiscal year are listed on the WEM Training Portal at www.trainingwisconsin.gov. Additional training may be offered by WEM as new courses are developed, made available, or requested. All Tribal Directors, Deputy Directors, and key staff are encouraged to take classes to meet the WEM/WEMA Emergency Manager Certification program.

Section E – Local and Other Training

Tribes are encouraged to provide a listing of any local training initiatives, either received or offered, as part of the Plan of Work under this section. These could include, but are not limited to, such things as tornado spotters training, terrorism, school safety training, Flood Insurance Workshops, Hazard Mitigation Workshops, specialized Law Enforcement, Fire or EMS training, First Aid, and CPR, as well as local hazmat training.

Section F – Conferences & Meetings

All Tribes are encouraged to attend the Wisconsin Emergency Management Association Conference on October 17, 2012, in Madison.

The All County and Tribal Directors Meeting will be October 18, 2012, in Madison at the Sheraton Hotel. Tribal Directors are strongly urged to attend.

Tribal Directors are strongly encouraged to attend the annual Governor's Conference on Emergency Management. The 2013 Conference will be held in Wisconsin Dells at Chula Vista on March 4-7 2013.

All Tribes are encouraged to attend WITEMA meetings and to participate in LEPC/TERC meetings.

III. Exercising

At least one exercise is required per tribe, per year (tabletop, functional, or full scale). All exercises must follow the Homeland Security Exercise Evaluation Program (HSEEP) exercise methodology.

Tribes are to follow Information and Guidance (I&G) Memo 09-06-2011 for the development and execution of exercises. In addition to the single Tribe exercise that is required for the Plan or Work, all personnel (state, county and tribal) who receive any EMPG funding are required to participate in no less than three other exercises in a 12 month period which may include games, drills, workshops, seminars, tabletops, functional and full scale. Tracking of these requirements will be completed at Regional Director meetings.

For full-scale exercise credit, the full scale must be based on the themes established by a jurisdiction in previous tabletops and functional exercises and include activation of an Incident Command Post and/or Emergency Operations Center.

The Regional Directors as well as the Exercise Training Officer and other central staff are available to assist in exercise development. All Tribal exercises should be developed for specific local potential disaster situations as identified in the local hazard analysis.

In order to receive Plan of Work credit the following documentation must be submitted: notice of intent to conduct an exercise for exercise credit shall be made to the Regional Office at least 30 days prior to the date of the exercise; and the After Action Report Form, Improvement Matrix and all supporting documentation shall be submitted to the Regional Office within 60 days of completion of the exercise. The Regional Director will forward copies of the documentation to the Exercise Training Officer.

Tribes seeking exercise credit for an actual occurrence must submit an After Action Report to the Regional Office, including supporting documentation, within 90 days of the conclusion of the emergency response effort in accordance with I&G Memo 12-01-09. It should be noted that participation in an actual occurrence by EMPG funded staff will not be allowed for credit for one of the three EMPG required exercises for state and county personnel who receive any EMPG funding.

IV. Outreach

Copies of print media articles, PSA scripts and related materials should be retained at the local Emergency Management Office. A narrative summary of all Public Education and Emergency Information activities shall be submitted with each progress report. Existing state and federal materials can be utilized and may be modified to reflect local needs.

Program participants are encouraged to incorporate a mitigation element into public education and emergency information activities.

Section A – Tornado and Severe Weather Awareness Campaign

All EMPG supported tribes will develop a comprehensive Tornado Awareness Campaign which will include, at a minimum, at least three (3) of the following types of activities:

Print Media Articles
Broadcast Media Appearances
Public Service Announcements (PSA's)
School Visits
Speaking Engagements
Brochure Distribution

Section B – Additional Outreach Campaign

All EMPG supported Tribes with a full time Director shall identify and conduct one additional public education public outreach campaign. The topic for this campaign will be determined by the individual Tribe based upon local needs. This campaign shall include at a minimum three (3) of the six (6) types of activities noted in section 4A.

V. POW and Disaster Grant Administration

All Tribal Directors must attend scheduled regional meetings unless specifically excused. To facilitate sharing of information during a disaster, all Tribal Directors must be registered with Esponder and capable of logging on to the site.

The work activities (EOP/ERP updates, EPCRA Off Site Plans, Exercise HSEEP reports, etc) from the Plan of Work must be submitted to the Regional Director by the end of each half (March 31 and September 30). The semi-annual Plan of Work Progress Report covering EMPG accomplishments must be submitted in order to effect the processing of EMPG claims. Failure to submit the semi-annual report within one month after the close of the 6-month reporting period will delay processing of any payments and may result in the recommendation of a loss or the withholding of EMPG funds.

In disaster situations, Tribal Directors are responsible for coordinating damage assessments and for submitting damage reports to WEM. Based on these reports, WEM will work with the Tribal Director to determine if the damages would qualify for the Wisconsin Disaster Fund or a Presidential Disaster Declaration. When the tribe is the recipient of assistance through the Wisconsin Disaster Fund or a Presidential Declaration, it may have to amend its Plan of Work to accommodate the associated administrative requirements. This includes working with local units of government in obtaining paper work and documentation and doing appropriate follow-up for applications under the Wisconsin Disaster Fund and/or the Public Assistance and Mitigation Grant Programs made available under a Presidential Disaster Declaration.

The documents that set out these administrative requirements must be on file at the appropriate Regional Office and at a minimum, must be reviewed annually.

Any modifications or updates to these documents must be noted in the Plan of Work and submitted with the progress report or within the reporting period in which the changes or corrections were made.

Tribes receiving EMPG funds, or other funds from the US Dept. of Homeland Security Office of Domestic Preparedness, must ensure that the tribe is NIMS compliant. A requirement, IAW I&G 4-1-09, is to update of NIMSCAST prior to September 30, 2013. Successful submission of the update information in the NIMS Compliance Assistance Tool will generate a roll up of the report for the State Training Officer. The Training Officer will provide the Tribal Directors an alphabetical list of tribes that submitted their NIMSCAST.

Other grant requirements that will be provided in separate Information and Guidance Memorandums include:

- Automated Critical Asset Management System (ACAMS) training for selected counties

- Reporting of Critical Infrastructure/Key Resources (CI/KR) additions, deletions and modifications
- Input on Special Events Data Call.

VI. Local Initiatives

A complete list of local programs will provide the state and federal government with the ability to conduct a review of the breadth and scope of specific tribal/municipal emergency management programs. The tribe should list local program initiatives that enhance and give a complete picture of the overall emergency management program. These should be areas or programs where the tribe does considerable planning, developmental work or holds regular meetings.

As a local initiative Tribes should meet with local jurisdictions/county to discuss command and control and lines of authority. This may be accomplished as a regional facilitated tabletop exercise or discussion.

Verifications of listed local program initiatives should be retained at the local emergency management office. A summary of local program initiatives should be included as a part of the written narrative submitted with each progress report.

Tribes interested in applying for a Planning or Project Grant under the Pre-Disaster Mitigation (PDM) program, Flood Mitigation Assistance (FMA) Program or the Hazard Mitigation Grant Program (HMGP) will be required to submit the application within the specified deadlines. Tribes receiving a grant are required to submit quarterly reports and proper documentation for requesting reimbursement. Only those tribes or communities with a WEM and FEMA approved Flood Mitigation Plan are eligible to apply for a FMA Project Grant. Only those tribes or communities with a WEM and FEMA approved all-hazard mitigation plan will be eligible to receive a PDM or HMGP Project Grant.

Tribes interested in applying for a Hazardous Materials Emergency Planning (HMEP) Grant must apply directly to the US Dept. of Transportation. The grant may be listed in this section.

CHECKLIST FOR SUBMISSION OF 2013 TRIBAL PLAN OF WORK DOCUMENTS

Application: Due November 15, 2012

- Plan of Work Agreement
- Summary Sheet for Assurances & Certifications (Part I)
- Emergency Management Performance Grant (EMPG) Financial Summary Sheet with Column B figures added and signatures
- Equipment Expenditures/Other Expenditures form(s) if required
- Emergency Management Performance Grant (EMPG) Payroll Report
- Plan of Work
- Signed Position Description for all covered positions

Amended Application

- Plan of Work Agreement
- Summary Sheet for Assurances & Certifications (Part I)
- Emergency Management Performance Grant (EMPG) Financial Summary Sheet
- Equipment Expenditures/Other Expenditures form(s) if required
- Emergency Management Performance Grant (EMPG) Payroll Report
- Plan of Work
- Signed Position Description for all covered positions

First Half Progress Report: Due April 30, 2013

- Original Plan of Work Agreement with additional signatures for First Half Report
- Emergency Management Performance Grant (EMPG) Financial Summary Sheet with Column C figures added and new signatures
- Equipment Expenditures/Other Expenditures form(s) if required
- Emergency Management Performance Grant (EMPG) Payroll Report for each employee claiming EMPG reimbursement
- Plan of Work with Submitted column completed
- Narrative on Plan of Work Accomplishments

Second Half Progress Report: Due October 31, 2013

- Original Plan of Work Agreement with additional signatures for Second Half Report
- Emergency Management Performance Grant (EMPG) Financial Summary Sheet with Column D figures added and new signatures
- Equipment Expenditures/Other Expenditures form(s) if required
- Emergency Management Performance Grant (EMPG) Payroll Report for each employee claiming EMPG reimbursement
- Plan of Work with Submitted column completed
- Narrative on Plan of Work Accomplishments

Note:

The above EMPG documents along with the Letter of Intent are to be retained for compliance reviews and audits. The POW products, i.e. EOP/ERP updates, exercise documents, etc, are due on March 31, 2012, and September 30, 2012, for the respective half.

**FFY-2012 TRIBAL PLAN OF WORK AGREEMENT
for the
Emergency Management Performance Grant**

Applicant: _____

Award Amount Eligible For Under EMPG: \$ _____ (estimated)

Application (due November 15, 2012):

We understand that receipt of federal grant funds under the Emergency Management Performance Grant is dependent upon the successful completion of the work activities as agreed to in the attachment to this agreement. We understand that failure to complete the work items as agreed to and within the prescribed time frames will result in loss of grant funds.

Tribal Emergency Management Director

Date

Tribal Representative

Date

Progress Report – 1st Half (due April 30, 2013):

We have prepared/reviewed the attached 6-month progress report and are submitting it to Wisconsin Emergency Management for approval.

Tribal Emergency Management Director

Date

Tribal Representative

Date

Progress Report – 2nd Half (due October 31, 2013):

We have prepared/reviewed the attached 6-month progress report and are submitting it to Wisconsin Emergency Management for approval.

Tribal Emergency Management Director

Date

Tribal Representative

Date

TRIBAL SUMMARY SHEET FOR ASSURANCES & CERTIFICATIONS

PART 1 - EMERGENCY MANAGEMENT PERFORMANCE GRANT for FY 2013

This summary sheet includes Assurances and Certifications that must be read, signed, and submitted as a part of the EMPG application.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the identified attached assurances and certifications.

_____ Typed Name of Tribal Representative	_____ Typed Title of Tribal Representative
_____ Signature of Tribal Representative	_____ Date

The Applicant hereby assures and certifies that it will comply with the regulations, policies, guidelines and requirements, including OMB Circulars Nos. A-102 and A-87, as they relate to the application, acceptance, and use of Federal funds for all federally assisted projects to be carried out under the terms of this agreement. The Applicant also assures and certifies that:

1. It possesses the legal authority to apply for the grant and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the performance contract as outlined in this application.
2. It will give the sponsoring agency or the Comptroller General of the United States, and if appropriate, the State of Wisconsin, through any authorized representatives, access to and the right to examine all records, books, papers, or documents related to the grant, and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. It will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. Sections 1681-1683, and 1685-1686) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. Section 794) which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. Sections 6101-6107) which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972, as amended (P.L. Law 92-255) which prohibits discrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcohol Prevention Treatment and Rehabilitation Act of 1970, as amended (P.L. Law 91-616) relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) Section 523 and 527 of the Public Health Service Act of 1912, as amended (42 U.S.C. 290-dd-3 and 290-ee-3) relating to confidentiality of alcohol and drug abuse patient's records; (h) Title VIII of the Civil Rights Act of 1968, as amended (42 U.S.C. 3601 et seq.) relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statutes under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statutes which may apply to the application.
4. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business or other ties.
5. It will comply, if applicable, with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P. L. 93-234), which requires recipients in a special hazard flood to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
6. It will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

7. It will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (42 U.S.C. 4321 et seq.) and Executive Order 11514; (b) notification of violating facilities pursuant to Executive Order 11738; (c) protection of wetlands pursuant to Executive Order 11990; (d) evaluation of flood hazards in floodplains in accordance with Executive Order 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-5230); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
8. It will comply with the provisions of the Davis-Bacon Act (40 U.S.C. 276a - 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333) regarding labor standards for federally assisted construction sub-agreements.
9. It will comply with requirement of the provisions of Title II and III of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interest in real property acquired for project purposes regardless of Federal participation in purchases.
10. It will comply with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328), which limit the political activity of employees whose principal employment activities are funded in whole or in part with Federal funds.
11. It will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
12. It shall not knowingly enter into any lower tier covered transaction with a person who is disbarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by FEMA entering into the transaction. The applicant further agrees by submitting this application that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transaction," provided by the FEMA Regional Office entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions. (Refer to 44 CFR Part 17)
13. It will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.
14. It has adopted and is compliant with requirements established for the National Incident Management System (NIMS).
15. It will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
16. It will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
17. It will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

INSTRUCTIONS FOR COMPLETING THE TRIBAL EMPG FINANCIAL REPORTS

NOTE ON USE OF ELECTRONIC FORMS:

For FY13, the EMPG financial report forms are in an Excel spreadsheet format.

Formulas have already been entered in certain cells to facilitate completion. **DO NOT ALTER THESE FORMULAS.** Cells where data entry is required are in a pale yellow color.

Notice that there are multiple tabs on the bottom of the bottom of the 2013 Tribal POW Excel Workbook screen; these represent the individual reports. Select the report you want to work on. **To print all tabs at one time, be sure to choose “Print Entire Workbook” on your print screen.** To print only the current page, choose “Active Sheet.”

To create another Payroll Report for another person, right click on the Payroll Report tab. Choose “Move or Copy.” A new menu will come up. Check the box “Create a Copy” and then “OK.” The new tab will be named “Payroll Report (2)” and will appear as the first tab in the series. To make this tab the last in the series of tabs, click on it and hold down the mouse key while dragging to the new location. Release the mouse key at the new location.

I. Emergency Management Performance Grant (EMPG)

FINANCIAL SUMMARY REPORT

Applicant Information

Fill in the name of the tribe on whose behalf the application is being submitted.

Fill in the mailing address or Post Office Box to which correspondence should be sent concerning the grant.

Fill in the city and zip code to complete the mailing address.

Fill in the name and title of the person to be contacted for matters concerning the grant.

Fill in the telephone number at which the designated contact person can be reached during regular business hours, including the area code.

Check the appropriate box to indicate if the application is the initial submission or amended, or whether the financial information is for the 1st or 2nd half progress report.

Emergency Management Budget

Indicate line items from your emergency management budget in Column A. If you have a budgeted expenditure to purchase equipment, and it will be funded through EMPG, complete the Equipment Expenditure form. If you have a budgeted expenditure for other authorized line items, explain them on the Other Authorized Expenditure form. These forms are submitted with the application and the period when the expenditure is made. Along with the vendor invoice for AEL purchases or contractor invoices, IAW Assurances 12, attach a screen print from <https://www.epls.gov> showing the vendor was not on the debarment list as of the purchase date.

Budget figures should be listed in Column B. When the first half report is submitted, actual expenses incurred by the Tribe from October 1 to March 31 should be indicated in Column C. Column D figures represent those actual expenses incurred from April 1 to September 30 of the fiscal year. Column E is the total of Columns C and D and represent actual expenses for the fiscal year. If you are using the electronic form, Total Actual Expenses in Column E are automatically calculated as well as totals in each column and Total Allowable Federal Share. . If pen and ink changes are made on the form by the tribe, initial all changes and check correctness of the totals. If changes are made outside the

Tribe, initial and attach the email showing the tribe concurs with the change. Again, check the correctness of the totals.

Total Allowable Federal Share cannot exceed 50% of actual expenses by federal law. This figure is NOT your award amount. The EMPG Grant Award is based on a formula that includes a weighted factor for tribal population (75%) and land area in square miles being serviced by tribal government (25%) with an overall base amount of \$12,000 per tribe. Actual award amounts depend upon the total amount of funds received by Wisconsin Emergency Management each fiscal year for redistribution to the counties and tribes.

Certification

The Tribal Emergency Management Director and appropriate tribal Fiscal Agent (Finance Director, or other person responsible for maintaining financial information for the tribe) must sign and date the Financial Summary Report each time that it is submitted.

PAYROLL REPORT

Complete one form for each person claiming EMPG reimbursement.

Indicate the Tribe, employee name, hiring date (the date when the position began doing emergency management duties) and employee status. If part-time, indicate the average number of works worked per week on emergency management related duties.

Indicate the position title of the person claimed for EMPG reimbursement.

Check the period covered (initial application, amended application, first half or second half).

Application or Amended Application

Complete the “For Application or Amended Application” section. Estimated Base Salary Amount should be estimated for the Federal Fiscal Year (October 1 of the current year to September 30 of the following year). Benefits eligible for reimbursement include those paid by the tribe on behalf of the employee. Employee share of benefits is not eligible. Make estimates for benefits based on the Federal Fiscal Year. If you are using the electronic form, a fringe benefit total and base salary percentages will automatically be calculated.

The remainder of the Payroll Report does not have to be completed for Applications or Amended Applications.

Progress Reports

Space for 13 pay periods has been provided. Indicate the Date From and Date To in the second and third rows for each pay period. For those paid weekly, a continuation sheet for pay periods 14-26 is provided in the Excel workbook.

If your pay period does not perfectly coincide with the start and end dates of the first reporting period, select the pay period start date closest to that of the first reporting period start date (October 1) and proceed forward from that point, stopping with the last complete pay period closest to the end of the reporting period. Do not skip or overlap pay periods when completing the next Payroll Report for the following reporting period. If you are using the electronic form, columns will automatically add down, provide a total and a federal share amount.