



# **FY2006 Emergency Management Performance Grants**

**Program Guidance and Application Kit**

**November 2005**



**Homeland  
Security**

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# **I. NATIONAL PREPAREDNESS**

## I. NATIONAL PREPAREDNESS

### A. Introduction

On March 31, 2005, the Department of Homeland Security (DHS) issued the Interim National Preparedness Goal (the Goal) and accompanying National Preparedness Guidance (NPG). The Goal establishes a vision for a National Preparedness System, and the NPG provided an introduction to several of the key building blocks for that system, including the National Planning Scenarios, Universal Task List (UTL), Target Capabilities List (TCL), and seven National Priorities. The Strategy Guidance issued on July 22, 2005, provides follow-on guidance for use by States and Urban Areas in placing their preparedness efforts within the context of this new doctrine and updating their existing Homeland Security Strategies to ensure that they support the Goal and reflect the seven National Priorities. Similarly, this year’s guidance supports the Goal and State Homeland Security Strategies.

### B. The National Preparedness Goal

The Goal represents a significant evolution in the way we approach preparedness and homeland security. The Goal presents a collective vision for national preparedness, and establishes National Priorities that will help guide the realization of that vision. The vision set forth by the Goal encompasses the full spectrum of activities necessary to address a broad range of threats and hazards, including terrorism.

The Goal provides a common framework for a systems-based approach to build, sustain, and improve national preparedness for a broad range of threats and hazards. The Goal and other source documents define four mission areas of this framework: prevent, protect, respond, and recover.

***Vision of the  
National Preparedness Goal:***

*To engage Federal, State, local, and tribal entities, their private and non-governmental partners, and the general public to achieve and sustain risk-based target levels of capability to prevent, protect against, respond to, and recover from major events in order to minimize the impact on lives, property, and the economy.*

Each mission area includes a collection of capabilities that require the integration of multiple disciplines, processes, and procedures. These capabilities underpin seven National Priorities listed in the Goal. The National Priorities are intended to guide the Nation’s preparedness efforts to meet its most urgent needs, and fall into two categories: (A) three overarching priorities that contribute to the development of multiple capabilities, and (B) four capability-specific priorities that build selected capabilities for which the Nation has the greatest need.

### *National Priorities*

#### **Overarching Priorities**

- Implement the National Incident Management System (NIMS) and National Response Plan (NRP)
- Expanded Regional Collaboration
- Implement the Interim National Infrastructure Protection Plan

#### **Capability-Specific Priorities**

- Strengthen Information Sharing and Collaboration capabilities
- Strengthen Interoperable Communications capabilities
- Strengthen CBRNE Detection, Response, and Decontamination capabilities
- Strengthen Medical Surge and Mass Prophylaxis capabilities

At the heart of the National Preparedness Goal is the TCL. The current TCL identifies 37 national preparedness capabilities, provides a description of each capability, and presents guidance on the levels of capability that Federal, State, local, and tribal entities will be expected to develop and maintain. Each level of government or geographical area will not be expected to develop and maintain all capabilities at the same level. The expectation will vary based upon the risk and needs of different levels of government and geographic area. For example, basic capability levels may be expected of a rural, low-population jurisdiction, while more advanced levels of capability may be expected of a group of jurisdictions, large metropolitan area, an entire State, or the Federal government.

## **C. Emergency Management and National Preparedness**

Implementing a common, shared approach to achieving the National Preparedness Goal requires the Nation to align its programs and efforts in support of the Goal. Alignment can best be achieved through the application of a systems-based approach, utilizing capabilities-based planning as a common, all-hazard, major events planning process. This will support the establishment of a true National Preparedness System, which will provide a mechanism for measuring preparedness and informing future preparedness investments.

The National Preparedness System is a system of systems. As stated in the National Preparedness Goal, “a system is a combination of facilities, equipment, personnel, procedures, and communications integrated into a common organizational structure to achieve a mission or outcome.” Many processes, programs, and capabilities already in place within State, local, tribal, and private sector homeland security programs and across disciplines will support the National Preparedness System. The emerging National Preparedness System provides a way to enhance these existing resources by networking them together more effectively.

The National Preparedness System provides a means for the Nation to answer three fundamental questions: “*How prepared do we need to be?*”, “*How prepared are we?*”, and “*How do we prioritize efforts to close the gap?*” The system helps enable all levels of government to collaborate seamlessly in order to identify critical gaps and deficiencies, develop strategies to address those gaps and deficiencies, track and report on progress toward resolution, and aggregate this information to better understand our level of preparedness nationally. The system

also helps enable leaders at all levels to allocate resources systematically to close capability gaps, thereby enhancing the effectiveness of preparedness efforts.

The implications of moving to an integrated and adaptive National Preparedness System are significant. This shift will involve organizational and operational change across agencies, disciplines and jurisdictions – and across State lines. Mutual aid agreements, inter-organizational linkages, information sharing, and collaboration are critical elements of the new homeland security landscape.

In facing these changes, however, we must recognize that we are not starting over. Rather, we are building on the effective systems, processes, and capabilities we already have in place. Aligning these existing programs, processes, and organizational structures to a common framework will not happen overnight, but will be an incremental change over time.

In employing a systems-based approach to National Preparedness, no single component part can be the sole responsibility of one individual or group. We have organized and formed many of the core coordinating structures and working groups, however, progress can still be made in how these coordinating structures and working groups operate. Achieving full integration and interconnectedness between the public and private sector, among different levels of government, among multiple jurisdictions, and among departments and agencies within a single jurisdiction requires robust collaboration. Initial progress has been made in our collaboration and coordination efforts to date, but further progress can and must be made to support the Goal.

Implementation of the National Preparedness System requires that the emergency management discipline play a vital role in support of the Goal, as well as the implementation of National Priorities and achievement of the target levels of capability described in the TCL. As the coordinator for disaster response operations, the emergency management discipline is essential to the prevention, protection, response, and recovery efforts necessary when disasters or other incidents of national significance occur at the State and local level, and when Federal assistance is needed.

Therefore, to sustain and enhance emergency management capabilities in support of the Goal, the Emergency Management Performance Grants (EMPG) program is designed to assist States and Urban Areas achieve the target levels of capability to sustain and enhance the effectiveness of their emergency management program.

# **II. PROGRAM GUIDANCE**

## II. PROGRAM GUIDANCE

### A. Overview

Recent national disasters, including Hurricanes Katrina and Rita, reflect the spectrum of events for which States and Urban Areas must prepare for and plan. In particular, these events have also highlighted the critical importance of effective, pre-incident catastrophic planning. As a nation, we must share and evaluate lessons learned from these events, so that States and Urban Areas may enhance their emergency management and catastrophic planning capabilities and leverage regional resources. Pre-incident planning for catastrophic events is essential to all mission areas of emergency management. These planning efforts include the development of comprehensive emergency operations plans, including annex/appendices addressing evacuation, shelter/reception, logistics and resource management, and other key plan components. Additionally, it is essential that these plans are consistent at the State, local and tribal levels with NIMS to aid in the seamless interface among the elements.

With funds provided through FY06 EMPG, States have the opportunity to support these emergency management mission areas and structure individual emergency management programs based on identified needs and priorities for strengthening their capabilities, while simultaneously addressing issues of national concern as identified both in the National Priorities and the TCL. States have the flexibility to develop intrastate and interstate emergency management systems that encourage the building of partnerships to include government, business, volunteer, and community organizations. It is essential that State and local governments coordinate and establish strong working relationships with neighboring jurisdictions, which may include all levels of government, including tribal governments, in developing emergency management capabilities for joint operations, effective mutual aid and support locally, regionally, State-to-State and nationwide.

A comprehensive state emergency management system must be inclusive of local programs and 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 programs, each State is responsible for determining the appropriate amount of funding to be passed through to support the development or enhancement of local emergency management capabilities.

Emergency management must be able to respond to natural and manmade hazards, homeland security-related incidents, and other emergencies that may threaten the safety and well-being of citizens and communities. An all-hazards approach to emergency preparedness encourages effective and consistent response to any disaster or emergency, regardless of the cause.

Emergency management plays an important role in the implementation of national priorities, such as NIMS, the NRP, and the Goal. As the coordinator for disaster response operations, emergency management must be the leader in all-hazards planning, training, and exercises to ensure a seamless response when disasters occur at the State and local level, and when Federal assistance is needed.

## Developing EMPG Work Plans

States should use the Emergency Management Accreditation Program (EMAP) Standard (September 2004) structure, the National Emergency Management Baseline Capability Assessment Program (NEMB-CAP), the NRP, and NIMS (as published by DHS on March 1, 2004) as a basis for developing work plans and performance evaluations for EMPG.

NEMB-CAP is an ongoing effort sponsored by the Federal Emergency Management Agency (FEMA) that is analyzing existing emergency management programs planning efforts at the State level using the EMAP Standard. To date, 40 States have completed the NEMB-CAP process. Of the 40 States, only two met all criteria for planning, only five were compliant with most or all standards, and only two states were fully compliant in all 14 functional areas. The process has highlighted the importance of ensuring that roles and responsibilities are not only well understood, but also operationalized at the State and local level; additionally, findings from this process have revealed critical national weaknesses in key operational areas and catastrophic planning efforts, including:

- Incident management
- Planning, including continuity of operations and recovery strategies
- Hazard identification, risk assessment, and impact analysis
- Resource management, including identification of resource objectives, by hazard, pre-disaster.

As a condition for receipt of funds, States must also comply with FY06 NIMS implementation requirements, as outlined below. States are not required to receive accreditation under the EMAP Standard, but are required to use the EMAP Standard, the NEMB-CAP process, the NRP, and NIMS as a baseline around which to design their EMPG work plans. Specifically, States must focus FY06 EMPG program activities on addressing shortfalls and sustaining capabilities in their emergency management program, as identified through either the NEMB-CAP process or other assessment process, with a specific focus on planning for catastrophic events. States can use the work plan submitted with the application to demonstrate how they have already addressed existing shortfalls and how they plan to further enhance or sustain those capabilities. Additional information on the EMAP Standard is available at <http://www.emaponline.org/index.cfm>; additional information on the NEMB-CAP process is available at <http://www.fema.gov/preparedness/baseline.shtm>; and additional information on NIMS is available at <http://www.fema.gov/nims>. Results from other assessments can also serve as a reference, and can include specific targeting of the EMPG funding to those areas identified as needing improvement or sustainment.

## NIMS Implementation Guidance

HSPD-5, “*Management of Domestic Incidents*,” mandated the creation of NIMS and the NRP. NIMS provides a consistent framework for entities at all jurisdictional levels to work together to manage domestic incidents, regardless of cause, size, or complexity. To promote interoperability and compatibility among Federal, State, local, and tribal capabilities, NIMS includes a core set of guidelines, standards, and protocols for command and management, preparedness, resource management, communications and information management, supporting technologies, and management and maintenance of NIMS. The NRP, using the template established by NIMS, is an all-discipline, all-hazards plan that provides the structure and mechanisms to coordinate

operations for evolving or potential Incidents of National Significance. Incidents of National Significance are major events that “require a coordinated and effective response by an appropriate combination of Federal, State, local, tribal, private sector, and nongovernmental entities.”

State, territorial, tribal, and local entities are being asked to become fully compliant with NIMS during FY 2006. DHS has issued guidance to States on FY 2006 NIMS implementation requirements, including two matrices: one that identifies the State and territorial level NIMS implementation requirements and one that identifies the NIMS implementation requirements that must be taken at the tribal and local government levels. Jurisdictions will be required to meet the FY 2006 NIMS implementation requirements as a condition of receiving Federal preparedness funding assistance in FY 2007.

Most important of the FY 2006 requirements, States and territories must establish a planning process that incorporates the appropriate procedures to ensure the effective communication and implementation of NIMS requirements across the State, including tribes and local governments. This planning process must include a means for measuring progress and facilitate the reporting of NIMS implementation among its tribal and local jurisdictions.

Additional information about NIMS implementation and resources for achieving compliance are available through the NIMS Integration Center (NIC). The NIC web page, <http://www.fema.gov/nims>, is updated regularly with information about NIMS and additional guidance for implementation.

## **B. Strategy and Program Coordination Guidance**

### **State and Urban Area Homeland Security Strategies**

State and Urban Area Homeland Security Strategies will continue in FY06 to provide the overarching strategic vision for the implementation of State and Urban Area homeland security programs. States and Urban Areas were recently required to update their strategies to bring them into alignment with the seven National Priorities included in the Goal. The updated strategies address the four homeland security mission areas: prevent, protect, respond, and recover.

Updated State and Urban Area Homeland Security Strategies provide a context for performing the strategic exercise of asking “*How are we organized?*” and “*How are we managing our homeland security programs?*” This evaluation will enable us as a Nation to think about how we build our preparedness programs and capabilities within and across State boundaries.

### **Program Coordination Requirements**

The Office for Domestic Preparedness (ODP) expects grantees and subgrantees to take a holistic approach to implementing their strategic homeland security goals and objectives by considering all available support and assistance programs, regardless of the source. Emergency management officials at all levels should seek opportunities to leverage funding from multiple sources whenever possible and not restrict their activities to only Federal funding.

In FY05, States were required to establish a senior advisory committee or similar entity of senior officials overseeing assistance programs from ODP, the Centers for Disease Control and

Prevention (CDC), Health Resources and Services Administration (HRSA), and other Federal agencies providing homeland security assistance. The purpose of this senior advisory committee is to enhance the integration of disciplines involved in homeland security, including public health and medical initiatives. The expectation for FY06 is that States use these senior advisory committees to facilitate implementation of the Goal and the National Preparedness Guidance.

The membership of the senior advisory committee must, at a minimum, include State officials directly responsible for the administration of ODP grants and CDC and HRSA cooperative agreements. In addition, program representatives from the following entities must be included on the senior advisory committee:

- State Administrative Agency (SAA)
- State Homeland Security Advisor (if this role is not also the SAA)
- State emergency management director (if this role is not also the SAA)
- State public health officer
- State public safety office (and SAA for Justice Assistance Grants, if different)
- State trauma system manager
- State emergency medical services director
- HRSA Program Director/Primary Investigator (listed in Section 10 of HRSA Notice of Grant Award)
- HRSA Bioterrorism Hospital Coordinator
- CDC Program Director/Primary Investigator
- State Citizen Corps point of contact
- Local representatives (as appropriate).

States are still encouraged to broaden membership of the senior advisory committee, and/or its sub-committees, to include membership from additional disciplines and associations, including law enforcement, fire, public health, behavioral health, public works, agriculture, information technology, and other pertinent disciplines.

### **Leveraging Multiple Funding Sources**

Emergency managers at all levels should leverage all available funding and resources from multiple sources wherever possible. Grantees and subgrantees should not restrict their activities to only Federal funding to achieve the goals outlined within their strategies. Rather, special attention should be given to leveraging relevant funding sources and resources that support implementation of these strategies. These funding sources include, but are not limited to:

- Other Federal preparedness programs, including those offered by the Department of Health and Human Services (HHS) through CDC, HRSA, and the U.S. Food and Drug Administration; the U.S. Department of Agriculture; the U.S. Department of Justice (DOJ); the U.S. Department of Transportation; FEMA; DHS Science and Technology Directorate; DHS Information Analysis and Infrastructure Protection Directorate; and other relevant organizations
- Other State homeland security and preparedness programs and resources
- Local and tribal homeland security and preparedness programs and resources
- Private sector homeland security preparedness programs and resources, as permitted by

applicable laws and regulations.

Table 1 outlines other available FY06 preparedness grant programs which can be leveraged for these purposes. EMPG program participants are strongly encouraged to coordinate and leverage program activities, where appropriate, to gain maximum benefit from available federal resources.

**Table 1. Other Available FY06 Preparedness Programs**

<b>FY 2006 Program</b>	<b>Program Overview</b>
<b>State Homeland Security Program (SHSP)</b>	SHSP supports the implementation of the State Homeland Security Strategy to address the identified planning, equipment, training, and exercise needs. In addition, SHSP supports the implementation of the National Preparedness System, NIMS, and the NRP. In particular, SHSP funds should be focused on enhancing catastrophic planning across all hazards, particularly with 30 of the 36 Target Capabilities which are “dual-use” in nature, common to natural disasters or terrorist attacks.
<b>Urban Areas Security Initiative (UASI)</b>	UASI funds address the unique planning, equipment, training, and exercise needs of high risk Urban Areas, and to assist them in building an enhanced and sustainable capacity to prevent, protect, respond to, and recover from acts of terrorism. Allowable costs for the Urban Areas comport with the FY 2006 SHSP, and funding is expended based on the Urban Area Homeland Security Strategies.
<b>Law Enforcement Terrorism Prevention Program (LETPP)</b>	LETPP focuses upon the prevention of terrorist attacks and provides law enforcement and public safety communities with their private partners funds to support the following activities: intelligence gathering and information sharing through enhancing/establishing fusion centers; hardening high value targets; planning strategically; continuing to build interoperable communications; and collaborating with non-law enforcement partners, other government agencies and the private sector. LETPP funds should be focused on enhancing the 6 of the 36 Target Capabilities unique to terrorism.
<b>Metropolitan Medical Response System (MMRS) Program</b>	MMRS funds support MMRS jurisdictions to further enhance and sustain an integrated, systematic mass casualty incident preparedness program that enables a first response during the first crucial hours of an incident. The program prepares jurisdictions for a response to the range of mass casualty incidents – from CBRNE events to epidemic outbreaks, natural disasters and large-scale hazardous materials incidents.
<b>Citizen Corps Program (CCP)</b>	Citizen Corps is DHS’s initiative to actively involve all citizens in hometown security through personal preparedness, training, exercises, and volunteer service. CCP funds support Citizen Corps Council efforts to engage citizens in dealing with all-hazards prevention, protection, response, and recovery, including planning and evaluation, public education and communication, training, exercising, volunteer programs and activities to support emergency responders, surge capacity roles and responsibilities, and providing proper equipment to volunteer citizens.
<b>Buffer Zone Protection Program (BZPP)</b>	BZPP provides funding for enhanced security for select critical infrastructures and assets. The intent of the program is to establish Buffer Zone Plans which are intended to help local law enforcement and emergency responders develop preventive measures around high priority infrastructure targets.
<b>Transit Security Grant Program (TSGP)</b>	TSGP provides funding to support security enhancements for intercity passenger rail transportation, freight rail, and other security measures. The program addresses three transit modalities: rail transit, intra-city bus transit, and ferry systems.
<b>Port Security Grant (PSG) Program</b>	PSG funds owners and operators of ports, terminals, as well as port authorities and state and local agencies that provide a layered approach, U.S. inspected passenger vessels and ferries, as well as port authorities and State and local agencies to improve security for operators and passengers through physical security enhancements. The Program strives to create a sustainable, risk-based effort for the protection of critical infrastructure from any incident that would cause major disruption to commerce and significant loss of life.

FY 2006 Program	Program Overview
<b>Intercity Bus Security Grant Program (IBSGP)</b>	The IBSGP provides financial assistance to owners/operators of fixed route, intercity bus services, and special need charter bus to improve security for operators and passengers. The Program strives to create a sustainable effort for the protection of critical infrastructure from any incident that would cause major loss of life and severe disruption. Allowable costs comport with the FY 2005 ODP Homeland Security Grant Program (HSGP).
<b>Highway Watch Program</b>	Also referred to as the trucking industry security grants, the Highway Watch Program provides funds to assist highway professionals in efforts to identify and report security and safety situations, build capability, plan for emergencies and train.
<b>Assistance to Firefighters Grant (AFG) Program</b>	The purpose of these grants is to enhance the safety of the public and firefighters with respect to fire and fire-related hazards. The primary goal of the AFG Program's Fire Prevention and Safety Grant is to reach high-risk target groups in order to mitigate the high incidences of death and injuries. Additionally, the authorization remains that includes funding for Firefighter Safety Research and Development.
<b>Bioterrorism Hospital Preparedness Program, HRSA, HHS</b>	The purpose of the National Bioterrorism Hospital Preparedness Program (NBHPP) is to prepare hospitals and supporting healthcare systems, in collaboration with other partners, to deliver coordinated and effective care to victims of terrorism and other public health emergencies. Cooperative agreement funds may be used for activities that include increasing surge capacity, which encompasses beds, personnel, pharmaceuticals, PPE, decontamination capacity, isolation capacity and interoperable communications, as well as the enhancement of EMS services, competency based training, and exercises.
<b>Bioterrorism Training and Curriculum Development Program, HRSA, HHS</b>	The Bioterrorism Training and Curriculum Development Program (BTCDP) provides support to health professions schools, health care systems, and other educational entities to equip a workforce of health care professionals to address emergency preparedness and response issues. The program consists of two discrete foci: (1) provision of continuing education for practicing health care providers; and (2) curriculum development and enhancement and training in health professions schools.
<b>Public Health Emergency Preparedness Cooperative Agreement, CDC, HHS</b>	The purpose of the Division of State and Local Readiness' cooperative agreement program is to upgrade and integrate State and local public health jurisdictions' preparedness for and response to terrorism and other public health emergencies with Federal, State, local, and tribal governments, the private sector, and Non-Governmental Organizations (NGOs). These emergency preparedness and response efforts are intended to support the NRP and NIMS. Activities included in the cooperative agreement are designed to develop emergency-ready public health departments.

### C. Program Guidance

#### Period of Performance

The period of performance for FY06 EMPG is 24 months, from **October 1, 2005** through **September 30, 2007**. Although EMPG is an annual process, this period of performance will allow emergency management agencies (EMAs) maximum flexibility to plan and coordinate the use of EMPG funds. Any unspent balance will be unobligated by ODP at the end of this period.

#### Cost Share Requirements

EMPG has a 50% Federal and 50% State cost-share cash or in-kind match requirement. Unless otherwise authorized by law, Federal funds can not be matched with other Federal funds. In accordance with Federal guidelines and DHS Office of General Counsel rulings, match requirements are waived for the U.S. Territories of American Samoa, Guam, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands. For further information on allowable sources and types of funds, timing of match contributions, and records for match, please consult the Office of Grant Operations (OGO) Financial Management Guide. DHS administers cost

sharing requirements in accordance with 44 C.F.R. 13.24, which is located at [http://a257.g.akamaitech.net/7/257/2422/04nov20031500/edocket.access.gpo.gov/cfr\\_2003/octqtr/44cfr13.24.htm](http://a257.g.akamaitech.net/7/257/2422/04nov20031500/edocket.access.gpo.gov/cfr_2003/octqtr/44cfr13.24.htm).

### **Pass-Through Requirements**

Each State shall obligate **100%** of the total grant program amount to the designated State-level EMA. If the SAA is also the EMA, this requirement is automatically met. If the SAA is separate, or has separate budget processes, then these funds must be obligated to the EMA within **15 days** of the grant award date. State EMAs are encouraged to pass EMPG funds through to local EMAs, as appropriate.

**Territorial Pass-Through Requirements:** Due to the unique nature of the territorial governments in Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands, no pass-through requirements will be applied to these territories. However, these territories are expected to take into account the needs of local communities.

### **Drawdown of Funds**

Grantees and subgrantees may elect to drawdown funds up to 120 days prior to expenditure/disbursement, which echoes the recommendation in the Funding Task Force. ODP strongly encourages recipients to drawdown funds as close to expenditure as possible to avoid accruing interest. Funds received by both grantees and subgrantees must be placed in an interest-bearing account and are subject to the rules outlined in 28 C.F.R. Part 66, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, at [http://www.access.gpo.gov/nara/cfr/waisidx\\_04/28cfrv2\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html) and 28 C.F.R. Part 70, Uniform Administrative Requirements for Grants and Agreements (Including Subawards) with Institutions of Higher Education, Hospitals and other Non-profit Organizations, at [http://www.access.gpo.gov/nara/cfr/waisidx\\_03/28cfr70\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/28cfr70_03.html). These guidelines state that subgrantees are required to promptly, but at least quarterly, remit interest earned on advances to:

United States Department of Health and Human Services  
Division of Payment Management Services  
P.O. Box 6021  
Rockville, MD 20852

The subgrantee may keep interest amounts up to \$100 per year for administrative expenses. Please consult the OGO Financial Management Guide or the applicable OMB Circular for additional guidance.

**NOTE:** Although advance drawdown requests may be made, State grantees remain subject to the interest requirements of the Cash Management Improvement Act (CMIA) and its implementing regulations at 31 C.F.R. Part 205. Interest under CMIA will accrue from the time Federal funds are credited to a State account until the time the State pays out the funds to a subgrantee or otherwise for program purposes.

## D. Allowable Costs Guidance

EMPG allowable costs are divided into planning, organization, equipment, training, and exercises categories. In addition, management and administration (M&A) costs are allowable. The following provides general EMPG allowable costs guidance:

### Planning Costs Guidance

EMPG funds may be used for a range of emergency management planning activities, including activities and costs related to the EMAP accreditation process (State and/or local):

- Planning for NIMS implementation
- Modifying existing incident management and emergency operations plans to ensure proper alignment with the NIMS and NRP coordinating structures, processes, and protocols
- Developing/enhancing comprehensive emergency management plans
- Developing/enhancing all-hazards mitigation plans
- Developing/enhancing catastrophic incident plans
- Developing/enhancing logistics and resource management plans
- Developing/enhancing evacuation plans, including sheltering efforts
- Developing/enhancing mass casualty and mass fatality plans
- Developing/enhancing financial and administrative procedures for use before, during, and after disaster events in support of a comprehensive emergency management program
- Public education and awareness
- Developing/enhancing a crisis communications plan
- Updating the State Homeland Security Strategy to address all-hazards
- Developing/enhancing other response and recovery plans
- Developing/enhancing emergency management and operations plans to integrate citizen/volunteer resources and participation
- Conducting a hazard analysis and risk assessment
- Other EMPG-related planning activities.

### Organizational Costs Guidance

As provided in law, EMPG funds may be used for all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management. Proposed staffing activities should still be linked to achieving goals outlined in the EMPG work plan.

### Equipment Costs Guidance

Allowable equipment categories for FY06 EMPG are listed on the web-based Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), which is sponsored by ODP and the National Memorial Institute for the Prevention of Terrorism (MIPT) at <http://www.rkb.mipt.org>.

The FY06 EMPG AEL is housed on the RKB and relies heavily on the Standardized Equipment List (SEL) developed by the InterAgency Board (IAB) for Equipment Standardization and Interoperability. The FY06 EMPG AEL will be available on the RKB effective December 2,

2005. The 2006 AEL maintains the cross-referencing to the SEL in an effort to eliminate redundancy. Both the AEL and SEL are available on the RKB, which also offers an interactive version that provides links to corresponding SEL items and commercial products.

In some cases, items on the SEL are not allowable under FY06 EMPG or will not be eligible for purchase unless specific conditions are met. In addition, some items eligible under this grant program are beyond the scope of the SEL and thus will only appear in the AEL.

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)
- 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).

If State agencies and/or local governments have questions concerning the eligibility of equipment not specifically addressed in the AEL, they should contact their ODP Preparedness Officer for clarification.

States that are using EMPG funds to purchase Interoperable Communications Equipment (Category 6) must consult SAFECOM's coordinated grant guidance which outlines standards and equipment information to enhance interoperable communications. This guidance can be found at [www.safecomprogram.gov](http://www.safecomprogram.gov). SAFECOM is a communications program of DHS' Office for Interoperability and Compatibility, in the Science and Technology Directorate's Office of Systems Engineering and Development.

### **Training Costs Guidance**

EMPG funds may be used for a range of emergency management-related training activities to enhance the capabilities of State and local personnel, including the following:

- Developing/enhancing systems to monitor training programs
- Conducting all-hazards emergency management training, including NIMS FY 2006 training requirements
- Attending Emergency Management Institute (EMI) training or delivering EMI train-the-trainer courses in the States as allowed previously under EMPG and not limited to terrorism-related courses
- Hiring full or part-time staff to support training-related activities
- Other EMPG-related training activities.

### Exercise Costs Guidance

EMPG funds may be used to design, develop, conduct, and evaluate emergency management related exercises. Exercises must be consistent with the principles outlined in the Homeland Security Exercise and Evaluation Program (HSEEP), as well as applicable existing emergency management standards. Activities include the following:

- Developing/enhancing systems to monitor exercise programs
- Conducting all-hazards exercises, based on the likely hazards/scenarios a jurisdiction may encounter
- Conducting emergency management exercises, while incorporating NIMS FY 2006 exercise requirements
- Hiring full or part-time staff to support exercise-related activities
- Other EMPG-related exercise activities.

Exercises conducted with ODP support (including grant funds) must be managed and executed in accordance with the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP Volumes I-III contain guidance and recommendations for designing, developing, conducting, and evaluating exercises. HSEEP Volume IV provides sample exercise materials. All four volumes can be found at the HSEEP website (<http://hseep.dhs.gov>). Exercises conducted using EMPG funding must be NIMS compliant.

### Management and Administrative Costs Guidance

M&A costs include the following categories of activities:

- Hiring of full-time or part-time staff or contractors/consultants:
  - To assist with the management of FY06 EMPG funds
  - To assist with design, requirements, and implementation of FY06 EMPG
- Hiring of full-time or part-time staff or contractors/consultants and expenses related to:
  - FY06 EMPG pre-application submission management activities and application requirements
  - Meeting compliance with reporting/data collection requirements, including data calls
- Development of operating plans for information collection and processing necessary to respond to DHS/ODP data calls
- Travel expenses
- Meeting-related expenses
- Acquisition of authorized office equipment, including personal computers, laptop computers, printers, LCD projectors, and other equipment or software which may be required to support the implementation of the homeland security strategy
- The following are allowable only within the period of performance of the grant program:
  - Recurring fees/charges associated with certain equipment, such as cell phones, faxes, etc.
  - Leasing and/or renting of space for newly hired personnel to administer programs within FY06 EMPG.

M&A costs are allowable for both State and local-level EMAs. The State EMA may use up to **5% of the total amount** for M&A purposes. If the SAA is not the EMA, the SAA is **not** eligible to retain funds for M&A. In addition, local EMAs may retain and use up to **3% of their subaward** from the State for local M&A purposes.

## E. Construction and Renovation Guidance

While the EMPG program is not intended to support construction activities, DHS recognizes that an updated, functioning emergency operations center (EOC), accessible to and usable by individuals with disabilities, is a core component of an effective emergency management system. Therefore, limited construction and renovation activities for EOCs are allowable under EMPG, consistent with past EMPG practices. The State must match 50% of any money used for construction and must comply with the Davis-Bacon Act. (Additional information on the Davis-Bacon Act is available from the following website: <http://www.dol.gov/esa/programs/dbra/>.)

In order for grantees to drawdown funds for limited EOC construction and renovation projects under EMPG:

1. Grantee must provide to ODP:
    - a. Description of the EOC facility, location, and the scope of the construction or renovation project
    - b. 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
    - c. How the construction or renovation project will address the needs identified from the assessment
    - d. Consequences of not implementing the construction or renovation project
  2. Written approval must be provided by ODP prior to the use of any EMPG funds for construction or renovation.
- **National Environmental Policy Act (NEPA).** NEPA requires ODP to analyze the possible environmental impacts of each construction project. The purpose of a NEPA review is to weigh the impact of major Federal actions or actions undertaken using Federal funds on adjacent communities, water supplies, historical buildings, endangered species, or culturally sensitive areas prior to construction. Grantees wanting to use ODP funding for construction projects must complete and submit a **NEPA Compliance Checklist** to their respective ODP Preparedness Officer for review. 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 ODP funding or the need for ODP to perform an Environmental Assessment (EA) or draft an Environmental Impact Statement (EIS).

## **F. Personnel Costs Guidance**

Personnel costs, including salary, overtime, compensatory time off, and associated fringe benefits, are allowable under FY06 EMPG. These costs must comply with OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments*. Proposed personnel costs should still be linked to achieving objectives outlined in the EMPG work plan.

## **G. Unallowable Costs Guidance**

Several costs are strictly prohibited under FY06 EMPG. Grantees should contact their ODP Preparedness Officer for guidance and clarification on the following unallowable costs:

### **Construction and Renovation**

Construction and renovation are generally prohibited, except as noted above under *Construction and Renovation Guidance* on page 16.

### **Hiring of Public Safety Personnel**

EMPG funds may not be used to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities.

## **H. General Guidance**

### **Freedom of Information Act (FOIA)**

ODP recognizes that much of the information submitted in the course of applying for funding under this program, or provided in the course of its grant management activities, may be considered law enforcement sensitive or otherwise important to national security interests. This may include threat, risk, and needs assessment information, and discussions of demographics, transportation, public works, and industrial and public health infrastructures. While this information under Federal control is subject to requests made pursuant to the Freedom of Information Act, 5. U.S.C. §552, all determinations concerning the release of information of this nature are made on a case-by-case basis by the DHS FOIA Office, and may likely fall within one or more of the available exemptions under the Act. Applicants are encouraged to consult their own State and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process. Applicants may also consult their ODP Preparedness Officer regarding concerns or questions about the release of information under State and local laws. 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.

### **Services to Limited English Proficient (LEP) Persons**

Recipients of ODP financial assistance are required to comply with several Federal civil rights laws, including Title VI of the Civil Rights Act of 1964, as amended. These laws prohibit discrimination on the basis of race, color, religion, national origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of limited English proficiency. To ensure compliance with Title VI, recipients are required to take reasonable steps

to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Grantees are encouraged to consider the need for language services for LEP persons served or encountered both in developing their proposals and budgets and in conducting their programs and activities. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs. For additional information, please see <http://www.lep.gov>.

### **Integrating Individuals with Disabilities into Emergency Planning**

Executive Order #13347, entitled “Individuals with Disabilities in Emergency Preparedness” and signed in July 2004, requires the Federal Government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of terrorism. Consequently, Federal agencies are required to: 1) encourage consideration of the unique needs of employees and individuals with disabilities served by State, local, and tribal governments and private organizations and individuals in emergency preparedness planning; and 2) facilitate cooperation among Federal, State, local, and tribal governments and private organizations and individuals in the implementation of emergency preparedness plans as they relate to individuals with disabilities. A January 2005 letter to Governors from Secretary Ridge asked States to consider several steps in protecting individuals with disabilities:

- Ensure that your State’s existing emergency preparedness plans are as comprehensive as possible with regard to the issues facing individuals with disabilities
- Ensure that emergency information and resources are available by accessible means and in accessible formats
- Consider expending Federal homeland security dollars on initiatives that address and/or respond to the needs of individuals with disabilities for emergency preparedness, response, and recovery.

Grantees are encouraged to use funding for activities that integrate people with disabilities into their planning and response processes. Grantees can consult Census data for their geographic location to discover the percentage of the population that is categorized as individuals with disabilities.

Further information can be found at the Disability and Emergency Preparedness Resource Center at [www.dhs.gov/disabilitypreparedness](http://www.dhs.gov/disabilitypreparedness). This Resource Center provides information to assist emergency managers and in planning and response efforts related to people with disabilities.

### **Buy American Act Compliance**

In general, grantees are not required to comport with the restrictions of the Buy American Act (41 U.S.C. 10a). However, grants authorized under the Stafford Act, including the EMPG program, must follow these standards. The Buy American Act requires that all materials purchased be produced in the United States, unless such materials are not available, or such a purchase would not be in the public interest.

## I. ODP Resources and Support

To assist grantees with program activities, ODP has several support mechanisms available to grantees.

### Role of ODP's Preparedness Officers

Throughout the project period, ODP Preparedness Officers will work closely with State and local officials in assigned States and territories to assist agencies in enhancing their homeland security preparedness through planning, training, equipment acquisition, exercises, and technical assistance. Preparedness Officers will be in continuous contact with the SAAs and local officials, and should be considered as the primary point of contact within ODP for addressing questions, concerns, general issues, and accessing specialized expertise.

Additionally, ODP Regional Preparedness Officers are available to work closely with State and local officials in their assigned regions and to serve as a regional liaison for national ODP programs. The ODP Regional Preparedness Officer is also available to support and review State and local planning efforts related to the EMPG and MMRS programs, and the associated development of applications, work plans and performance evaluations for EMPG.

### Role of ODP's Exercise Managers

ODP Exercise Managers will work closely with state and local exercise points of contact in assigned States and territories to assist agencies in enhancing their homeland security preparedness through exercise conduct. Exercise Managers should be considered as the primary point of contact within ODP for addressing questions and concerns regarding exercises.

### Centralized Scheduling and Information Desk (CSID) Help Line

CSID is a non-emergency resource for use by State and local emergency responders across the nation. CSID provides general information on all ODP programs and information on the characteristics and control of CBRNE materials, defensive equipment, mitigation techniques, and available Federal assets and resources. CSID also provides information on the following services: CBRNE training, centralized scheduling capability, CBRNE exercises, State Homeland Security Assessment and Strategy Grants, and technical assistance (TA).

CSID can be contacted by telephone at 1-800-368-6498 or via email at [askcsid@dhs.gov](mailto:askcsid@dhs.gov). CSID hours of operation are from 8:00 a.m. - 7:00 p.m. (EST), Monday through Friday.

### Federal Fiscal Support and Oversight

ODP's OGO will provide fiscal support and oversight of the grant programs included in this solicitation. All grant and sub-grant recipients should refer to the OGO Financial Management Guide. Please contact OGO to obtain a copy of this Guide. OGO can be contacted by telephone at 1-866-9ASKOGO or by email at [ask-OGO@dhs.gov](mailto:ask-OGO@dhs.gov).

### Homeland Security Preparedness Technical Assistance Program

ODP's technical assistance program is a capabilities-based program that seeks to build and sustain State and local jurisdiction capacity related to two primary functional areas: (1) overall homeland security program management; and (2) priority preparedness activities (prevent, protect against, respond to, and recover from major events, including threats or acts of terrorism).

This two-pronged approach ensures that technical assistance services measurably contribute to the enhancement of the homeland security architecture within each state and local jurisdiction as well as the associated preparedness capabilities housed therein. The technical assistance services designed, developed, and delivered to State and local homeland security personnel address the full spectrum of mission areas, priorities, and capabilities outlined in the National Preparedness Goal. All technical assistance services are available to eligible recipients at no charge. ODP will cover the cost of providing the technical expertise, travel, and related expenses.

For additional information, please refer to ODP's online TA site at <http://www.ojp.usdoj.gov/odp/ta.htm> under the *Catalog* link or contact CSID.

### **Lessons Learned Information Sharing (LLIS) System**

LLIS is a national, online, secure website that houses a collection of peer-validated lessons learned, best practices, and AARs from exercises and actual incidents, and other relevant homeland security documents. LLIS is designed to help emergency response providers and homeland security officials prevent, prepare for, respond to, and recover from catastrophic events and acts of terrorism. LLIS facilitates improved preparedness nationwide by providing response professionals with access to a wealth of validated front-line expertise on effective planning, training, equipping, and operational practices for homeland security.

The LLIS website also includes a national directory of responders and homeland security officials, as well as an updated list of homeland security exercises, events, and conferences. Additionally, LLIS includes online collaboration tools, including secure email and message boards, where users can exchange information. LLIS uses strong encryption and active site monitoring to protect all information housed on the system. The LLIS website is located at <https://www.LLIS.gov>.

Additional information on each of these programs can be found on the ODP website located at: <a href="http://www.ojp.usdoj.gov/odp">http://www.ojp.usdoj.gov/odp</a> or by contacting the State's assigned ODP Preparedness Officer.
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# **III. ELIGIBLE APPLICANTS AND FUNDING AVAILABILITY**

### III. ELIGIBLE APPLICANTS AND FUNDING AVAILABILITY

#### A. Eligible Applicants

The Governor of each State has designated an SAA to apply for and administer ODP grant funds. The SAA is the only agency eligible to apply for FY06 EMPG funds and is responsible for passing through those funds to the State EMA within prescribed timelines.

#### B. Funding

Per Congressional direction, FY06 EMPG funds have been allocated consistent with previous fiscal years. Pursuant to the Compact of Free Association, \$50,000 may be available for the Federated States of Micronesia and \$50,000 for the Republic of the Marshall Islands. Table 2 provides a breakdown by State of FY06 EMPG funding allocations.

**Table 2. FY06 EMPG Funding Allocation**

State/Territory	FY06 Allocation	State/Territory	FY06 Allocation
Alabama	\$ 2,990,292.00	New Hampshire	\$ 1,811,165.00
Alaska	\$ 1,579,387.00	New Jersey	\$ 4,497,040.00
Arizona	\$ 3,346,277.00	New Mexico	\$ 2,024,094.00
Arkansas	\$ 2,338,031.00	New York	\$ 8,376,735.00
California	\$ 14,236,075.00	North Carolina	\$ 4,397,775.00
Colorado	\$ 2,997,532.00	North Dakota	\$ 1,575,815.00
Connecticut	\$ 2,613,621.00	Ohio	\$ 5,536,456.00
Delaware	\$ 1,639,410.00	Oklahoma	\$ 2,625,696.00
District of Columbia	\$ 1,552,473.00	Oregon	\$ 2,635,897.00
Florida	\$ 7,479,004.00	Pennsylvania	\$ 5,871,885.00
Georgia	\$ 4,485,848.00	Rhode Island	\$ 1,735,818.00
Hawaii	\$ 1,800,137.00	South Carolina	\$ 2,851,022.00
Idaho	\$ 1,835,393.00	South Dakota	\$ 1,622,362.00
Illinois	\$ 5,969,142.00	Tennessee	\$ 3,471,431.00
Indiana	\$ 3,604,254.00	Texas	\$ 9,339,277.00
Iowa	\$ 2,421,236.00	Utah	\$ 2,193,427.00
Kansas	\$ 2,340,116.00	Vermont	\$ 1,569,343.00
Kentucky	\$ 2,845,654.00	Virginia	\$ 4,020,848.00
Louisiana	\$ 2,988,865.00	Washington	\$ 3,571,151.00
Maine	\$ 1,818,307.00	West Virginia	\$ 2,004,480.00
Maryland	\$ 3,346,891.00	Wisconsin	\$ 3,340,701.00
Massachusetts	\$ 3,703,030.00	Wyoming	\$ 1,526,119.00
Michigan	\$ 5,033,090.00	Puerto Rico	\$ 2,759,680.00
Minnesota	\$ 3,185,941.00	Virgin Islands	\$ 654,248.00
Mississippi	\$ 2,397,372.00	American Samoa	\$ 468,716.00
Missouri	\$ 3,425,703.00	Guam	\$ 609,316.00
Montana	\$ 1,676,890.00	Northern Mariana Islands	\$ 487,308.00
Nebraska	\$ 1,977,881.00	Republic of the Marshall Islands	\$ 51,694.00
Nevada	\$ 2,140,955.00	Federated States of Micronesia	\$ 51,694.00
		<b>Total</b>	<b>\$179,450,000</b>

# **IV. APPLICATION KIT**

## IV. APPLICATION KIT

SAAAs must apply for FY06 EMPG funding through the online Grants Management System (GMS) at <https://grants.ojp.usdoj.gov/>. Applications are available as of **November 14, 2005** and must be received by ODP no later than **December 14, 2005**. ODP will evaluate applications and award funds within 30 days of receipt of application.

These grants are through DHS/ODP. The program title listed in the Catalog of Federal Domestic Assistance (CFDA) at <http://12.46.245.173/cfda/cfda.html> is “*Office for Domestic Preparedness Fiscal Year 2006 Emergency Management Performance Grants.*” The CFDA number for FY06 EMPG is 97.042. When completing the online application, applicants should identify their submissions as new, non-construction applications. The project period will be for a period not to exceed 24 months. Table 3 outlines the required application elements.

**Table 3. EMPG Application Checklist**

<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>SF-424 Grant Application with Certifications (through GMS)</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Non-Supplanting Certification</li> <li><input type="checkbox"/> Assurances</li> <li><input type="checkbox"/> Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement</li> </ul> </li> <li><input type="checkbox"/> <b>DUNS Number</b></li> <li><input type="checkbox"/> <b>EMPG Program Narrative and Budget</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Program Narrative                             <ul style="list-style-type: none"> <li><input type="checkbox"/> PART I: Management Capabilities</li> <li><input type="checkbox"/> PART II: Challenges and Impediments</li> <li><input type="checkbox"/> PART III: Recommendations</li> <li><input type="checkbox"/> PART IV: Major Initiatives</li> <li><input type="checkbox"/> PART V: NEMB-CAP</li> <li><input type="checkbox"/> PART VI: Work Plan</li> <li><input type="checkbox"/> PART VII: Catastrophic Planning</li> </ul> </li> <li><input type="checkbox"/> Budget and Budget Narrative</li> </ul> </li> <li><input type="checkbox"/> <b>Review of Application by the State Single Point of Contact (SPOC)</b></li> </ul>
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### Required Application Submissions

#### 1. SF-424 Grant Application with certifications (through GMS)

- **Non-Supplanting Certification:** This certification from the SAA, which is a required component of the online GMS application, affirms that Federal funds will only be used to supplement existing funds and will not replace (supplant) funds that have been appropriated for the same purpose. Potential supplanting will be addressed in the application review as well as in the pre-award review, post-award monitoring, and the audit. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

- **Match Requirement:** EMPG has a 50% Federal and 50% State cost-share cash or in-kind match requirement. Unless otherwise authorized by law, Federal funds can not be matched with other Federal funds. In accordance with Federal guidelines and DHS OGC rulings, match requirements are waived for the U.S. Territories of American Samoa, Guam, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands. For further information on allowable sources and types of funds, timing of match contributions, and records for match, please consult the OGO Financial Management Guide.
  - **Assurances:** The online GMS application includes a list of assurances that the applicant must comply with in order to receive Federal funds under this program. It is the responsibility of the recipient of the Federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. The applicant agrees to these assurances upon the submission of the application.
  - **Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement:** This certification, which is a required component of the online application, commits the applicant to compliance with the certification requirements under 28 C.F.R. Part 67, *Government-wide Debarment and Suspension (Non-procurement)*; 28 C.F.R. Part 69, *New Restrictions on Lobbying*; and 28 C.F.R. Part 83 *Government-wide Requirements for Drug-Free Workplace (Grants)*. All of these can be referenced at [http://www.access.gpo.gov/nara/cfr/waisidx\\_04/28cfrv2\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html). The certification will be treated as a material representation of the fact upon which reliance will be placed by DHS in awarding grants.
  - **Suspension or Termination of Funding:** DHS, by written notice, may terminate this grant, in whole or in part, when it is in the Government's interest.
2. **DUNS Number.** The SAA must provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number with the FY06 EMPG application. ***An application will not be considered complete until a valid DUNS number is provided by the applicant.*** This number may be provided in one of the attachment fields within the online GMS application. Organizations should verify having a DUNS number or take the steps necessary to obtain one as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-800-333-0505.
  3. **EMPG Program Narrative and Budget.** Grantees must maintain and expand any necessary capabilities to sustain an effective emergency management program. These capabilities must be able to address all-hazards emergencies. To help assess these capabilities, the FY06 EMPG requires that all EMPG award recipients submit a narrative as a part of the EMPG application. To frame the program narrative, please use the following structure:

**EMPG Program Narrative**

**PART I: Management Capabilities.** Please provide a description of current resource management capabilities to develop, implement, and manage the programmatic requirements associated with EMPG funding and other Federally funded programs supporting the State emergency management program and the State Homeland Security Strategy. When describing current management capabilities, consider including such information as the following:

- Identify the major organizations, committees, and other structures accountable for implementing the emergency management program initiatives
- Provide an overview of the core emergency management organization, and the structures used to support emergency management across the State.
- Indicate the staffing/resource levels within those core organization responsible for program administration and oversight
- Provide an overview of the process(es) used to determine funds allocation to any subgrantee of the emergency management authority.

In addition, the description must make specific reference to the following:

- Current efforts to achieve NIMS implementation and institutionalization across the entire State/territory response system during FY06
- Current efforts to address deficiencies identified as a result of the NEMB-CAP process, the EMAP process, or other emergency management-related assessments
- Current efforts to enhance or sustain existing capabilities already put into place to address shortfalls identified through the NEMB-CAP process, the EMAP process, or other emergency management-related assessments
- Current efforts to institutionalize all-hazards preparedness into the existing State Homeland Security Strategy.

**PART II: Challenges and Impediments.** Please provide an explanation of challenges and impediments that complicate the administration and management of programs supporting the statewide emergency management program.

**PART III: Recommendations.** Please provide recommendations for beneficial services, tools, and/or resources that would assist the State/territory in better implementing the statewide emergency management program and integrating the program into the existing State Homeland Security Strategy.

**PART IV: Major Initiatives.** Please provide a list of major emergency management initiatives and a brief overview of each initiative. The overview should address the major objectives and key milestones of the initiative, as well as how it relates to the Emergency Management Functions identified through EMAP. Consistent with the emergency management function chosen, the State may propose activities at a local level as well as activities that have statewide application. For example, a State's program objective for exercises may include those conducted by counties or municipalities as well as those conducted by the State.

**PART V: NEMB-CAP.** Please provide a summary of key shortfalls identified in the NEMB-CAP process. States who have not yet completed the NEMB-CAP assessment should note that in their work plan, including expected timeframe for completion of the NEMB-CAP or provide a summary of shortfalls as identified in the most recent relevant assessment.

**PART VI. Work Plan.** Please provide a proposed work plan to address specific areas of need identified in the NEMB-CAP process or other assessment process. If a State has not completed NEMB-CAP, it should use the EMAP Standard and lessons learned from catastrophic events, such as Hurricanes Katrina and Rita, to assist in identifying and prioritizing areas upon which to focus. If the key areas of need or weaknesses identified in the NEMB-CAP process have already been addressed, the State should describe how it will sustain these capabilities or how it will address any other priority needs identified through ongoing assessment efforts.

**PART VII. Catastrophic Planning.** Please provide a detailed summary of catastrophic planning efforts and proposed actions to address.

**EMPG Budget and Budget Narrative**

Additionally, all EMPG award recipients are required to submit a budget and budget narrative addressing EMPG related costs and expenses, as a part of the EMPG application. This budget narrative should be brief and should serve to: (1) explain how the costs were estimated, (2) justify the need for the costs, and (3) outline how the match requirement of the grant program will be met. For clarification purposes, the narrative should include tables describing cost and expense elements (e.g. equipment list with unit costs/quantity). ODP Preparedness Officers can provide additional guidance on the development of this narrative.

4. **Single Point of Contact (SPOC) Review:** Executive Order 12372, located at [http://www.archives.gov/federal\\_register/codification/executive\\_order/12372.html](http://www.archives.gov/federal_register/codification/executive_order/12372.html), requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State SPOC, if one exists and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. The date that the application was sent to the SPOC or the reason such submission is not required should be provided.

**Applicants must familiarize themselves with the requirements and restrictions of the Program Guidance for FY06 EMPG, available in Sections I through V of the *Fiscal Year 2006 Emergency Management Performance Grants: Program Guidance and Application Kit*. The Program Guidelines contain critical information regarding this grant program. All grant recipients are assumed to have read, understood, and accepted the Program Guidance as binding.**

# **V. AWARD AND REPORTING REQUIREMENTS**

## V. AWARD AND REPORTING REQUIREMENTS

### A. Grant Award to State

Upon approval of the application, the grant will be awarded to the respective SAA. This date will be known as the “award date.” The State’s obligation period must be met within **15** days of the award date. See *Appendix A: Sample Award Package* for additional information.

**Required Submissions:** Signed award document and special conditions returned to the OJP OC Control Desk.

### B. Drawdown of Funds

Following acceptance of the grant award and release of any special conditions withholding funds, the grantee can drawdown funds through the Automated Standard Application for Payments (ASAP), Phone Activated Paperless Response System (PAPRS), or Letter Of Credit Electronic Certification System (LOCES) payment systems.

In support of our continuing effort to meet the accelerated financial statement reporting requirements mandated by the U.S. Department of the Treasury and the Office of Management and Budget (OMB), payment processing will be interrupted during the last five (5) working days of each month. SAAs should make payment requests before the last five working days of the month to avoid delays in deposit of payments. For example, for the month of September, the last day to request (drawdown) payments will be September 23, 2005. Payments requested after September 23, 2005 will be processed when the regular schedule resumes on October 1, 2005. A similar schedule will follow at the end of each month thereafter.

To avoid denial of payment requests, grantees are encouraged to submit their SF269a FSRs online at <http://grants.ojp.usdoj.gov>. Additional information and instructions are available at this website.

Questions regarding grant **payments** should be addressed to the OJP OC by telephone at 1-800-458-0786 or email [askoc@ojp.usdoj.gov](mailto:askoc@ojp.usdoj.gov). Questions regarding all other financial/administrative issues should be addressed to the OGO Information Line at 1-866-9ASKOGO (927-5646) or email at [ask-ogo@dhs.gov](mailto:ask-ogo@dhs.gov).

### C. Reporting Requirements

Reporting requirements for all programs included in EMPG will be consolidated into a single reporting system.

#### Financial Status Report

Obligations and expenditures must be reported to ODP on a quarterly basis through the Financial Status Report (FSR), which is due within 45 days of the end of each calendar quarter (i.e. for the quarter ending March 31, FSR is due on May 15). A report must be submitted for every quarter the award is active, including partial calendar quarters, as well as for periods where no grant activity occurs. A copy of this form will be included in the initial award package. Future awards

and fund drawdowns will be withheld if these reports are delinquent. FSRs may be filed on-line through the internet at <http://grants.ojp.usdoj.gov>.

Grantees are reminded to review the following documents and ensure that grant activities are conducted in accordance with the applicable guidance:

- OMB Circular A-102, *Grants and Cooperative Agreements with State and Local Governments*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- OMB Circular A-110, *Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- OMB Circular A-21, *Cost Principles for Educational Institutions*, at <http://www.whitehouse.gov/omb/circulars/index.html>
- OMB Circular A-122, *Cost Principles for Non-Profit Organizations*, at <http://www.whitehouse.gov/omb/circulars/index.html>.

Additionally, grantees should be familiar with the requirements included in the OGO Financial Management Guide. This Guide may be obtained by contacting OGO.

**Required Submissions:** FSR (quarterly).

### **Biannual Strategy Implementation Reports (BSIR) and Categorical Assistance Progress Report (CAPR)**

Following award of grant, the State and subgrantees will be responsible for providing updated obligation and expenditure information on a regular basis. States will provide consolidated information to ODP in their BSIR. The BSIR submission will satisfy the narrative requirement in Box 12 of the biannual Categorical Assistance Progress Report (CAPR – OJP Form 4587/1). States will still be required to submit the CAPR form with a line in box 12 which reads: *See BSIR*. The BSIR and the CAPR are due within 30 days after the end of the reporting period (July 31 with a reporting period of January 1 through June 30, and on January 31 with a reporting period of July 1 through December 31). Updated obligation and expenditure information must be provided with the BSIR to show progress made in meeting strategic goals and objectives. ODP will provide a web-enabled application for the BSIR submission to grantees and a copy of the CAPR (OJP Form 4587/1) will be included in the initial award package. Future awards and fund drawdowns may be withheld if these reports are delinquent. The final BSIR is due 120 days after the end date of the award period.

**Required Submissions:** BSIR (biannually).

### **Exercise Evaluation and Improvement**

Exercises implemented with grant funds should be threat- and performance-based and should evaluate performance of critical tasks required to respond to the exercise scenario. Guidance on conducting exercise evaluations and implementing improvement is defined in the HSEEP Volume **Exercise Evaluation and Improvement** located at <http://hseep.dhs.gov>. Exercises

must be included in the Multiyear Exercise Plan calendar, and added to the National Exercise Schedule through the ODP Secure Portal. The SAA must report on scheduled exercises and ensure that an AAR and Improvement Plan (IP) are prepared for each exercise conducted with ODP support (grant funds or direct support) and submitted to ODP within 60 days following completion of the exercise.

The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The IP outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR. Generally, the IP, with at least initial action steps, should be included in the final AAR. ODP is establishing a national database to facilitate the scheduling of exercises, the submission of the AAR/IPs and the tracking of IP implementation. Guidance on development of AARs and IPs is provided in the HSEEP manuals.

### **Financial and Compliance Audit Report**

Recipients that expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accountability Office *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at <http://www.whitehouse.gov/omb/circulars/index.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than 9 months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY06 EMPG assistance for audit and examination purposes, provided that, in the opinion of the Secretary of Homeland Security or the Comptroller General, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers or documents related to the grant.

The State shall require that subgrantees comply with the audit requirements set forth in *OMB Circular A-133*. Recipients are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings.

### **D. Monitoring**

Grant recipients will be monitored periodically by ODP Preparedness Officers and OGO to ensure that the program goals, objectives, timeliness, budgets, and other related program criteria are being met. Monitoring is accomplished through a combination of office-based and on-site monitoring visits. Monitoring involves the review and analysis of the financial, programmatic, and administrative issues relative to each program, and helps identify areas where technical assistance and other support may be needed.

The SAA is responsible for monitoring subgrantee activities to provide reasonable assurance that the sub-recipient administers Federal awards in compliance with Federal and State requirements. Responsibilities include the accounting of receipts and expenditures, cash management, the maintaining of adequate financial records, and the refunding of expenditures disallowed by audits.

## **E. Grant Close-Out Process**

Within 120 days after the end of the grant period, the grantee will submit a final FSR and a final BSIR detailing all accomplishments throughout the project. After both of these reports have been reviewed and approved by the ODP Preparedness Officer, a Grant Adjustment Notice (GAN) will be completed to close-out the grant. The GAN will indicate the project as being closed, list any remaining funds that will be de-obligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR. After the financial information is received and approved by OGO, the grant will be identified as 'Closed by the Office of Grant Operations.'

**Required Submissions:** 1) Final SF-269, 2) Final CAPR, and 3) Final BSIR.

# **Appendix A**

# **Sample Award Package**

## APPENDIX A: SAMPLE AWARD PACKAGE

### TAB 1: SAMPLE REVIEW OF AWARD

**Office for Domestic Preparedness  
Office of Grant Operations  
Post Award Instructions for ODP Awards**

1. Review Award and Special Conditions Document.

Carefully read the award and any special conditions or other attachments. There is an original plus one copy of the award page.

**If you agree** with the terms and conditions, the authorized official should sign and date both the original and the copy of the award document page in Block 19. You should maintain a copy and return the original signed documents to:

Office of Justice Programs  
Attn: Control Desk - ODP Award  
810 Seventh Street, NW – 5<sup>th</sup> Floor  
Washington, DC 20531

**If you do not agree** with the terms and conditions, contact the awarding ODP Preparedness Officer as noted in the award package.

2. Read Guidelines.

Become familiar with the OGO Financial Management Guide, which is available [by](#) contacting OGO at 1-866-9ASKOGO. New award recipients are automatically placed on a mailing list to receive future Guides and their change sets.

Up to 5 copies of the Guide may be ordered at no cost through: <http://puborder.ncjrs.org>

You may also order the Guide by calling 1-800-851-3420. Select #2 for publications, select #1 to speak with a publications specialist.

## **TAB 2: SAMPLE POST AWARD INSTRUCTION**

Office for Domestic Preparedness  
Office of Grant Operations  
Office of the Comptroller

### **Post Award Instructions**

OGO will provide fiscal support and oversight of the ODP grant programs, while the OJP OC will continue to provide support for grant payments. The following is provided as a guide for the administration of awards from ODP. Forms and other documents illustrating each step are attached.

#### **Step 1. Review Award and Special Conditions.**

If you agree with the terms and conditions stated in the award, sign and date the award document and the last page of the Special Conditions, and return to OJP. Notify an ODP Preparedness Officer when Special Conditions have been met (refer to Step 1 attachment);

If you do not agree with the terms and conditions as written, contact an ODP Preparedness Officer.

#### **Step 2. Read Guidelines.**

Read and become familiar with the OGO Financial Management Guide and related material

#### **Step 3. Complete and Return Automated Clearing House (ACH) Form.**

The ACH Vendor/Miscellaneous Payment Enrollment Form (refer to Step 3 attachment) is used to arrange direct deposit of funds into the designated bank account.

#### **Step 4. Access to Payment Systems.**

OJP uses two payment systems: Phone Activated Paperless System (PAPRS) and Letter of Credit Electronic Certification System (LOCES) (refer to Step 4 attachment). Current LOCES users will see the addition of new ODP grants on the LOCES grant number listing as soon as the ODP award acceptance has been received. PAPRS grantees will receive a letter with the award package containing their PIN to access the system and Grant ID information.

#### **Step 5. Reporting Requirements.**

Reporting requirements must be met during the life of the grant (refer to the OGO Financial Management Guide and the specific program guidance for a full explanation of these requirements, special conditions and any applicable exceptions). The payment systems contain edits which will prevent access to funds if reporting requirements are not met on a timely basis. Refer to Step 5 attachments for forms, due date information, and instructions.

#### **Step 6. Questions about your ODP award?**

A reference sheet is provided containing frequently asked financial questions and answers. Questions regarding grant **payments** should be addressed to the OJP OC at 1-800-458-0786 or email [askoc@ojp.usdoj.gov](mailto:askoc@ojp.usdoj.gov). Questions regarding all other financial/administrative issues should be addressed to the OGO Information Line at 1-866-9ASKOGO (927-5646) or email at [ask-ogo@dhs.gov](mailto:ask-ogo@dhs.gov).

**APPENDIX B**  
**LIST OF TERMS**

**APPENDIX B: LIST OF TERMS**

**A**

AEL Authorized Equipment List  
 ASAP Automated Standard Application for Payments

**B**

BSIR Biannual Strategy Implementation Reports  
 BZPP Buffer Zone Protection Plan

**C**

CAPR Categorical Assistance Progress Reports  
 CBRNE Chemical, Biological, Radiological, Nuclear, and Explosive  
 CCP Citizen Corps Program  
 CDC Centers for Disease Control and Prevention  
 CFR Code of Federal Regulations  
 CFDA Catalog of Federal Domestic Assistance  
 CSID Centralized Scheduling and Information Desk

**D**

D&B Dun and Bradstreet  
 DHS U.S. Department of Homeland Security  
 DOJ U.S. Department of Justice  
 DUNS Data Universal Numbering System

**E**

EA Environmental Assessment  
 EIS Environmental Impact Statement  
 EMA Emergency Management Agency  
 EMAP Emergency Management Accreditation Program  
 EMI Emergency Management Institute  
 EMPG Emergency Management Performance Grants  
 EOC Emergency Operations Center  
 EOP Emergency Operations Plan

**F**

FAR Federal Acquisition Regulations  
 FEMA Federal Emergency Management Agency  
 FICA Federal Insurance Contributions Act  
 FOIA Freedom of Information Act  
 FSR Financial Status Report

**G**

GAN Grant Adjustment Notice  
 GMS Grants Management System

**H**

HazMat Hazardous Materials  
 HHS U.S. Department of Health and Human Services

FY06 EMERGENCY MANAGEMENT PERFORMANCE GRANTS

	HRSA	Health Resources and Services Administration
	HSEEP	Homeland Security Exercise and Evaluation Program
	HSGP	Homeland Security Grant Program
	HSPD	Homeland Security Presidential Directive
<b>I</b>		
	IAB	InterAgency Board
	ICS	Incident Command System
<b>L</b>		
	LEP	Limited English Proficient
	LETPP	Law Enforcement Terrorism Prevention Program
	LLIS	Lessons Learned Information Sharing
	LOCES	Letter of Credit Electronic Certification System
<b>M</b>		
	M&A	Management and Administrative
	MIPT	National Memorial Institute for the Prevention of Terrorism
	MMRS	Metropolitan Medical Response System
<b>N</b>		
	NEPA	National Environmental Policy Act
	NIC	NIMS Integration Center
	NIMS	National Incident Management System
	NRP	National Response Plan
<b>O</b>		
	OC	Office of the Comptroller
	ODP	Office for Domestic Preparedness
	OJP	Office of Justice Programs
	OGO	Office of Grant Operations
	OMB	Office of Management and Budget
<b>P</b>		
	PAPRS	Phone Activated Paperless Request System
<b>R</b>		
	RKB	Responder Knowledge Base
<b>S</b>		
	SAA	State Administrative Agency
	SHSP	State Homeland Security Program
	SPOC	Single Point of Contact
<b>T</b>		
	TCL	Target Capabilities List
<b>U</b>		
	UASI	Urban Areas Security Initiative
	UTL	Universal Task List