U.S. DEPARTMENT OF HOMELAND SECURITY

Preparedness Directorate
Office of Grants and Training

FY 2007 Emergency Management Performance Grants

Program Guidance and Application Kit

November 2006

Foreword

I am pleased to provide these FY 2007 program guidelines and application materials for the U.S. Department of Homeland Security (DHS) Emergency Management Performance Grants (EMPG) program. A component of the broader DHS preparedness grant programs, FY 2007 EMPG will provide $194 million in critical assistance to sustain and enhance State and local emergency management capabilities consistent with previous fiscal years.

Emergency management is a vital part of the Department's preparedness mission and EMPG directly supports the Nation's emergency management community. The EMPG program is administered through DHS' Preparedness Directorate Office of Grants and Training and in close working relationship with the National Emergency Management Association and the emergency management community.

EMPG supports all-hazards planning, conducting training and exercises, and most importantly, emergency management personnel at the State and local level. It is important that the Nation take lessons learned from previous incidents, including the Nationwide Plan Review and Hurricane Katrina after action reports, to strengthen all-hazards catastrophic incident preparedness.

With the enactment of the FY 2007 DHS Appropriations on October 4, 2006 and recognizing that EMPG supports State and local emergency management personnel, the FY 2007 EMPG guidance and application kit is being released promptly to ensure uninterrupted support to our Nation's emergency management community. The Department remains committed to ensuring homeland security through all-hazards preparedness.

Michael Chertoff
Secretary
Department of Homeland Security

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A.   Overview

The events surrounding Hurricanes Katrina and Rita highlighted the critical importance of effective catastrophic all-hazards planning   At all levels of government, lessons learned from Katrina are being evaluated, shared, and implemented. As part of this effort, State and local jurisdictions must engage in a comprehensive planning process that seeks to enhance their emergency management and catastrophic capabilities through strengthened regional[1] relationships and the allocation of resources toward all-hazards planning.

Emergency management must be able to coordinate in the context of natural and man-made hazards, as well as technological events, that threaten the security of the homeland and the safety and well-being of citizens. An all-hazards approach to preparedness, including the development of a comprehensive program of planning, training, and exercises, encourages an effective and consistent response to any threatened or actual disaster or emergency, regardless of the cause. As authorized by the Fiscal Year (FY) 2007 Department of Homeland Security (DHS) Appropriations Act (P.L. 109-295), the FY 2007 Emergency Management Performance Grants (EMPG) program seeks to provide resources to assist State and local governments in moving forward with this all-hazards planning approach to emergency management.

B.   Planning Priorities

Over the past year, the President and Congress issued a series of calls for the Federal government to determine the status of planning for large-scale and catastrophic incidents. In response, DHS, along with the Department of Transportation and supported by the Department of Defense, initiated the Nationwide Plan Review. The Nationwide Plan Review demonstrated that planners at every level of government are committed to strengthening their plans and planning processes; however, efforts are hampered by unclear or dated planning guidance and the unpredictability of large-scale and catastrophic events. Following a review of more than 2,500 documents and over 1,000 interviews with public safety and homeland security officials, four planning areas were identified as focal points for this emergency management planning efforts. These focus areas are specifically selected to address issues faced not only during a large-scale or catastrophic event, but also the more common scenarios a jurisdiction may face.

All jurisdictions must work with stakeholders across all levels of government, the private sector, and non-governmental organizations to develop or update emergency operations plans (EOP) ensuring that plans, procedures, and exercises address the four identified focus areas from the Review including: Evacuation Planning; Logistics and

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[1] As used in this document, the term "regional" refers to multi-State or sub-State geographic areas that function as regions (e.g., the National Capital Region) and is not a reference to any Federal regions.

Resource Management; Continuity of Operations (COOP) / Continuity of Government (COG) Planning; and Recovery Planning.

Detailed descriptions of these focus areas are outlined later in this guidance. These focus areas target large-scale or catastrophic incidents, however they involve capabilities that will also support common scenarios described in local hazard mitigation plans. Jurisdictions are also expected to incorporate non-governmental[2] preparedness, support, and resources, the general public, and special needs planning throughout these and other planning activities.

C. National Preparedness Reporting

Homeland Security Presidential Directive (HSPD)-8 "National Preparedness" requires the Secretary to assess the Nation's level of preparedness, including State capabilities, the utilization of mutual aid, and an assessment of how the Federal preparedness assistance programs support the National Preparedness Goal.

In the FY 2007 DHS Appropriations Act, Congress has also required a comprehensive national assessment of state and local preparedness in FY 2007. Additional guidance will be provided during the grant period to further outline how this assessment will be developed. The Department will work closely with State and local partners to ensure full coordination to provide accurate, detailed reports. DHS will work to ensure reporting requirements support State and local level performance management requirements, as applicable. Congress has required a Federal Preparedness Report on the Nation's level of preparedness for all hazards, including natural disasters, acts of terrorism, and other man-made disasters, including an estimate of the amount of Federal, State, local, and tribal expenditures required to attain the preparedness priorities by October 4, 2007, and annually thereafter.

Congress directed the development of a Federal Preparedness Report that assesses the Nation's level of preparedness for all hazards, including natural disasters, acts of terrorism, and other man-made disasters, including an estimate of the amount of Federal, State, local, and tribal expenditures required to attain the preparedness priorities by October 4, 2007, and annually thereafter.

In addition, the Department shall also develop and submit an annual Catastrophic Resource Report, which estimates the resources of DHS and other Federal agencies needed for and devoted specifically to developing the capabilities of Federal, State, local, and tribal governments necessary to respond to a catastrophic incident. Included in this report is an estimate of State, local, and tribal government catastrophic incident preparedness.

Finally, Congress required each State receiving Federal preparedness assistance administered by DHS to submit a State Preparedness Report to the Department on the State's level of preparedness by January 4, 2008, and annually thereafter. The report

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[2] Non-governmental entities include private sector, faith-based, community, nonprofit, and volunteer organizations.

shall include: (A) an assessment of State compliance with the national preparedness system, National Incident Management System (NIMS), the National Response Plan (NRP), and other related plans and strategies; (B) an assessment of current capability levels and a description of target capability levels; and, (C) an assessment of resource needs to meet the preparedness priorities, including an estimate of the amount of expenditures required to attain the preparedness priorities and the extent to which the use of Federal assistance during the preceding fiscal year achieved the preparedness priorities.

INTRODUCTION

II.   Program Guidance

A.   Overview

States have the opportunity to use funds provided through FY 2007 EMPG to structure emergency management programs based on identified needs and priorities to strengthen their ability to support emergency management mission areas while simultaneously addressing issues of national concern as identified in the National Priorities and Target Capabilities List of the National Preparedness Goal.

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 Governor is responsible for determining the appropriate amount of funding to be passed through to support the development or enhancement of local emergency management capabilities.

An essential component in meeting emergency management capabilities involves establishing strong working relationships with neighboring jurisdictions. These relationships are essential for developing emergency management capabilities that leverage joint operations, effective mutual aid and support locally, regionally, State-to-State, and nationwide priorities, particularly when responding to a catastrophic event. States have the flexibility leverage FY 2007 EMPG funds to develop intra-state and inter-state emergency management systems that encourage building partnerships across all levels of government, with the private sector, and non-governmental organizations

B.   EMPG Work Plans

EMPG Work Plans are required to outline the State's emergency management priorities for FY 2007. In order to address national preparedness issues while also providing the flexibility to manage State and local preparedness issues, States should use any combination of the following criteria as a basis for developing EMPG Work Plans:

- Emergency Management Accreditation Program (EMAP) Standard (April 2006)
- Nationwide Plan Review
- National Response Plan
- National Incident Management System (as published by DHS on March 1, 2004)
- Homeland Security Strategies
- National Preparedness Goal and the Target Capabilities List

PROGRAM GUIDANCE

Specifically, States must focus FY 2007 EMPG program activities on addressing shortfalls and sustaining capabilities in their emergency management program, as identified through either the EMAP process, the Nationwide Plan Review, or other emergency management assessment process, with a specific focus on planning for catastrophic events. States can use the Work Plan to demonstrate how they have already addressed existing shortfalls and how they plan to further enhance or sustain those capabilities. 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. Please see *Appendix A: Work Plan Template* for additional information.

State EMPG work plans should be prepared for dual-use reporting to the Federal government on grant utilization and for State budget offices for performance management. Primary emphasis is being placed on Governors ensuring progress of State preparedness efforts consistent with their chief executive responsibilities. Governors routinely drive performance management activities in their States. The FY 2007 process is designed to leverage this effort, and not create duplicative or competing reporting requirements.

B.1. EMAP Standard

The EMAP Standard is based on the National Fire Protection Association (NFPA) 1600 Standard on Disaster/Emergency Preparedness and Business Continuity Programs, 2004 edition, with language added to clarify many standards' meaning for public sector emergency management accreditation purposes.

States are not required to pursue accreditation under EMAP, but as an existing national standard, it will be used with the National Preparedness Goal and its supporting materials as the basis for future national assessments.

The EMAP Standard covers:

- Program Management
- Program Elements Generally
- Laws and Authorities
- Hazard Identification and Risk Assessment
- Hazard Mitigation
- Resource Management
- Mutual Aid
- Planning
- Direction, Control and Coordination
- Communications and Warning
- Operations and Procedures
- Logistics and Facilities
- Training

- Exercises, Evaluations and Corrective Action
- Crisis Communications, Public Education and Information
- Finance and Administration

Additional information on the EMAP Standard is available at
http://www.emaponline.org/index.cfm
Using the EMAP Standard, the National Emergency Management Baseline – Capability
Assessment Program (NEMB-CAP) was an effort sponsored by the Federal Emergency
Management Agency (FEMA) that analyzed existing State and territory emergency
management programs. Concluding on June 30, 2006 and encompassing 52 States
and territories, findings from the NEMB-CAP process have revealed critical national
weaknesses in key operational areas and catastrophic planning efforts that reinforce
and correspond with findings from the Nationwide Plan Review. These findings include:

- 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

B.2. Nationwide Plan Review

States should develop the Work Plan to focus on addressing State-specific issues
identified through the Nationwide Plan Review. In FY 2007, specific planning focus
areas of evacuation planning, logistics and resource management, continuity of
operations, and recovery planning that have been identified as national planning focus
areas. These focus areas target large-scale or catastrophic incidents, however they
involve capabilities that will also support common scenarios described in local hazard
mitigation plans.

Evacuation Planning
Evacuation planning encompasses not only the movement of people, but also
alert/warnings and crisis communications, as well as the ability to care for those people.
Given these needs, it is important that overall planning for evacuation issues within a
jurisdiction must consider communications to the public, traffic management, special
needs populations, mass care and sheltering, alternative means of transportation, and
when necessary, isolation and quarantine. While levels of planning for this focus area
will vary greatly depending on the jurisdiction, it should be noted that urban areas
should have detailed plans to address issues associated with this focus area and States
should have plans in place that identify how the State will support the local effort.
Evacuation planning should therefore consider the following issues:

- Access control planning, including security and reentry
- Traffic control activities, including contra-flow, monitoring, and contingencies
- Transport of evacuees through traditional and alternate means

- Support for schools, day cares, nursing homes, hospitals, and other facilities that have unique evacuation support needs, including support requirements for these special facilities such as transportation, infrastructure, etc.
- Support for special needs populations
- Special event evacuation considerations (major sporting events, concerts, etc.)
- Medical management of evacuees not yet at shelters, including decontamination and off-site triage, treatment and transport
- Worker safety considerations related to the implementation of the evacuation plan
- Animal and livestock issues during evacuation plans
- Procedure for identifying, coordinating, and operating shelters for the displaced population
- Coordination of activities for uniting family members and others post-event
- Medical treatment of affected population
- Transition of evacuees to long-term housing
- Legal authority to isolate and/or quarantine
- Quarantine activation and enforcement
- Medical monitoring of impacted populations
- Coordination with local hospitals, clinics, and private practitioners to review your isolation and quarantine plans and to clarify roles and communication expectations during emergencies
- Integration with other plan areas (i.e. public notification)

Logistics and Resource Management

Logistics and resource management efforts must provide a framework for overall logistics management functions during catastrophic events. These procedures must address not only integration of routine assets (such as medical equipment, buses, etc.), but also integration of nongovernmental resources, social service capacities and volunteer and donations management. Logistics and resource management plans should therefore address the following issues:

- Materiel and property management processes, including procurement and tracking activities, as coordinated with operational activities
- Staging plans for received assets
- Transportation plans for the deployment of assets
- Demobilization of logistical activities
- Integration of the Citizen Corps Council, with its focus on citizen preparedness and participation, as well as other volunteer organizations
- Process for training citizens to function in surge capacity roles for the response and recovery phase of the disaster
- Donations tracking and coordination structure, including staging area and warehouse, as well as coordination team efforts
- Integration of social service providers in response and recovery efforts

Continuity of Operations / Continuity of Government Planning

COOP / COG planning is the fundamental responsibility of every government agency that performs an essential function at the State and local level. In order to conduct necessary emergency operations, recovery actions, and other key functions during a large-scale or catastrophic event, the agency must have effective COOP plans in place to support continued operations. COOP efforts also provide the foundational basis for COG programs, such as succession planning, which are designed to ensure the survival of not only leadership at the State and local level, but also an enduring constitutional government. Consistent with DHS COOP Planning Guidance plans should address the following issues:

- Delineate essential functions and activities, agency interdependencies, and the resources needed to perform them
- Establish orders of succession to key agency positions and establish and maintain current roster(s) of fully equipped and trained COOP personnel with the authority to perform essential functions
- Provide for the identification and preparation of alternate operating facilities for relocated operations
- Outline a decision process for determining appropriate actions in implementing COOP plans and procedures
- Provide procedures for the notification and relocation of COOP personnel to one or more alternate operating facilities
- Provide procedures for the orientation of COOP personnel and for conducting operations and administration at alternate operating facilities
- Provide for attaining operational capability within 12 hours of activation
- Establish reliable processes and procedures to acquire resources necessary to continue essential functions and sustain operations for up to 30 days
- Provide for the ability to coordinate activities with personnel not deployed
- Provide for reconstitution of agency capabilities, and transition from continuity operations to normal operations

Recovery Planning

Recovery operations are the longest phase of any large-scale or catastrophic disaster. Jurisdictions must have a comprehensive and efficient procedure in place to transition from response operations as soon as possible to ensure effective support for impacted individuals, communities, and businesses. Recovery plans should therefore address the following issues:

- Anticipate and plan for recovery issues with local jurisdictions, State departments and agencies, non-governmental organizations, private businesses, and the Federal government
- Establish effective individual assistance and public assistance programs
- Develop and be able to deploy damage assessment teams
- Debris management requirements and planning
- Hazard mitigation planning to address both pre- and post-disaster mitigation

B.4. National Response Plan

The NRP, provisionally updated May 25, 2006, establishes a comprehensive all-hazards approach to enhance the ability of the Nation to manage domestic incidents. The plan incorporates best practices and procedures from incident management disciplines—homeland security, emergency management, law enforcement, firefighting, public works, public health, responder and recovery worker health and safety, emergency medical services, and the private sector, i.e., organizations and entities that are not part of any governmental structure, including without limitation for-profit and not-for-profit organizations, formal and informal structures, commerce and industry, private emergency response organizations, and private voluntary organizations, and integrates them into a unified structure. It forms the basis of how the Federal government coordinates with State, local, and tribal governments and the private sector during incidents. The NRP and supporting references can be accessed at http://www.dhs.gov/dhspublic/interapp/editorial/editorial_0566.xml.

The NRP is undergoing a significant review and enhancement to more fully reflect recent recommendations. This effort will begin in the fall of 2006 and is anticipated to continue through the spring of 2007. Regular updates, in addition to significant stakeholder involvement in the update process, will serve to keep officials apprised of changes as any NRP modifications will affect State and local emergency management planning.

B.5. National Incident Management System

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, which are major events that "require a coordinated and effective response by an appropriate combination of Federal, State, local, tribal, private sector, and nongovernmental entities."

NIMS Compliance. To be eligible to receive FY 2007 Federal preparedness funding assistance, applicants must meet NIMS compliance requirements. State, territory, tribal and local governments are considered to be in full NIMS compliance if they have adopted and/or implemented the FY 2005 and FY 2006 compliance activities. Adoption and/or implementation of these compliance activities have been self-certified each year by the Governor's office for each State and territory, which includes tribal and local governments. Additional information about NIMS implementation and resources for

achieving compliance are available through the NIMS Integration Center (NIC), at
http://www.fema.gov/emergency/nims/.

C.   Strategy and Program Coordination Guidance

C.1. State and Urban Area Homeland Security Strategies

State and Urban Area Homeland Security Strategies provide the overarching strategic
vision for the implementation of State and urban area preparedness programs, including
assistance from DHS preparedness programs. It is critical that State and local
governments ensure that these strategies provide the basis for resource decisions for
DHS grant funding (including the EMPG program,) incorporate an all-hazards
perspective to preparedness and are linked to the State's all-hazard mitigation plan.

C.2. Program Coordination Requirements

In FY 2005, the Office of Grants and Training (G&T) encouraged the integration of
disciplines through a Senior Advisory Committee[3] to coordinate Federal preparedness
programs, including G&T, the Centers for Disease Control and Prevention (CDC),
Health Resources and Services Administration (HRSA), and other Federal entities
providing preparedness assistance. This requirement remains in place in FY 2007 and
underscores the importance that DHS and HHS stress to grantees and subgrantees in
taking a holistic approach to implementing their strategic preparedness goals and
objectives by considering all available support and assistance programs, regardless of
the source. States are still encouraged to broaden membership of the Senior Advisory
Committee to include membership from additional disciplines, associations, and
regional working groups, as well as the private sector and nongovernmental
organizations, as appropriate.

C.3. Leveraging Multiple Funding Sources

G&T expects grantees and subgrantees to take a holistic approach to implementing
their strategic preparedness goals and objectives by considering all available support
and assistance programs, regardless of the source. Emergency management at all
levels should leverage all available funding and resources from multiple local, State,
and Federal sources wherever possible to support State and local preparedness

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[3] The membership of the senior advisory committee must, at a minimum, include the following State officials
directly responsible for the administration of G&T grants and CDC and HRSA cooperative agreements: State
Administrative Agency (SAA), HRSA Program Director, HRSA Bioterrorism Hospital Coordinator, and CDC
Program Director. In addition, program representatives from the following entities should be members on the
committee: State Emergency Management Agency Director (if this role is not also the SAA), State Homeland
Security Advisor (if this role is not also the SAA), State Public Health Officer, State Public Safety Officer (and SAA
for Justice Assistance Grants, if different), State Court Official, State EMS Director, State Trauma Systems
Manager, State Citizen Corps POC, U.S. Coast Guard Area Command or Captain of the Port, senior members of the
Regional Transit Security Working Group, senior security officials from major transportation systems, and the
Adjutant General.

strategy implementation. 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 Preparedness Directorate; and, other relevant organizations
- Other State preparedness programs and resources
- Local and tribal preparedness programs and resources
- Private sector, including nongovernmental, preparedness programs and resources, as permitted by applicable laws and regulations.

Table 1 outlines other available FY 2007 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. It is recognized that funds allocated as part of the Homeland Security Grant Program, which are focused on and allocated according to terrorism risk, will provide in many cases a dual-use benefit across all hazards. EMPG fund utilization, along with other homeland security grant programs under the Governor's direction, provide significant Federal resources supported by local and State funding to support the development and deployment of enhanced capabilities for prevention, protection, response and recovery, many of which are inherently all-hazard in nature.

Table 1. Other Available FY 2007 Preparedness Programs

FY 2007 Program	Program Overview
State Homeland Security Program (SHSP)	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.
Urban Areas Security Initiative (UASI)	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 FY 2007 SHSP and funding is expended based on the Urban Area Homeland Security Strategies**.
Law Enforcement Terrorism Prevention	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;

FY 2007 Program	Program Overview
Program (LETPP)	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.
Metropolitan Medical Response System (MMRS) Program	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.
Citizen Corps Program (CCP)	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.
Buffer Zone Protection Program (BZPP)	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.
Transit Security Grant Program (TSGP)	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.
Port Security Grant (PSG) Program	PSG funds owners and operators of ports and terminals, port authorities and State and local agencies that provide a layered approach, and U.S. inspected passenger vessels and ferries, 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.
Intercity Bus Security Grant Program (IBSGP)	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 Homeland Security Grant Program (HSGP).
Highway Watch Program	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.
Assistance to Firefighters Grant (AFG) Program	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.
Bioterrorism Hospital Preparedness Program, HRSA, HHS	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,

FY 2007 Program	Program Overview
	competency based training, and exercises.
Bioterrorism Training and Curriculum Development Program, HRSA, HHS	The Bioterrorism Training and Curriculum Development Program (BTCDP) provides support to health professional 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 professional schools.
Public Health Emergency Preparedness Cooperative Agreement, CDC, HHS	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.

D.   Allowable and Unallowable Costs Guidance

The National Preparedness Goal identifies six elements of capability that support the building and sustaining of capabilities, which are consistent with NIMS. These newly outlined elements of capability track closely with the five allowable cost categories traditionally used in G&T grant programs (planning, organization, equipment, training, and exercises, oftentimes referred to collectively as POETE). In addition to these programmatic allowable costs, EMPG also allows for personnel costs, as well as management and administrative (M&A) costs. Table 2 crosswalks the elements of capability from the Goal and the EMPG allowable cost categories in order to demonstrate the alignment between these categories.

Table 2 – POETE and the Elements of Capability

POETE Framework	Elements of Capability Outlined in the Goal	Element of Capability as Defined in the Goal
Planning	Planning	Collection and analysis of intelligence and information, and development of policies, plans, procedures, mutual aid agreements, strategies, and other publications that comply with relevant laws, regulations, and guidance necessary to perform assigned missions and tasks.
Organization	Organization and Leadership	Individual teams, an overall organizational structure, and leadership at each level in the structure that comply with relevant laws, regulations, and guidance necessary to perform assigned missions and tasks.
Equipment	Equipment and Systems	Major items of equipment, supplies, facilities, and systems that comply with relevant standards necessary to perform assigned missions and tasks.
Training	Training	Content and methods of delivery that comply with relevant training standards necessary to perform assigned missions and tasks

POETE Framework	Elements of Capability Outlined in the Goal	Element of Capability as Defined in the Goal
Exercises	Exercises, Evaluations, and Corrective Actions	Exercises, self assessments, peer assessments, outside review, compliance monitoring, and actual major events that provide opportunities to demonstrate, evaluate, and improve the combined capability and interoperability of the other elements to perform assigned missions and tasks to standards necessary to achieve successful outcomes.
	Personnel (Element added in the Goal)	Paid staff who meet required qualification and certification standards necessary to perform assigned missions and tasks.

D.1. 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 COOP / COG 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 and/or Urban Area 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 and other non-governmental organization resources and participation
- Conducting a hazard analysis and risk assessment
- Other EMPG-related planning activities

In support of efforts by State and local governments to improve their preparedness programs, program evaluations are now allowable planning costs. Program evaluations

provide valuable information regarding a program's outcomes, efficiency, and effectiveness. Beyond financial audits and program monitoring, evaluations can help managers track progress and demonstrate performance by quantitatively measuring the results of programs.

FY 2007 EMPG requires a comprehensive program evaluation of local and State activities, to be submitted to respective Governors between September 1, 2007 and October 1, 2007. States will work in consultation with their assigned G&T Preparedness Officer to develop program evaluation reporting requirements that align with existing State performance management guidelines and the FY 2007 EMPG Work Plan that provides a high-level description of the State's planned use for FY 2007 EMPG funds.

D.2. 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.

Personnel costs, including salary, overtime, compensatory time off, and associated fringe benefits, are allowable under FY 2007 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.

D.3. Equipment Costs Guidance

Allowable equipment categories for FY 2007 EMPG are listed on the web-based Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), which is sponsored by G&T and the National Memorial Institute for the Prevention of Terrorism (MIPT) at http://www.rkb.mipt.org.

The FY 2007 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 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 FY 2007 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.

PROGRAM GUIDANCE

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 G&T 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. 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.

D.4. 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 emergency management personnel through the establishment, support, conduct, and attendance of training. Types of training include, but are not limited to, the following:

- Developing/enhancing systems to monitor training programs
- Conducting all-hazards emergency management training, including NIMS FY 2007 training requirements
- Attending Emergency Management Institute (EMI) training or delivering EMI train-the-trainer courses, not limited to terrorism-related courses
- Other EMPG-related training activities

Allowable training-related costs include the following:

- **Funds used to develop, deliver, and evaluate training** – Includes costs related to administering the training; planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment.

- **Overtime and Backfill** – Overtime and backfill costs which are the direct result of attendance at G&T-sponsored and/or approved training courses and programs.
- **Travel** – Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants** – Full or part-time staff may be hired to support direct training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or awarding agency, whichever is applicable.
- **Certification/Recertification of Instructors** – Costs associated with the certification and re-certification of instructors. States are encouraged to follow the G&T Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses which involve training of trainers (TOT). This information is contained in a new information bulletin issued in October 2006.

D.5. 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. 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.

Types of exercises include, but are not limited to, 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 2007 exercise requirements
- Other EMPG-related exercise activities

Allowable exercise-related costs include:

- **Funds Used to Design, Develop, Conduct and Evaluate an Exercise** – Includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation.

- **Hiring of Full or Part-Time Staff or Contractors/Consultants** – Full or part-time staff may be hired to support direct exercise activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or the awarding agency, whichever is applicable. The services of contractors/consultants may also be procured to support the design, development, conduct and evaluation of exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.
- **Overtime and Backfill** – Overtime and backfill costs which are the direct result of time spent on the design, development and conduct of exercises are allowable expenses.
- **Travel** – Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise project(s).
- **Supplies** – Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment).
- **Implementation of HSEEP** – This refers to costs related to developing and maintaining a self-sustaining State Homeland Security Exercise and Evaluation Program which is modeled after the national HSEEP.
- **Other Items** – These costs include the rental of space/locations for planning and conducting an exercise, rental of equipment (e.g., portable toilets, tents), and the procurement of food, refreshments, gasoline, exercise signs, badges, and other nondurable goods.

Unauthorized exercise-related costs include:

- Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles) and emergency response apparatus (e.g., fire trucks, ambulances). The only vehicle cost that is reimbursable is fuel/gasoline or mileage.
- Equipment that is purchased for permanent installation and/or use, beyond the scope of exercise conduct (e.g., electronic messaging signs).
- Durable and non-durable goods purchased for installation and/or use beyond the scope of exercise conduct.

D.6. Management and Administrative Costs Guidance

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

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.

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 FY 2007 EMPG funds
  - To assist with design, requirements, and implementation of FY 2007 EMPG
- Hiring of full-time or part-time staff or contractors/consultants and expenses related to:
  - FY 2007 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/G&T data calls
- Travel expenses directly related to management and administration of EMPG grant funds
- Meeting-related expenses directly related to management and administration of EMPG grant funds
- Acquisition of authorized office equipment, including personal computers, laptop computers, printers, LCD projectors, and other equipment or software which are used primarily in support the implementation of EMPG-related activities
- 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. which are directly related to management and administration of FY 2007 EMPG grant funds
  - Leasing and/or renting of space for newly hired personnel to administer programs within FY 2007 EMPG

D.7. 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 G&T:
   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
   e. NEPA Compliance Checklist (see details below)
2. Written approval must be provided by G&T prior to the use of any EMPG funds for construction or renovation

National Environmental Policy Act (NEPA). NEPA requires G&T 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 G&T funding for construction projects must complete and submit a NEPA Compliance Checklist to their respective G&T 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 G&T funding or the need for G&T to perform an Environmental Assessment (EA) or draft an Environmental Impact Statement (EIS).

D.8. Unallowable Costs Guidance

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.

E.   Technology Requirements

E.1.   National Information Exchange Model

DHS, DOJ, and their associated domains released the National Information Exchange Model (NIEM 0.1) in October 2005. The NIEM 0.1 establishes a single standard Extensible Markup Language (XML) foundation for exchanging information between DHS, DOJ, and supporting domains, such as Justice, Emergency Management, and

Intelligence. To support homeland security, public safety, and justice information sharing, G&T requires all grantees to use the latest NIEM specifications and guidelines as follows regarding the use of XML for all EMPG awards:

- Use NIEM 1.0 or later for information sharing in production systems. The projected released date for NIEM 1.0 is November 2006.
- Until the release of NIEM 1.0, the latest NIEM specifications and guidance should be used only for the pilots and prototype systems.

Grantees shall make available without restriction all schemas (extensions, constraint, proxy) generated as a result of this grant, as specified in the guidelines. Further information about the required use of NIEM specifications and guidelines is available at http://www.niem.gov. If there is any question or comment about the use of NIEM specifications and guidelines, please submit it to http://www.niem.gov/contactus.php.

E.2. Geospatial Guidance

G&T encourages grantees to align geospatial activities with the guidance available on the G&T website at http://www.ojp.usdoj.gov/odp/grants_hsgp.htm.

F. General Legal Guidance

F.1. Freedom of Information Act (FOIA)

G&T 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 G&T 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.

F.2. Services to Limited English Proficient (LEP) Persons

Recipients of G&T 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.

F.3. 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. This Resource Center provides information to assist emergency managers and in planning and response efforts related to people with disabilities.

F.4. 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.

PROGRAM GUIDANCE

III.   Eligible Applicants and Funding Availability

A.   Eligible Applicants

The governor of each State and territory has designated an SAA to apply for and administer DHS funds. Accordingly, the relevant SAA is the only agency eligible to apply for FY 2007 EMPG funds and is responsible for passing through those funds to the State EMA within prescribed timelines.

B.   Funding

FY 2007 EMPG funds have been allocated consistent with previous fiscal years. Pursuant to the Compact of Free Association, funds are available for the Federated States of Micronesia and for the Republic of the Marshall Islands. Table 3 provides a breakdown by State of FY 2007 EMPG funding allocations.

Table 3. FY 2007 EMPG Funding Allocation

State/Territory	Allocation	State/Territory	Allocation
Alabama	$ 3,232,748	New Hampshire	$ 1,958,016
Alaska	$ 1,707,446	New Jersey	$ 4,861,666
Arizona	$ 3,617,596	New Mexico	$ 2,188,210
Arkansas	$ 2,527,601	New York	$ 9,055,930
California	$ 15,390,351	North Carolina	$ 4,754,351
Colorado	$ 3,240,575	North Dakota	$ 1,703,584
Connecticut	$ 2,825,536	Ohio	$ 5,985,358
Delaware	$ 1,772,335	Oklahoma	$ 2,838,591
District of Columbia	$ 1,678,349	Oregon	$ 2,849,618
Florida	$ 8,085,409	Pennsylvania	$ 6,347,983
Georgia	$ 4,849,567	Rhode Island	$ 1,876,560
Hawaii	$ 1,946,094	South Carolina	$ 3,082,186
Idaho	$ 1,984,209	South Dakota	$ 1,753,904
Illinois	$ 6,453,127	Tennessee	$ 3,752,899
Indiana	$ 3,896,491	Texas	$ 10,096,516
Iowa	$ 2,617,554	Utah	$ 2,371,272
Kansas	$ 2,529,855	Vermont	$ 1,696,587
Kentucky	$ 3,067,383	Virginia	$ 4,346,863
Louisiana	$ 3,231,206	Washington	$ 3,860,704
Maine	$ 1,965,737	West Virginia	$ 2,167,005
Maryland	$ 3,618,260	Wisconsin	$ 3,611,568
Massachusetts	$ 4,003,276	Wyoming	$ 1,649,858
Michigan	$ 5,441,179	Puerto Rico	$ 2,983,437
Minnesota	$ 3,444,260	Virgin Islands	$ 707,295
Mississippi	$ 2,591,753	American Samoa	$ 506,720

State/Territory	Allocation	State/Territory	Allocation
Missouri	$ 3,703,462	Guam	$ 658,720
Montana	$ 1,812,854	Northern Mariana Islands	$ 526,819
Nebraska	$ 2,138,249	Republic of the Marshall Islands	$ 55,886
Nevada	$ 2,314,546	Federated States of Micronesia	$ 55,886
		Total	**$194,000,000**

ELIGIBLE APPLICANTS AND FUNDING AVAILABILITY

IV. Program and Application Requirements

A. Period of Performance

The period of performance for FY 2007 EMPG is 24 months, from **October 1, 2006** through **September 30, 2008**. Although EMPG is an annual process, this period of performance will allow EMAs maximum flexibility to plan and coordinate the use of FY 2007 EMPG funds. Any unobligated funds will be deobligated by G&T at the end of this period. Extensions to the period of performance will be considered only through formal requests to G&T with specific and compelling justifications for an extension.

B. 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.

C. Application Process

DHS is participating in the e-Government initiative, one of 25 initiatives included in the President's Management Agenda. Grants.gov, part of this initiative, is a "storefront" that provides a unified process for all customers of Federal grants to find funding opportunities and apply for funding. This means that SAAs must apply for FY 2007 EMPG funding through the online Grants.gov system by the AOR (Authorized Organization Representative) to ensure a successful application. Please note that this process also involves an updated and current registration by the SAA and the SAA Business Point of Contact through CCR (Central Contractor Registry).

Eligible applicants must apply for FY 2007 EMPG funding through Grants.gov at http://www.grants.gov. **Completed applications must be submitted to Grants.gov no later than 11:59 p.m. Eastern Standard Time, December 29, 2006.** G&T will evaluate and act on applications within 30 days of the application deadline.

D. Required Application Submissions

All four of the following elements must be completed to ensure a successful EMPG application:

D.1. DUNS Number

The SAA must provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number with the FY 2007 EMPG application. This number is a required field within Grants.gov and for CCR Registration. 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.

D.2. Grants.gov online Application

The online application must be completed and submitted using Grants.gov after CCR registration is confirmed The online application includes the following required forms and submissions:

- ➢ Standard Form 424, Application for Federal Assistance
- ➢ Standard Form LLL, Disclosure of Lobbying Activities
- ➢ Standard Form 424B Assurances
- ➢ Certification Regarding Debarrment, Suspension, and Other Responsibility Matters
- ➢ Any additional required attachments
- ➢ Standard Form 424A, Budget Information

The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "*Emergency Management Performance Grants*." The CFDA number is **97.042**. When completing the online application, applicants should identify their submissions as new, non-construction applications. It is important to note that this is a procedural requirement within Grants.gov and does not prohibit the applicant from submitting construction projects. The project period will be for a period not to exceed **24 months**.

- ➢ **Non-Supplanting Certification:** This certification affirms that these grant funds will 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 any potential audits. 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.

- ➢ **Assurances:** Assurances forms (SF-424B and SF-424D) can be accessed at http://apply.grants.gov/agency/FormLinks?family=7. 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 will be agreeing 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 on-line application, commits the applicant to compliance with the certification requirements under 28 CFR part 67, *Government-wide Debarment and Suspension (Non-procurement);* 28 CFR part 69, *New Restrictions on Lobbying;* and 28 CFR 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.

D.3. Single Point of Contact (SPOC) Review (if applicable)

Executive Order 12372, located at 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.

D.4. EMPG Work Plan (Program Narrative and Budget)

The EMPG Work Plan will outline the State's emergency management sustainment and enhancement efforts, including projects, proposed for the FY 2007 EMPG period of performance. See *Appendix A: EMPG Work Plan Template* for additional information to complete the Work Plan.

PROGRAM AND APPLICATION REQUIREMENTS

V.   Assistance Resources and Support

To assist grantees with program activities, G&T has several support mechanisms available to grantees.

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 G&T 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: preparedness training, centralized scheduling capability, preparedness exercises, and technical assistance (TA).

> CSID can be contacted by telephone at 1-800-368-6498 or via email at 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

G&T'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, which may be located at http://www.dhs.gov/dhspublic/display?theme+18. OGO can be contacted by telephone at 1-866-9ASKOGO or by email at ask-OGO@dhs.gov.

Homeland Security Preparedness Technical Assistance Program

G&T's technical assistance program is a capabilities-based program, in coordination with DHS components, that seeks to build 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, including emergency management capabilities, within each State and local jurisdiction. The technical assistance services designed, developed, and delivered with DHS components 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. G&T will cover the cost of providing the technical expertise, travel, and related expenses. For additional information, please refer to G&T'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 major events. 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, including emergency management.

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 located at https://www.LLIS.gov.

> Additional information on each of these programs can be found on the G&T website located at: http://www.ojp.usdoj.gov/odp or by contacting the State's assigned G&T Preparedness Officer.

ASSISTANCE RESOURCES AND SUPPORT

VI. Award and Reporting Requirements

A. Grant Award and Obligation of Funds

Upon approval of the application, the grant will be awarded to the respective SAA. This date will be known as the "award date." The signed award document with special conditions must be returned to:

DOJ, Office of Justice Programs
Attn: Control Desk – G&T Award
810 7th Street, NW – 5th Floor
Washington, DC 20531.

Each State shall obligate *100%* of its total EMPG allocation 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 determined by the Governor.

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.

The State's obligation period must be met within **15 days** of the award date. An obligation is defined as a definite commitment which creates a legal liability for the payment of funds for goods and services ordered or received. Four requirements must be met to obligate grant funds:

- There must be some action to establish a firm commitment on the part of the awarding entity.
- The condition must be unconditional on the part of the awarding entity.
- There must be documentary evidence of the commitment.
- The award terms must be communicated to the official grantee

Within 15 days of the grant award, the SAA will submit a certification to G&T that funds have been passed through to the designated State-level EMA.

B. Drawdown and Expenditure of Funds

Following acceptance of the grant award and release of any special conditions withholding funds, the Grantee can drawdown and expend grant funds through the Phone Activated Paperless System (PAPRS). There is a limited pool of grantees that may also use the Automated Standard Application for Payments (ASAP).

In support of continuing efforts 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 was September 15, 2006. Payments requested after September 16, 2006, will be processed when the regular schedule resumed on October 1, 2006. A similar schedule will follow at the end of each month thereafter.

SAAs should request funds based upon immediate disbursement requirements. Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated. Recipients should time their drawdown requests to ensure that Federal cash on hand is the minimum needed for disbursements to be made immediately or within a few days. Grantees may elect to draw down funds up to 120 days prior to expenditure/disbursement, which echoes the recommendation of the Funding Task Force. G&T strongly encourages recipients to draw down funds as close to expenditure as possible to avoid accruing interest.

Funds received by grantees must be placed in an interest-bearing account and are subject to the rules outlined in the Uniform Rule 28 CFR 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 and the Uniform Rule 28 CFR 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_04/28cfrv2_04.html. These guidelines State that entities 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 for all Federal grants combined. Please consult the OGO *Financial Management Guide* or the applicable OMB Circular for additional guidance. 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 or transfers the funds to a subgrantee.

C.   Reporting Requirements

The following reports are required of all program participants:

1. Financial Status Reports (FSRs) – Standard Form 269a

Obligations and expenditures must be reported to G&T on a quarterly basis through the FSR, which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, FSR is due on April 30). Please note that this is a change from previous fiscal years. 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. ***Future award and fund draw downs will be withheld if these reports are delinquent.***

FSRs must now be filed online at https://grants.ojp.usdoj.gov. Forms and instructions can be found at http://www.ojp.usdoj.gov/forms.htm.

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.

For FY 2006 and FY 2007 awards, grant and subgrant recipients should refer to the OGO Financial Guide. All previous awards are still governed by the OJP Financial Guide, available at http://www.ojp.usdoj.gov/FinGuide. OGO can be contacted at 1-866-9ASKOGO or by email at ask-OGO@dhs.gov.

Required submission: FSR – Standard Form 269a (due quarterly).

2. **Categorical Assistance Progress Report (CAPR)/Biannual Strategy Implementation Reports (BSIR)**

Following award of grant, the State and subgrantees will be responsible for providing updated obligation and expenditure information on a regular basis. *The applicable SAAs are responsible for completing and submitting the CAPR/BSIR reports.* The BSIR submission will satisfy the narrative requirement in Box 12 of the biannual Categorical Assistance Progress Report (CAPR – OJP Form 4587/1). SAAs 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 30 with a reporting period of January 1 through June 30, and on January 30 with a reporting period of July 1 though December 31). Grantees will provide initial overall obligation and expenditure information with the CAPR/BSIR submission due January 30, 2007. Updated obligation and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. G&T will provide a web-enabled application for the BSIR submission to grantees and a copy of the CAPR (OJP Form 4587/1) in the initial award package. *Future awards and fund draw downs may be withheld if these reports are delinquent.*

CAPRs **must be filed online** at https://grants.ojp.usdoj.gov. Forms and instructions can be found at http://www.ojp.usdoj.gov/forms.htm.

Important Note: While budget detail worksheets do not need to be submitted with the application, SAAs and transit agencies must maintain complete and accurate accounting records, and use that information in preparation of the BSIR. In addition, these records must be available to DHS upon request.

> **Required Submission:** CAPR/BSIR (due biannually).

3. **Exercise Evaluation and Improvement**

Exercises implemented with grant funds should be risk- and performance-based and should evaluate performance of critical tasks (prevention, protection, response, and recovery) required to respond to the exercise scenario. Guidance on conducting exercise evaluations and implementing improvement is defined in the *Homeland Security Exercise and Evaluation Program (HSEEP) Volume II: Exercise Evaluation and Improvement* located at http://www.ojp.usdoj.gov/G&T/docs/HSEEPv2.pdf. Recipients must report on scheduled exercises and ensure that an After Action Report (AAR) and Improvement Plan (IP) are prepared for each exercise conducted with G&T support (grant funds or direct support) and submitted to G&T 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. G&T 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 the development of AARs and IPs is provided in Volume II of the HSEEP manuals.

Required submissions: AARs and IPs (as applicable).

4. 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/a133/a133.html. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine 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 FY 2007 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 subrecipient audit reports are received and for resolving any audit findings.

D.   Monitoring

Grant recipients will be monitored periodically by G&T program staff and OGO staff, in concert with the Federal Emergency Management Agency, both programmatically and financially, to ensure that the project goals, objectives, timelines, budgets and other related program criteria are being met. In addition, G&T Regional Preparedness Officers may review the EMPG Work Plan on a quarterly basis for results of expected outcomes of EMPG projects. Monitoring will be accomplished through a combination of office-based and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, and administrative issues relative to each program, and will identify areas where technical assistance and other support may be needed.

The recipient is responsible for monitoring award activities, to include sub-awards, to provide reasonable assurance that the Federal award is administered in compliance with 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 Closeout Process

Within 90 days after the end of the award period, SAAs must submit a final FSR, final CAPR, and final BSIR detailing all accomplishments throughout the project. Please note that this is a change from previous fiscal years. After these reports have been reviewed and approved by G&T, 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 deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR.

Required Submissions: 1) Final SF-269a (due 90 days from end of grant period) and 2) Final CAPR/BSIR (due 90 days from the end of the grant period).

Appendix A – EMPG Work Plans

The EMPG Work Plan should provide a high-level description of the State's planned use for FY 2007 EMPG funds, including sustaining or enhancing emergency management capabilities through personnel and activities. At a minimum, every Work Plan shall include a Narrative and Budget. In addition, specific EMPG projects should be outlined using the Project Outline template. Work plans should be prepared for "dual use" toward ensuring Federal grants management and State performance management activities.

Narrative

Please provide a brief description of current State emergency management priorities and initiatives, including those that will be addressed through FY 2007 EMPG. In addition, the narrative should address, if applicable, the following:

- Overview of the State's risk profile (natural, technological, man-made)
- State emergency management priorities and planning focus for FY 2007
- Areas of need identified through the EMAP process, Nationwide Plan Review, Tactical Interoperable Communications Plan, or other emergency management assessment process
- Estimated number of State and/or local emergency management personnel either fully or partially supported by FY 2007 EMPG funds
- Estimated State and/or local equipment acquisition
- Estimated type and number of State and/or local training sessions to be conducted or developed, including the estimated number of emergency responders to be trained in each training
- Estimated type and number of State and/or local exercises, including the number of emergency responders to participate in each exercise

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.

Budget

Please provide a high-level budget and description breakdown of projected expenditures with FY 2007 funds. In addition, please outline how the State intends to match Federal EMPG funds.

EMPG Project Outline

To facilitate performance measures and focus on outcomes, a Project Outline (see template on page A-3) should be completed for each project to be funded through FY 2007 EMPG, if applicable. For example, updating an EOC, implementing NIMS training requirements, or developing an interoperable communications network are projects. Although a Project

Outline can be completed for describing staffing for day-to-day operations, it is not necessary.

For each project, please complete a project outline as shown below and addressing the following areas:

- **EMF#:** Please identify how the project relates to the Emergency Management Functions identified through the EMAP Standard (e.g., 4.1 Resource Management, 7.1 Communications and Warning, etc.)

- **EMPG Objective:** Please briefly explain the major objective of the project.

- **Preparedness Strategy Objective:** Please identify the objective in the State Homeland Security Strategy and/or the State's all-hazard strategic plan that this project will support.

- **National Priority/Target Capability:** Please identify the National Priority this project supports (if applicable) and the Target Capability (as published September 2006) this project supports (if applicable).

- **Area of Need Addressed:** Please identify the emergency management shortfall that this project will address and whether this shortfall was identified through the EMAP process, Nationwide Plan Review, or other relevant emergency management assessment; or, whether this project addresses the NRP or NIMS implementation.

- **Performance Measure and Basis of Evaluation:** Please indicate the performance measure(s) that will be used to evaluate this project and the basis for developing the measure(s).

- **Challenges/Risks:** Please identify any challenges to implementing this project.

- **Budget:** This section should outline: (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).

- **Quarterly Activity:** For each quarter, please briefly identify the expected outcome. *Note: The results section should not be filled out for the EMPG application, but instead should be set aside for recording progress and monitoring purposes during the period of performance.*

FY 2007 EMPG Project #[x]

EMF #:	
EMPG Objective:	
Preparedness Strategy Objective:	
National Priority/Target Capability:	
Area of Need Addressed:	
Performance Measure(s) and Basis of Evaluation:	
Challenges/risks:	
Budget	
1st Quarter Activity	**Expected Outcome:**
	Results:
2nd Quarter Activity	**Expected Outcome:**
	Results:
3rd Quarter Activity	**Expected Outcome:**
	Results:
4th Quarter Activity	**Expected Outcome:**
	Results:

APPENDIX A – EMPG WORK PLAN TEMPLATE

Appendix B – Allowable Cost Matrix

Allowable Program Activities Current as of FY 2007 Programs* — See the respective program guidance for additional details and/or requirements — *As of Publication	DHS HSGP							DHS IPP							HHS		
	SHSP	UASI	LETPP	MMRS	CCP	Firefighters	EMPG	BZPP	TSGP	PSGP	IBSGP	IPRSGP	SAVER	CEDAP	NBHPP	BTCDP	PHEPCA
Allowable Planning Costs																	
Public education & outreach	Y	Y	Y	Y	Y	Y	Y		Y			Y					Y
Develop and implement homeland security support programs and adopt ongoing DHS National Initiatives	Y	Y	Y	Y	Y		Y	Y	Y			Y					Y
Develop and enhance plans and protocols	Y	Y	Y	Y	Y		Y		Y	Y	Y	Y			Y		Y
Develop or conduct assessments	Y	Y	Y	Y	Y	Y	Y		Y	Y		Y				Y	Y
Establish, enhance, or evaluate Citizen Corps related volunteer programs	Y	Y	Y	Y	Y		Y		Y	Y	Y	Y					Y
Hiring of full- or part-time staff or contract/consultants to assist with planning activities (not for the purpose of hiring public safety personnel fulfilling traditional public safety duties)	Y	Y	Y	Y	Y		Y	Y	Y	Y		Y			Y	Y	Y
Conferences to facilitate planning activities	Y	Y	Y	Y	Y		Y	Y	Y		Y	Y					Y
Materials required to conduct planning activities	Y	Y	Y	Y	Y		Y	Y	Y			Y					Y
Travel/per diem related to planning activities	Y	Y	Y	Y	Y		Y	Y	Y		Y	Y			Y	Y	Y
Overtime and backfill costs (IAW operational Cost Guidance)	Y	Y	Y	Y	Y		Y	Y	Y		Y	Y					
Other project areas with prior approval from G&T	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y					

Allowable Program Activities Current as of FY 2007* Programs (See the respective program guidance for additional details and/or requirements) (*As of publication)	DHS														HHS		
	HSGP					Firefighters	EMPG	IPP					SAVER	CEDAP	NBHPP	BTCDP	PHEPCA
	SHSP	UASI	LETPP	MMRS	CCP			BZPP	Transit	Port	Bus	Rail					
Allowable Organizational Activities																	
Overtime for information, investigative, and intelligence sharing activities (up to 25 percent of the allocation)		Y	Y														
Reimbursement for select operational expenses associated with increased security measures at critical infrastructure sites incurred during periods of DHS-declared Code Orange		Y	Y						Y								
Hiring of full- or part-time staff or contractors for emergency management activities					Y	Y	Y										
Hiring of contractors/consultants for participation in information/intelligence analysis and sharing groups or fusion center activities (limited to 25 percent of the allocation)		Y	Y														
Allowable Equipment Categories																	
Personal Protective Equipment	Y	Y	Y	Y		Y			Y			Y	Y	Y	Y		Y
Explosive Device Mitigation and Remediation Equipment	Y	Y	Y			Y		Y	Y	Y	Y	Y	Y				
CBRNE Operational Search and Rescue Equipment	Y	Y	Y**	Y		Y		Y*	Y	Y	Y	Y	Y	Y			
Information Technology	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		Y
Cyber Security Enhancement Equipment	Y	Y	Y	Y	Y		Y	Y	Y	Y	Y	Y	Y				
Interoperable Communications Equipment	Y	Y	Y	Y		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y		Y
Detection Equipment	Y	Y		Y		Y	Y	Y	Y	Y	Y	Y	Y	Y			Y
Decontamination Equipment	Y	Y		Y		Y			Y		Y	Y			Y		Y
Medical Supplies and Limited Pharmaceuticals	Y	Y		Y	Y	Y	Y		Y		Y	Y			Y		
Power Equipment	Y	Y	Y	Y	Y			Y			Y	Y					
CBRNE Reference Materials	Y	Y	Y	Y	Y	Y	Y		Y		Y	Y	Y			Y	Y
CBRNE Incident Response Vehicles	Y	Y	Y	Y		Y	Y		Y		Y	Y					

APPENDIX B – ALLOWABLE COST MATRIX

Allowable Program Activities Current as of FY 2007 Programs* See the respective program guidance for additional details and/or requirements *As of publication	DHS														HHS		
	HSGP							IPP									
	SHSP	UASI	LETPP	MMRS	CCP	Firefighters	EMPG	BZPP	Transit	Port	Bus	Rail	SAVER	CEDAP	NBHPP	BTCDP	PHEPCA
Terrorism Incident Prevention Equipment	Y	Y	Y			Y		Y	Y	Y	Y	Y					
Physical Security Enhancement Equipment	Y	Y	Y				Y	Y	Y	Y	Y	Y		Y	Y		
Inspection and Screening Systems	Y	Y	Y	Y		Y		Y	Y	Y	Y						
Agriculture Terrorism Prevention, Response, and Mitigation Equipment	Y	Y		Y													
CBRNE Response Watercraft	Y	Y	Y						Y		Y	Y					
CBRNE Aviation Equipment	Y	Y															
CBRNE Logistical Support Equipment	Y	Y	Y	Y		Y	Y		Y		Y	Y					
Intervention Equipment	Y	Y	Y						Y		Y	Y					
Other Authorized Equipment	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y				
Allowable Training Costs																	
Overtime and backfill for emergency preparedness and response personnel attending G&T-sponsored and approved training classes	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y					
Overtime and backfill expenses for part-time and volunteer emergency response personnel participating in G&T training	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y					
Training workshops and conferences	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y			Y	Y	Y
Full- or part-time staff or contractors/consultants	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y			Y	Y	Y
Travel	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y			Y	Y	Y
Supplies	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y				Y	Y
Other items	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y					
Allowable Exercise Related Costs																	
Exercise planning workshop	Y	Y	Y	Y	Y		Y		Y	Y	Y	Y					Y
Full- or part-time staff or contractors/consultants	Y	Y	Y	Y	Y		Y		Y	Y	Y	Y			Y		Y
Overtime and backfill costs, including expenses for part-time and volunteer emergency response personnel participating in G&T exercises	Y	Y	Y	Y	Y		Y		Y	Y	Y	Y					
Travel	Y	Y	Y	Y	Y		Y		Y	Y	Y	Y					Y
Supplies	Y	Y	Y	Y	Y		Y		Y	Y	Y	Y					Y
Other items	Y	Y	Y	Y	Y		Y		Y	Y	Y	Y					

APPENDIX B – ALLOWABLE COST MATRIX

Allowable Program Activities Current as of FY 2007 Programs* See the respective program guidance for additional details and/or requirements *As of publication	DHS														HHS		
	HSGP							IPP									
	SHSP	UASI	LETPP	MMRS	CCP	Firefighters	EMPG	BZPP	Transit	Port	Bus	Rail	SAVER	CEDAP	NBHPP	BTCDP	PHEPCA
Allowable Management & Administrative Costs																	
Hiring of full- or part-time staff or contractors/consultants to assist with the management of the respective grant program, application requirements, compliance with reporting and data collection requirements	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y			Y		Y
Development of operating plans for information collection and processing necessary to respond to G&T Data calls	Y	Y	Y	Y	Y		Y	Y	Y	Y	Y	Y					
Overtime and backfill costs	Y	Y	Y	Y	Y		Y								Y		Y
Travel	Y	Y	Y	Y	Y		Y	Y	Y	Y	Y	Y			Y		Y
Meeting related expenses	Y	Y	Y	Y	Y		Y	Y	Y	Y	Y	Y			Y		Y
Authorized office equipment	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y			Y		
Recurring expenses such as those associated with cell phones and faxes during the period of performance of the grant program	Y	Y	Y	Y	Y	Y	Y	Y							Y		Y
Leasing or renting of space for newly hired personnel during the period of performance of the grant program	Y	Y	Y	Y	Y	Y	Y	Y									

*Only select sub-categories within AEL Category 3 are eligible for FY 2006 BZPP funding. These sections include: 3.1.6, 3.2.2, 3.2.3, and 3.2.4.
** Not eligible under FY 2005 LETPP

APPENDIX B – ALLOWABLE COST MATRIX

Appendix C – Historical Allowable Data

The following tables show how allowable costs have changed since FY 2003 for the various G&T grant programs under the categories of Planning, Equipment (AEL Categories), Training, Exercises, and Management and Administration.

Historical Planning Categories

Planning Costs	FY 2003				FY 2004				FY 2005						FY 2006				
	SHSGP	SHSGP II	UASI	UASI II	SHSP	LETPP	CCP	UASI	SHSP	UASI	LETPP	CCP	EMPG	MMRS	SHSP	UASI	LETPP	CCP	MMRS
Implementing and managing programs for equipment acquisition, training and exercises	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Develop and enhance plans and protocols	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Develop or conduct assessments	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Establish and/or enhance Citizen Corps Councils to include planning and evaluation	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Develop and implement homeland security support programs and adopt ongoing DHS national initiatives	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Materials and Meeting-related Expenses	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Hiring of full or part-time staff or contractors/consultants to assist with any related planning activities (not for the purpose of hiring public safety personnel)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Historical Equipment Costs

Authorized Equipment List Categories	FY 2003				FY 2004				FY 2005						FY 2006				
	FY03 SHSGP	FY03 SHSGP II	FY03 UASI	FY03 UASI II	SHSP	LETPP	CCP	FY04 UASI	SHSP	UASI	LETPP	CCP	EMPG	MMRS	SHSP	UASI	LETPP	CCP	MMRS
1 Personal Protective Equipment	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y			Y	Y	Y	Y		Y
2 Explosive Device Mitigation and Remediation Equipment	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y				Y	Y	Y		
3 CBRNE Operational and Search & Rescue Equipment	Y	Y	Y	Y	Y			Y	Y	Y				Y	Y	Y	Y		Y
4 Information Technology									Y	Y	Y		Y	Y	Y	Y	Y	Y	Y
5 Cyber Security Enhancement Equipment					Y	Y		Y	Y	Y	Y				Y	Y	Y	Y	Y

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Authorized Equipment List Categories		FY03 SHSGP	FY03 SHSGP II	FY03 UASI	FY03 UASI II	SHSP	LETPP	CCP	FY04 UASI	SHSP	UASI	LETPP	CCP	EMPG	MMRS	SHSP	UASI	LETPP	CCP	MMRS
		FY 2003				**FY 2004**				**FY 2005**						**FY 2006**				
6	Interoperable Communications Equipment	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y			Y	Y	Y	Y		Y
7	Detection Equipment	Y	Y	Y	Y	Y			Y	Y	Y				Y	Y	Y			Y
8	Decontamination Equipment	Y	Y	Y	Y	Y			Y	Y	Y				Y	Y	Y			Y
9	Medical Supplies and Limited Types of Pharmaceuticals	Y	Y	Y	Y	Y			Y	Y	Y				Y	Y	Y		Y	Y
10	Power Equipment									Y	Y	Y			Y	Y	Y	Y	Y	Y
11	CBRNE Reference Materials	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
12	CBRNE Incident Response Vehicles	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y			Y	Y	Y	Y		Y
13	Terrorism Incident Prevention Equipment	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y				Y	Y	Y		
14	Physical Security Enhancement Equipment	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y				Y	Y	Y		
15	Inspection and Screening Systems									Y	Y	Y				Y	Y	Y		Y
16	Agricultural Terrorism Prevention, Response and Mitigation Equipment					Y			Y	Y	Y					Y	Y			Y
17	CBRNE Prevention and Response Watercraft					Y	Y		Y	Y	Y	Y	Y			Y	Y	Y		
18	CBRNE Aviation Equipment					Y			Y	Y	Y	Y				Y	Y			
19	CBRNE Logistical Support Equipment	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y			Y	Y	Y	Y		Y
20	Intervention Equipment					Y	Y		Y	Y	Y	Y				Y	Y	Y		
21	Other Authorized Equipment					Y	Y		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Historical Training Costs

Training Costs	FY03 SHSGP	FY03 SHSGP II	FY03 UASI	FY03 UASI II	SHSP	LETPP	CCP	FY04 UASI	SHSP	UASI	LETPP	CCP	EMPG	MMRS	SHSP	UASI	LETPP	CCP	MMRS
	FY 2003				**FY 2004**				**FY 2005**						**FY 2006**				
Establishment of CBRNE training capacities	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y		Y	Y					
Training workshops and conferences					Y	Y		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Overtime and backfill funding for emergency preparedness and response personnel attending G&T-sponsored and approved training classes		Y O/T only	Y	Y	Y	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y	Y	Y	Y
Full or part-time staff or contractors/consultants					Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Creation and maintenance of student databases							Y												
Travel			Y	Y	Y	Y		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Supplies					Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

APPENDIX C – HISTORICAL ALLOWABLE DATA

Historical Exercise Costs

Exercise Costs	FY 2003				FY 2004				FY 2005						FY 2006				
	FY03 SHSGP	FY03 SHSGP II	FY03 UASI	FY03 UASI II	SHSP	LETPP	CCP	FY04 UASI	SHSP	UASI	LETPP	CCP	EMPG	MMRS	SHSP	UASI	LETPP	CCP	MMRS
Design, development, conduct and evaluation of exercises	Y	Y	Y	Y	Y	Y	Y for citizens	Y	Y	Y	Y	Y for citizens	Y	Y					
Expenses related to Exercise Planning Workshops	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Costs Related to the Implementation of the HSEEP	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y	Y	Y	Y					
Hiring of full or part-time staff or contractors/consultants	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Overtime	Y	Y	Y	Y	Y*	Y*	Y*	Y*	Y*	Y*	Y*	Y*	Y*	Y*	Y*	Y*	Y*	Y*	Y*
Travel	Y	Y	Y	Y	Y	Y		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Supplies	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Historical Management & Administrative Costs

Management & Administrative Costs	FY 2003				FY 2004				FY 2005						FY 2006				
	FY03 SHSGP	FY03 SHSGP II	FY03 UASI	FY03 UASI II	SHSP	LETPP	CCP	FY04 UASI	SHSP	UASI	LETPP	CCP	EMPG	MMRS	SHSP	UASI	LETPP	CCP	MMRS
Conduct training sessions ensure accurate completion of the needs assessment	Y	Y																	
Updating and refining Statewide Homeland Security Strategic plans	Y	Y																	
Conducting local or regional strategy implementation meetings	Y	Y	Y	Y															
Meeting-related expenses	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Development of operating plans for information collection and processing necessary to respond to G&T data calls									Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Implementing and managing programs for equipment acquisition, training and exercise	Y	Y																	

Management & Administrative Costs	FY 2003				FY 2004				FY 2005						FY 2006				
	FY03 SHSGP	FY03 SHSGP II	FY03 UASI	FY03 UASI II	SHSP	LETPP	CCP	FY04 UASI	SHSP	UASI	LETPP	CCP	EMPG	MMRS	SHSP	UASI	LETPP	CCP	MMRS
Hiring part-time staff or contractors/consultants to assist with management, implementation and administration	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Overtime and backfill									Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Travel	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Leasing and/or renting of office space for newly hired personnel					Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Recurring fees/charges associated with certain equipment, such as cell phones, faxes, etc. (allowable only within the period of performance of the grant program)					Y	Y	Y		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Acquisition of authorized office equipment (includes personal computers, laptops, printers, LCD projectors and other equipment or software which may be required to support implementation of the State strategy)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
The percentage of the program that may be used for M&A	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	5%	5%	5%	5%	5%
Percentage of grant program that may be subawarded from the State for local M&A purposes									3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%
Pass-through Requirements	>= 80%	>= 80%	>= 80%	>= 80%	>= 80%	>= 80%	>= 80%	>= 80%	>= 80%	>= 80%	>= 80%	No Min	100%	>= 80%	>= 80%	>= 80%	>= 80%	No Min	>= 80%

Appendix D - Grants.gov Quick Start Instructions

G&T is participating in the e-Government initiative, one of 25 initiatives included in the President's Management Agenda. Grants.gov, part of this initiative, is a "storefront" that provides a unified process for all customers of Federal grants to find funding opportunities and apply for funding. This fiscal year, G&T is requiring that all discretionary, competitive grant programs be administered through Grants.gov. Application attachments submitted via Grants.gov must be in one of the following formats: Microsoft Word (*.doc), PDF (*.pdf), or text (*.txt).

Use the Catalog of Federal Domestic Assistance (CFDA) number listed in the relevant program guidance section of this document in Grants.gov.

☐ **Step 1: Registering**

Note: Registering with Grants.gov is a one-time process; however, if you are a first time registrant, **it could take 3-5 business days to have your registration validated, confirmed, and receive your user name and password**. It is highly recommended you start the registration process as early as possible to prevent delays in submitting your application package to our agency by the deadline specified. While your registration is pending, you may continue with steps 2, 3, and 4 of these instructions. Registration must be complete for you to be able to submit (step 5) and track (step 6) an application.

e-Business Point of Contact
Grants.gov requires an organization to first be registered in the Central Contract Registry (CCR) before beginning the Grants.gov registration process. If you plan to authorize representatives of your organization to submit grant applications through Grants.gov, proceed with the following steps. If you plan to submit a grant application yourself and sign grant applications and provide the required certifications and/or assurances necessary to fulfill the requirements of the application process, proceed to DUNS Number and then skip to the Authorized Organization Representative and Individuals section.
Go to www.grants.gov, and click on the "Get Started" tab at the top of the screen.

➢ Click the "e-Business Point of Contact (POC)" option and click the "GO" button on the bottom right of the screen.

    If you have already registered with Grants.gov, you may log in and update your profile from this screen.

➢ To begin the registration process, click the "Register your Organization [Required]" or "Complete Registration Process [Required]" links. You may print a registration checklist by accessing www.grants.gov/assets/OrganizationRegCheck.pdf.

DUNS Number

➢ You must first request a Data Universal Numbering System (DUNS) number. Click "Step 1. Request a DUNS Number." If you are applying as an individual, please skip to "Authorized Organization Representative and Individuals." If you are applying on behalf of an organization that already has a DUNS number, please proceed to "Step 2. Register with Central Contractor Registry (CCR)." You may obtain a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1–866–705–5711.

Central Contractor Registry (CCR)
Note: Registering with the CCR, updating or changing your profile could take up to three to five business days to be confirmed and validated. This delay could prevent your application from being submitted by the deadline specified, so you should register or make changes to your profile as early in the process as possible.

Once you have a DUNS number, click on "Step 2. Register with Central Contractor Registry (CCR)." Here you are required to designate an individual as a point of contact. This point of contact is the sole authority for the organization and has the capability of issuing or revoking another individual's authority to submit grant applications through Grants.gov.

A registration worksheet is provided to assist in the CCR registration process at http://www.ccr.gov. It is recommended you review the "Tips for registering with the CCR" at the bottom of this template.

➢ Go to http://www.ccr.gov or click on the CCR icon in the middle of the screen to begin the registration process. To see if your organization is already registered, click "Search CCR" at the top left side of the screen. Search entries must be exact to accurately search the database. If your organization is already registered, you can scroll down and see who the e-Business POC is for your agency. If your organization is not already registered, return to the CCR home page and click "Start New Registration" at the top left of the screen.

➢ If you have problems or questions about the CCR registration process, please contact the CCR Assistance Center at 1–888–227–2423.

➢ Once your registration is complete, you will receive an e-mail with a Trading Partner Identification Number (TPIN) and Marketing Partner Identification Number (MPIN) number. You will need the MPIN number to register with Grants.gov. If your organization is already registered with the CCR, you will need to obtain the MPIN number from your e-Business POC.

Authorize your Organization Representative
➢ Click "Step 3. Authorize your Organization Representative." Follow steps 1-4. You will need your DUNS + 4 digit number and the MPIN number CCR e-mailed to you.

Log in as e-Business Point of Contact

➢ You may now go to "Step 4. Log in as e-Business Point of Contact." Here you may authorize or revoke the authority of the Authorized Organization Representative (AOR).

➢ Once you are logged in, go to Step 2. *Downloading the Application Viewer*, below.

Authorized Organization Representative and Individuals
If you plan to submit a grant application as an individual or an Authorized Organization Representative, with authority to sign grant applications and the required certifications and/or assurances necessary to fulfill the requirements of the application process, proceed with the following steps.

➢ Go to www.grants.gov and click on the "Get Started" tab at the top of the screen.

➢ Click the "Authorized Organization Representative (AOR)" option and click the "GO" button to the bottom right of the screen. If you are applying as an individual, click the "Individuals" option and click the "GO" button to the bottom right of the screen.

➢ If you have previously registered as an AOR, you may start searching for this grant opportunity from this page. Otherwise, you must complete the first-time registration by clicking "Complete First-Time Registration [Required]." You also may click on "Review Registration Checklist" and print a checklist for the following steps (see www.grants.gov/assets/AORRegCheck.pdf).

➢ Individuals may click the "registration checklist" for help in walking through the registration process.

Credential Provider:
Once you have entered the registration process, you must register with the credential provider, to safeguard the security of your electronic information. You must have your agency's or individual DUNS + 4 digit number to complete this process. Now, click on "Step 1. Register with a Credential Provider." Enter your DUNS number and click "Register." Once you have entered the required information, click the "Submit" button.

➢ If you should need help with this process, please contact the Credential Provider Customer Service at 1–800–386–6820.

➢ It can take up to 24 hours for your credential provider information to synchronize with Grants.gov. Attempting to register with Grants.gov before the synchronization is complete may be unsuccessful.

Grants.gov:

➢ After completing the credential provider steps above, click "Step 2. Register with Grants.gov." Enter the same user name and password used when registering with the credential provider. You will then be asked to provide identifying information and your organization's DUNS number. After you have completed the registration process, Grants.gov will notify the <u>e-Business POC</u> for assignment of user privileges.

➢ Complete the "Authorized Organization Representative User Profile" screen and click "Submit."

Note: Individuals do not need to continue to the "Organizational Approval" step below.

Organization Approval:

➢ Prior to submitting a grant application package, you must receive approval to submit on behalf of your organization. This requirement prevents individuals from submitting grant application packages without permission. A notice is automatically sent to your organization's e-Business POC. Then, your e-Business POC approves your request to become an AOR. You may go to http://www.ccr.gov to search for your organization and retrieve your e-Business POC contact information.

➢ Once organization approval is complete, you will be able to submit an application and track its status.

☐ **Step 2: Downloading the Application Viewer**

Note: You may download the PureEdge Viewer while your registration is in process. You also may download and start completing the application forms in steps 3 and 4 below. This application viewer opens the application package needed to fill out the required forms. The download process can be lengthy if you are accessing the Internet using a dial-up connection.

➢ From the Grants.gov home page, select the "Apply for Grants" tab at the top of the screen.

➢ Under "Apply Step 1: Download a Grant Application Package and Applications Instructions," click the link for the PureEdge Viewer (http://www.grants.gov/DownloadViewer). This window includes information about computer system requirements and instructions for downloading and installation.

If you are a Macintosh user, please read the PureEdge Support for Macintosh white paper available at

www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge
.pdf.

➢ Scroll down and click on the link to download the PureEdge Viewer
(www.grants.gov/PEViewer/ICSViewer602_grants.exe).

➢ You will be prompted to save the application. Click the "Save" button and the
"Save As" window opens. Select the location where you would like to save
PureEdge Viewer and click the "Save" button.

➢ A window appears to show the progress of the download. When the
downloading is complete, click to close the dialog box.

➢ To install the PureEdge Viewer, locate the file on your computer and click to
open it. When you are prompted to run the file, click "RUN." Click "Yes" to the
prompt to continue with the installation. The ICS InstallShield Wizard extracts the
necessary files and takes you to the "Welcome" page.

➢ Click "Next" to continue.

➢ Read the license agreement and click "Yes" to accept the agreement and
continue the installation process. This takes you to the "Customer Information"
screen.

➢ Enter a User Name and a Company Name in the designated fields and click
"Next."

➢ The "Choose Destination Location" window prompts you to select the folder in
which PureEdge Viewer will be installed. To save the program in the default
folder, click "Next." To select a different folder, click "Browse." Select the folder in
which you would like to save the program, click on "OK," then click "Next."

➢ The next window prompts you to select a program folder. To save program icons
in the default folder, click "Next." To select a different program folder, type a new
folder name or select one from the list of existing folders, then click "Next."
Installation will begin.

➢ When installation is complete, the "InstallShield Wizard Complete" screen will
appear. Click "Finish." This will launch the "ICS Viewer Help Information"
window. Review the information and close the window.

❑ **Step 3: Downloading an Application Package**

➢ Once you have downloaded the PureEdge Viewer, you may download and view
this application package and solicitation instructions.

➢ From the Grants.gov home page, select the "Apply for Grants" tab at the top of the screen.

➢ Click "Apply Step 1: Download a Grant Application Package and Application Instructions."

➢ Enter the CFDA number for this announcement, **97.042**. Then click "Download Package." This will take you to the "Selected Grants Application for Download" results page.

➢ To download an application package and its instructions, click the corresponding download link below the "Instructions and Application" column.

➢ Once you select a grant application, you will be taken to a "Download Opportunity Instructions and Application" screen to confirm that you are downloading the correct application. If you would like to be notified of any changes to this funding opportunity, enter your e-mail address in the corresponding field, then click the "Submit" button.

➢ After verifying that you have downloaded the correct opportunity information, click the "Download Application Instructions" button. This will open a PDF of this grant solicitation. You may print the solicitation or save it to your computer by clicking either the print icon at the top tool bar or the "File" button on the top tool bar. If you choose to save the file, click on "Save As" and save to the location of your choice.

➢ Click the "Back" Navigation button to return to the "Download Opportunity Instructions and Application" page. Click the "Download Application Package" button. The application package will open in the PureEdge Viewer.

➢ Click the "Save" button to save the package on your computer. Because the form is not yet complete, you will see a prompt that one or more fields may be invalid. You will complete these fields in step 4, but for now, select "Yes" to continue. After you click "Yes," the "Save Form" window will open.

➢ Save the application package to your desktop until after submission. Select a name and enter it in the "Application Filing Name" field. Once you have submitted the application through Grants.gov, you may then move your completed application package to the file location of your choice.

➢ Click the "Save" button. If you choose, you may now close your Internet browser and complete your application package offline by double clicking the icon on your desktop. You do not have to be connected to the Internet to complete the application package in step 4 below.

☐ **Step 4: Completing the Application Package**

Note: This application can be completed entirely offline; however, you will need to log in to Grants.gov to submit the application in step 5.

➢ Locate the application package you saved on your computer. When you open the package, it will be in PureEdge Viewer. You may save your application at any time by clicking on the "Save" button at the top of the screen.

➢ Enter a name for your application package in the "Application Filing Name" field. This can be a name of your choice.

➢ Open and complete all the mandatory and optional forms or documents. To complete a form, click to select the form, and then click the "Open" button. When you open a required form, the mandatory fields will be highlighted in yellow. If you enter incomplete information in a mandatory field, you will receive an error message or the field will turn red, indicating a change needs to be made.

   Mandatory forms include the: (1) Application for Federal Assistance (SF-424); (2) Assurances for Non-Construction Programs (SF-424B); and, (3) Disclosure of Lobbying Activities (SF-LLL). These forms can also be viewed at http://apply.grants.gov/agency/FormLinks?family=7. Other Mandatory forms are identified in Section IV.

➢ When you have completed a form or document, click the "Close Form" button at the top of the page. Your information will automatically be saved.

➢ Next, click to select the document in the left box entitled "Mandatory Documents." Click the "=>" button to move the form or document to the "Mandatory Completed Documents for Submission" box to the right.

➢ Some mandatory documents will require you to upload files from your computer. To attach a document, select the corresponding form and click "Open." Click the "Add Mandatory Attachment" button to the left. The "Attach File" box will open. Browse your computer to find where your file is located and click "Open." The name of that file will appear in the yellow field. Once this is complete, if you would like to attach additional files, click on the "Add Optional Attachment" button below the "Add Mandatory Attachment" button.

➢ An "Attachments" window will open. Click the "Attach" button. Locate the file on your computer that you would like to attach and click the "Open" button. You will return to the "Attach" window. Continue this process until you have attached all the necessary documents. You may attach as many documents as necessary.

➢ Once you have finished, click the "Done" button. The box next to the "Attach at Least One Optional Other Attachment" will now appear as checked.

Note: the name of these buttons will vary depending on the name of the form you have opened at that time; i.e., Budget Narrative, Other Attachment, and Project Narrative File.

➢ To exit a form, click the "Close" button. Your information will automatically be saved.

☐ **Step 5: Submitting the Application**

Note: Once you have completed all the yellow fields on all the forms and saved the application on your desktop, check the application package for errors. This can be done any time throughout step 4 above and as often as you like.

➢ When you are ready to submit your final application package, the "Submit" button at the top of your screen will be enabled. This button will not be activated unless all mandatory data fields have been completed. When you are ready to submit your application, click on "Submit." This will take you to a "Summary" screen.

➢ If your "Submit" button is not activated, then click the "Check Package for Errors" button at the top of the "Grant Application Package" screen. PureEdge Viewer will start with the first form and scan all the yellow fields to make sure they are complete. The program will prompt you to fix one error at a time as it goes through the scan. Once there are no more errors, the system will allow you to submit your application to Grants.gov.

➢ Review the application summary. If you wish to make changes at this time, click "Exit Application" to return to the application package, where you can make changes to the forms. To submit the application, click the "Sign and Submit Application" button.

➢ This will take you to a "Login" screen where you will need to enter the user name and password that you used to register with Grants.gov in "Step 1: Registering." Enter your user name and password in the corresponding fields and click "Login."

➢ Once authentication is complete, your application will be submitted. Print this confirmation screen for your records. You will receive an e-mail message to confirm that the application has been successfully uploaded into Grants.gov. The confirmation e-mail will give you a Grants.gov tracking number, which you will need to track the status of your application. The confirmation e-mail will go to the e-Business POC; therefore, if you are submitting on behalf of someone else, be sure the e-Business POC is aware of the submission and that a confirmation e-mail will be sent.

> ➢ When finished, click the "Close" button.

☐ **Step 6: Tracking the Application**

> ➢ After your application is submitted, you may track its status through Grants.gov. To do this, go to the Grants.gov home page at http://www.grants.gov. At the very top of the screen, click on the "Applicants" link. Scroll down the "For Applicants" page and click the "Login Here" button. Proceed to login with your user name and password that was used to submit your application package.

> ➢ Click the "Check Application Status" link to the top left of the screen. A list of all the applications you have submitted through Grants.gov is produced. There are one of four status messages your application can receive in the system:

>> 1. **Validated:** This means your application has been scanned for errors. If no errors were found, it validates that your application has successfully been submitted to Grants.gov and is ready for the agency to download your application.

>> 2. **Received by Agency:** This means our agency has downloaded your application into our electronic Grants Management System (GMS) and your application is going through our validation process to be successfully received on our end.

>> 3. **Agency Tracking Number Assigned:** This means our GMS did not find any errors with your package and successfully downloaded your application into our system.

>> 4. **Rejected With Errors:** This means your application was either rejected by Grants.gov or GMS due to errors. You will receive an e-mail from Grants.gov customer support, providing details of the results and the next steps required. Most applications are rejected because: (1) a virus was detected; (2) you are using a user name and password that has not yet been authorized by the organization's e-Business POC; or, (3) the DUNS number you entered on the SF-424 form does not match the DUNS number that was registered in the CCR for this organization.

Important Note: If you experience difficulties at any point during this process, please call the Grants.gov customer support hotline at 1–800–518–4726.

Appendix E - Post-Award Instructions

TAB 1: SAMPLE REVIEW OF AWARD

Office of Grants and Training
Post Award Instructions for G&T Awards

The Office of Grant Operations will provide fiscal support and oversight of the grant programs, while the OJP Office of the Comptroller will continue to provide support for grant payments. The following is provided as a guide for the administration of awards.

1. Review Award and Special Conditions Document.

Notification of award approval is made by e-mail through the OJP Grants Management System (GMS). Once an award has been approved, a notice is sent to the e-mail address of the individual who filed the application, as well as to the authorized grantee official.

Carefully read the award and any special conditions or other attachments.

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 - G&T Award
> 810 Seventh Street, NW – 5th Floor
> Washington, DC 20531

If you do not agree with the terms and conditions, contact the awarding G&T Program Manager as noted in the award package.

2. Read Guidelines.
Read and become familiar with the "*OGO Financial Management Guide*" which is available at 1-866-9ASKOGO or online at http://www.dhs.gov/dhspublic/display?theme=18.

3. Complete and Return ACH Form.
The Automated Clearing House (ACH) Vendor/Miscellaneous Payment Enrollment Form (refer to Step 3 attachment) is used to arrange direct deposit of funds into your designated bank account.

4. Access to Payment Systems.

OJP uses the Phone Activated Paperless System (PAPRS) to request funds. Grantees will receive a letter with the award package containing their PIN to access the system and Grant ID information.

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 system 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.

6. Questions about your 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. 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.

> *Important Note: If you have any questions about GMS, need to establish a GMS account, or require technical assistance with accessing your award, please contact the GMS Hotline at 1-888-549-990*

Appendix F - Acronyms

A

AAR	After Action Reports
ACH	Automated Clearing House
AEL	Authorized Equipment List
AFG	Assistance to Firefighters Grant
ASAP	Automated Standard Application for Payments

B

BSIR	Biannual Strategy Implementation Reports
BZPP	Buffer Zone Protection Plan

C

CAPR	Categorical Assistance Progress Reports
CCR	Central Contractor Registry
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
CMIA	Cash Management Improvement Act
COG	Continuity of Government
COOP	Continuity of Operations
CSID	Centralized Scheduling and Information Desk

D

D&B	Dun and Bradstreet
DHS	U.S. Department of Homeland Security
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 Plans

F

FAR	Federal Acquisition Regulations
FEMA	Federal Emergency Management Agency
FOIA	Freedom of Information Act

FSR	Financial Status Report
FY	Fiscal Year

G

G&T	Preparedness Directorate's Office of Grants and Training
GAN	Grant Adjustment Notice
GMS	Grants Management System

H

HHS	U.S. Department of Health and Human Services
HRSA	Health Resources and Services Administration
HSA	Homeland Security Advisor
HSEEP	Homeland Security Exercise and Evaluation Program
HSGP	Homeland Security Grant Program

I

IAB	InterAgency Board
IBSGP	Intercity Bus Security Grant Program
IP	Improvement Plan

L

LEP	Limited English Proficient
LETPP	Law Enforcement Terrorism Prevention Program
LLIS	Lessons Learned Information Sharing

M

M&A	Management and Administrative
MIPT	National Memorial Institute for the Prevention of Terrorism
MMRS	Metropolitan Medical Response System

N

NBHPP	National Bioterrorism Hospital Preparedness Program
NEPA	National Environmental Policy Act
NEMB-CAP	National Emergency Management Baseline – Capability Assessment Program
NFPA	National Fire Protection Association
NGO	Non-Governmental Organization
NIC	NIMS Integration Center
NIEM	National Information Exchange Model
NIMS	National Incident Management System
NRP	National Response Plan

O

OGO	G&T's Office of Grant Operations
OJP	Office of Justice Programs
OMB	Office of Management and Budget

P

PAPRS	Phone Activated Paperless Request System

POC	Point of Contact
POETE	Planning, Organization, Equipment, Training, and Exercise
PSGP	Port Security Grant Program

R

| RKB | Responder Knowledge Base |

S

SAA	State Administrative Agency
SEL	Standardized Equipment List
SHSP	State Homeland Security Program
SPOC	Single Point of Contact

T

| TA | Technical Assistance |
| TSGP | Transit Security Grant Program |

U

| UASI | Urban Areas Security Initiative |

APPENDIX F - ACRONYMS