



U.S. DEPARTMENT OF HOMELAND SECURITY

Fiscal Year 2008

EMERGENCY MANAGEMENT PERFORMANCE GRANTS

GUIDANCE AND APPLICATION KIT

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U.S. DEPARTMENT OF HOMELAND SECURITY

KEY CHANGES

The Fiscal Year (FY) 2008 Emergency Management Performance Grant (EMPG) continues the Federal Emergency Management Agency's (FEMA) efforts to sustain and enhance all-hazards emergency management capabilities. 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.

EMPG Work Plans

EMPG applicants must submit a Work Plan that outlines the State's emergency management enhancement and sustainment efforts, including projects proposed for the FY 2008 EMPG period of performance. In FY 2008, FEMA regional offices will work closely with States to assist in the development of EMPG Work Plans, as needed, and will conduct a review of Work Plans after the application submission deadline. FEMA regional offices must concur on final Work Plans before States may draw down EMPG funds, which will be released on a rolling basis upon approval of the State's final Work Plan. During the period of performance, FEMA regional staff will monitor Work Plans to ensure regional coordination and collaboration.

In order to address national preparedness issues while also providing the flexibility to manage State and local preparedness issues, States are strongly encouraged to draw upon the following resources as a basis for developing FY 2008 EMPG Work Plans:

- FEMA Gap Analysis Program
- Nationwide Plan Review
- Emergency Management Accreditation Program (EMAP) Standard (April 2006)
- National Preparedness Guidelines, Target Capabilities List, and National Planning Scenarios
- State Homeland Security Strategy and Hazard Mitigation Plans

State and local jurisdictions are allowed to leverage EMPG funds to meet their FEMA Gap Analysis Program requirement and related future efforts to help identify and address catastrophic planning needs. In FY 2008, FEMA regional leadership will be working closely with State and local jurisdictions to complete the FEMA gap analysis and to address the catastrophic planning needs identified through that process.

Dedication of a Minimum of 25% of Funds towards Planning Activities

In FY 2008, grantees are required to apply no less than 25 percent of their EMPG grant award toward planning activities. Examples of allowable planning costs for the individual EMPG activities can be found at <http://www.fema.gov/grants>.

This requirement highlights the importance that FEMA continues to place on the planning process.

Construction

FEMA will soon be issuing a separate grant program which will focus specifically on emergency operations centers; details will be forthcoming. **As a result of this upcoming program, EMPG funds are no longer permitted to be used to support construction, modification, and renovation of emergency operations centers.**

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PART I. INTRODUCTION

A. Overview

The events surrounding Hurricanes Katrina and Rita highlighted the critical importance of effective catastrophic all-hazards planning, which includes the spectrum of prevention, protection, response, and recovery activities. 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 comprehensive national and regional¹ planning processes that seek to enhance emergency management and catastrophic planning capabilities. The processes can be supported through strengthened national and regional relationships and the allocation of resources toward all-hazards planning, including updating and maintaining current hazard mitigation plans.

An all-hazards approach to emergency response, including the development of a comprehensive program of planning, training, and exercises, sets the stage for an effective and consistent response to any threatened or actual disaster or emergency, regardless of the cause. As appropriated by the Consolidated Appropriations Act of 2008 (P.L. 110-161), the FY 2008 Emergency Management Performance Grant (EMPG) Program provides \$291,450,000 million to assist State and local governments to enhance and sustain all-hazards emergency management capabilities.

States have the opportunity to use EMPG funds to further strengthen their ability to support emergency management mission areas while simultaneously addressing issues of national concern as identified in the National Priorities of the National Preparedness Guidelines.

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 and to support mitigation activities.

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 local, regional, tribal, State-to-State, and nationwide priorities, particularly when responding to a catastrophic event. States have the flexibility to leverage FY 2008 EMPG funds to develop intra-state and inter-state emergency management systems that encourage building partnerships across

¹ As used in this document, the term “regional” refers to both multi-state or sub-state geographic areas that function as regions (e.g., the National Capital Region) as well as FEMA regions.

all levels of government and with non-governmental² organizations, including continued coordination through the Senior Advisory Committee³.

B. Supporting National Priorities

The National Preparedness Guidelines, issued in September 2007, provide an all-hazards preparedness goal as directed by Homeland Security Presidential Directive-8. The National Preparedness Guidelines reinforce the fact that preparedness is a shared responsibility and seek to organize and synchronize national (including Federal, State, local, tribal, and territorial) efforts to strengthen national preparedness. The National Preparedness Guidelines outline eight national priorities to guide preparedness efforts and that meet the Nation's most urgent needs. EMPG directly supports several of these national priorities, including strengthening planning, expanding regional collaboration, and implementing the National Incident Management System (NIMS) and National Response Framework (NRF).

Strengthen Planning. The 2006 Nationwide Plan Review highlighted the critical importance of effective catastrophic all-hazards planning, which includes pre-disaster hazard mitigation planning, as well as planning for post-disaster recovery and reconstruction. State and local jurisdictions must engage in comprehensive national and regional planning processes that seek to enhance emergency management and catastrophic capabilities. The planning processes can be supported through strengthened national and regional relationships and the allocation of resources toward all-hazards planning.

In spring 2007, FEMA initiated a pilot Gap Analysis Program with 20 States and territories in the hurricane-prone regions with a focus on the following areas: debris removal, interim housing, sheltering, evacuation, commodity distribution, medical needs, fuel, and communications. With FEMA working in partnership with State and local jurisdictions to identify and address gaps, regional and national planning processes can be improved collaboratively to meet future events.

Additionally, on December 3, 2007, President Bush issued Annex I to HSPD-8. The Annex describes the development of a national planning system in which all levels of government work together in a collaborative fashion to create plans for various planning

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

³ The membership of the Senior Advisory Committee must, at a minimum, include the following State officials directly responsible for the administration of FEMA grants and Centers for Disease Control and Prevention (CDC) and Health Resources and Services Administration (HRSA) cooperative agreements: the State Administrative Agency (SAA), HRSA Bioterrorism Hospital Preparedness Program Coordinator, and CDC Public Health Emergency Preparedness Program Director. In addition, program representatives from the following entities should be members of the committee: State Homeland Security Advisor (if this role is not also the SAA); State Emergency Management Agency Director; State Public Health Officer; State Public Safety Officer (and SAA for Justice Assistance Grants, if different); State Court Official; State EMS Director; State Trauma System Manager; State Citizen Corps POC; Urban Area POC; United States 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.

scenarios. Recipients of EMPG funding are encouraged to apply their funding toward the development of comprehensive scenario-specific plans that discuss the activities of the jurisdiction to prevent, protect against, respond to and recover from specific incidents. Specific priority scenarios of national concern may be found in the National Response Framework or by contacting your EMPG Program Manager.

Expand Regional Collaboration. Standardized structures and processes for regional collaboration enable entities to collectively manage and coordinate activities for operations and preparedness consistently and effectively. In FY 2008, FEMA regional offices will be working closely with State and local jurisdictions to enhance planning capabilities, to include assisting States in completing the FEMA Gap Analysis Program and addressing various preparedness assessment findings, such as the FEMA Gap Analysis Program and the Nationwide Plan Review. States must work closely with FEMA regional offices in developing their EMPG Work Plans to address critical assessment findings and ensure appropriate regional coordination and collaboration.

Implement NIMS and NRF. NIMS, released in March 2004, provides a consistent framework for government entities at all levels to work together to manage domestic incidents, regardless of cause, size, or complexity. NIMS includes a core set of guidelines, standards, and protocols for incident command and management, preparedness, resource management, communications and information management, supporting technologies, and coordination and maintenance to promote interoperability and compatibility among Federal, State, local, tribal, and territorial capabilities. Meeting NIMS compliance requirements remains necessary for States to receive Federal preparedness funding. The NRF, released in draft in September 2007 and approved in its final version on January 22, 2008, establishes a comprehensive, national, all-hazards approach to domestic incident response. Replacing the former National Response Plan, the NRF presents an overview of key response principles, roles and structures that guide the national response. Emergency managers at all levels of government should strive to ensure that emergency management plans and operations are conducted in alignment with the NIMS and NRF.

PART II. FUNDING AVAILABILITY AND ELIGIBLE APPLICANTS

A. Funding Availability

FY 2008 EMPG allocations are determined as authorized by the Implementing Recommendations of the 9/11 Commission Act of 2007. All 50 States, the District of Columbia, and Puerto Rico will receive a base amount of 0.75 percent of the total available grant funding. Four Territories (American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) will receive a base amount of 0.25 percent of the total available grant funding. The balance of EMPG funds is distributed on a population-share basis. 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 1 provides a breakdown by State of FY 2008 EMPG funding allocations.

Table 1. FY 2008 EMPG Funding Allocations

| State/Territory | Allocation | State/Territory | Allocation |
|----------------------|--------------|----------------------------------|----------------------|
| Alabama | \$4,828,026 | New Hampshire | \$2,937,113 |
| Alaska | \$2,576,089 | New Jersey | \$7,144,874 |
| Arizona | \$5,804,822 | New Mexico | \$3,310,547 |
| Arkansas | \$3,804,328 | New York | \$13,203,409 |
| California | \$23,054,978 | North Carolina | \$7,359,035 |
| Colorado | \$4,961,430 | North Dakota | \$2,551,104 |
| Connecticut | \$4,185,427 | Ohio | \$8,732,612 |
| Delaware | \$2,679,589 | Oklahoma | \$4,251,087 |
| District of Columbia | \$2,521,745 | Oregon | \$4,325,387 |
| Florida | \$12,605,945 | Pennsylvania | \$9,284,053 |
| Georgia | \$7,635,201 | Rhode Island | \$2,789,817 |
| Hawaii | \$2,918,592 | South Carolina | \$4,702,341 |
| Idaho | \$3,041,919 | South Dakota | \$2,640,453 |
| Illinois | \$9,523,702 | Tennessee | \$5,700,893 |
| Indiana | \$5,808,552 | Texas | \$15,833,456 |
| Iowa | \$3,891,822 | Utah | \$3,696,157 |
| Kansas | \$3,770,758 | Vermont | \$2,540,564 |
| Kentucky | \$4,607,434 | Virginia | \$6,588,892 |
| Louisiana | \$4,636,968 | Washington | \$5,878,853 |
| Maine | \$2,937,900 | West Virginia | \$3,220,409 |
| Maryland | \$5,393,522 | Wisconsin | \$5,383,985 |
| Massachusetts | \$5,868,194 | Wyoming | \$2,484,371 |
| Michigan | \$7,936,119 | Puerto Rico | \$4,436,148 |
| Minnesota | \$5,153,321 | U.S. Virgin Islands | \$790,539 |
| Mississippi | \$3,852,279 | American Samoa | \$761,546 |
| Missouri | \$5,542,002 | Guam | \$827,653 |
| Montana | \$2,732,741 | Northern Mariana Islands | \$776,894 |
| Nebraska | \$3,199,020 | Republic of the Marshall Islands | \$87,435 |
| Nevada | \$3,650,513 | Federated States of Micronesia | \$87,435 |
| | | Total | \$291,450,000 |

B. Eligible Applicants

To be eligible to receive FY 2008 EMPG funding, 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 2007 compliance activities, as determined by the National Incident Management System Capability Assessment Support Tool (NIMSCAST) or other accepted means. Jurisdictions that were unable to report NIMS compliance by the end of FY 2007 can request up to 120 days additional time for the specific activity using the Corrective Action Plan (CAP) available as part of NIMSCAST. Additional information on achieving compliance is available through the FEMA National Integration Center (NIC) at <http://www.fema.gov/emergency/nims/>.

All State and Territory grantees will be required to submit their compliance assessment via the NIMSCAST by September 30, 2008 in order to be eligible for FY 2009 preparedness programs. The State or Territory department/agency grantee reserves the right to determine compliance reporting requirements of their sub-awardees (locals) in order to disperse funds at the local level.

C. Cost Share Requirements

In FY 2008, EMPG has a 50 percent Federal and 50 percent State cost share cash- or in-kind match requirement. Unless otherwise authorized by law, Federal funds cannot 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 U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands. FEMA administers cost sharing requirements in accordance with 44 C.F.R. 13.24, which is located at http://www.access.gpo.gov/nara/cfr/waisidx_07/44cfrv1_07.html.

PART III. PROGRAM REQUIREMENTS

A. Period of Performance

The period of performance for the FY 2008 EMPG funds is 24 months. Although EMPG is an annual award, this period of performance will allow State and local emergency management agencies maximum flexibility to plan and coordinate the use of FY 2008 EMPG funds. Any unobligated funds will be deobligated by FEMA at the end of this period. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications for an extension.

B. Application Process

FEMA 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. Applicants must apply for FY 2008 EMPG funding through the online Grants.gov system by the AOR (Authorized Organization Representative) to ensure a successful application. If applicants have previously used Grants.gov, the same account may be used for the FY 2008 EMPG application submission. 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). Please also note the Grants.gov technical support hours are Monday-Friday, 7 a.m. to 9 p.m., Eastern Standard Time. For more detail, see <http://www.grants.gov/contactus/contactus.jsp>.

*Eligible applicants must apply for FY 2008 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, March 1, 2008.***

The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "Emergency Management Performance Grant". The CFDA number is **97.042**. When completing the on-line application, applicants should identify their submissions as **new, non-construction** applications.

C. Application Requirements

The following steps must be completed using the on-line [grants.gov](http://www.grants.gov) system to ensure a successful application submission, however applicants should review the relevant program-specific sections of this Guidance for additional requirements that may apply.

- 1. Application via [grants.gov](http://www.grants.gov).** DHS participates in the Administration's e-government initiative. As part of that initiative, all applicants must file their applications using the Administration's common electronic "storefront" -- [grants.gov](http://www.grants.gov). Eligible SAAs must

apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.

2. **Application deadline.** Completed Applications must be submitted to [grants.gov](http://www.grants.gov) no later than **11:59 PM EST, March 1, 2008**.
3. **Valid Central Contractor Registry (CCR) Registration.** The application process also involves an updated and current registration by the applicant. Eligible applicants must confirm CCR registration at <http://www.ccr.gov>, as well as apply for funding through [grants.gov](http://www.grants.gov).
4. **On-line application.** The on-line application must be completed and submitted using [grants.gov](http://www.grants.gov) after CCR registration is confirmed. The on-line application includes the following required forms and submissions:
 - Standard Form 424, Application for Federal Assistance
 - Standard Form 424A, Budget Information
 - Standard Form LLL, Disclosure of Lobbying Activities
 - Non-Supplanting Certification
 - Standard Form 424B and SF-424D Assurances
 - Certification Regarding Debarment, Suspension, and Other Responsibility Matters
 - Any additional required attachments

The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is “*Emergency Management Performance Grant*”. The CFDA number is **97.042**. When completing the on-line application, applicants should identify their submissions as **new, non-construction** applications.

5. **Project period.** The project period will be for a period not to exceed 24 months. Extensions to the period of performance will be considered on a case-by-case basis only through formal written requests to DHS.
6. **DUNS number.** The applicant must provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number with their application. This number is a required field within [grants.gov](http://www.grants.gov) and for CCR Registration. Organizations should verify that they have 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 (800) 333-0505.

7. EMPG Work Plan (Program Narrative, Budget, and Project Outline). *Please see Appendix A, EMPG Work Plans, for a template of the Program Narrative, Budget, and Project Outline documents.* All EMPG applicants must submit a Work Plan that outlines the State’s emergency management sustainment and enhancement efforts, including projects, proposed for the FY 2008 EMPG period of performance. FEMA regional offices will work closely with States to assist, as needed, and monitor Work Plans during the performance period to ensure regional coordination and collaboration. In addition, FEMA regional offices must concur on final Work Plans before States may draw

down EMPG funds. Grant funds will be released on a rolling basis upon approval of the State's final Work Plan.

In order to address national preparedness issues while also providing the flexibility to manage State and local preparedness issues, States are strongly encouraged to draw upon the following criteria as a basis for developing FY 2008 EMPG Work Plans:

- FEMA Gap Analysis Program
- Nationwide Plan Review
- Emergency Management Accreditation Program (EMAP) Standard (April 2006)
- National Preparedness Guidelines, Target Capabilities List, and National Planning Scenarios
- State Homeland Security Strategy and Hazard Mitigation Plans

Specifically, States must focus FY 2008 EMPG program activities on addressing shortfalls and sustaining capabilities in their emergency management program, as identified through either the FEMA Gap Analysis Program, Nationwide Plan Review, the EMAP process, or other emergency management assessment process, with a specific focus on planning for catastrophic events and to reduce loss of life and property through mitigation activities. 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.

Additionally, FY 2008 EMPG places a high priority in developing scenario-specific plans that incorporate the findings of the Gap Analysis Program and the Nationwide Plan Review, consistent with Annex I to HSPD-8.

a. FEMA Gap Analysis Program

State and local jurisdictions are allowed to leverage EMPG funds to meet the FEMA Gap Analysis Program participation requirement and to participate in related future efforts to help identify and address catastrophic planning needs. In FY 2008, FEMA regional leadership will be working closely with State and local jurisdictions to complete the FEMA gap analysis and to address the catastrophic planning needs identified as a result of that analysis process.

b. Nationwide Plan Review

States should focus on developing scenario-specific plans that incorporate findings identified through the 2006 Nationwide Plan Review. Of particular importance are the areas of evacuation planning and continuity of operations. 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 the safety of the proposed shelter, evacuation routes that are pre-identified prior to a hurricane event, public information concerning safety and evacuation routing, 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.

Continuity of Operations / Continuity of Government Planning (COOP/COG)

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 essential 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. State and local plans to address COOP/COG issues should be consistent with Homeland Security Presidential Directive (HSPD)-20 (National Continuity Policy), which provides guidance for State, local, territorial, and tribal governments, and private sector organizations to ensure a comprehensive and integrated national continuity program, and DHS COOP Planning Guidance. Issues to address include, but are not limited to:

- Delineate essential functions and activities, agency interdependencies, and the resources needed to perform them
- Establish orders of succession and delegations of authority 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
- Provide for the regular training, testing, and exercising of COOP personnel, systems, and facilities
- Provide for reconstitution of agency capabilities, and transition from continuity operations to normal operations

c. 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 provide standards for public sector emergency management accreditation purposes.

States are not required to pursue accreditation under EMAP, but as an existing national standard, it is being considered for use with the National Preparedness Guidelines and its supporting materials as the basis for future national assessments.

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 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 revealed 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
- Pre-disaster resource management, including identification of resource objectives, by hazard

8. State Preparedness Report. The Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA) requires any State that receives Federal preparedness assistance to submit a State Preparedness Report to DHS. For FY 2008, the State Preparedness Report consolidates existing requirements into a single submission, including updates to the Nationwide Plans Review (NPR) Phase 1; development of the Program Evaluation Report, as required in FY 2007 HSGP; and updates to the State Program and Capability Enhancement Plan.

State Preparedness Reports must be submitted to DHS by March 31, 2008. **Receipt is a prerequisite for applicants to receive any FY 2008 DHS preparedness grant funding.**

State Preparedness Reports will be marked and handled as “For Official Use Only” due to the sensitive nature of the information contained in them. DHS has established a secure internet portal at <https://odp.esportals.com/> to receive and manage all State Preparedness Reports in order to safeguard them and any information identifying potential shortcomings.

9. Single Point of Contact (SPOC) review. Executive Order 12372 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. Executive Order 12372 can be referenced at <http://www.archives.gov/federal-register/codification/executive-order/12372.html>

10. Standard financial requirements.

10.1 -- Non-supplanting certification. This certification affirms that grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. 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.

10.2 -- Assurances. Assurances forms (SF-424B and SF-424D) can be accessed at http://www07.grants.gov/agencies/approved_standard_forms.jsp It is the responsibility of the recipient of the Federal funds to understand fully 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.

10.3 -- Certifications regarding lobbying, debarment, suspension, other responsibility matters and the 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 44 CFR Part 17, which contains provisions for *Government-wide Debarment and Suspension (Non-procurement)* and *Government-wide Requirements for Drug-Free Workplace (Grants)*; and 44 CFR Part 18, *the New Restrictions on Lobbying*. All of these can be referenced at: http://www.access.gpo.gov/nara/cfr/waisidx_07/44cfrv1_07.html http://www.access.gpo.gov/nara/cfr/waisidx_00/44cfrv1_00.html.

11. Technology requirements.

11.1 -- National Information Exchange Model (NIEM). DHS requires all grantees to use the latest NIEM specifications and guidelines regarding the use of Extensible Markup Language (XML) for all EMPG awards. Further information about the required use of NIEM specifications and guidelines is available at <http://www.niem.gov>.

11.2 -- Geospatial guidance. Geospatial technologies capture, store, analyze, transmit, and/or display location-based information (i.e., information that can be linked to a latitude and longitude). DHS encourages grantees to align any geospatial activities with the guidance available on the FEMA website at <http://www.fema.gov/government/grant/index.shtm>.

11.3 -- 28 CFR Part 23 guidance. DHS requires that any information technology system funded or supported by EMPG funds comply with 28 CFR Part 23, Criminal Intelligence Systems Operating Policies, if this regulation is determined to be applicable.

12. Administrative requirements.

12.1 -- Freedom of Information Act (FOIA). DHS 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. While this information under Federal control is subject to requests made pursuant to the Freedom of Information Act (FOIA), 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. The applicant is encouraged to consult its 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. The applicant may also consult FEMA regarding concerns or questions about the release of information under State and local laws. The grantee should be familiar with the regulations governing Sensitive Security Information (49 CFR Part 1520), as it may provide additional protection to certain classes of homeland security information.

12.2 -- Protected Critical Infrastructure Information (PCII). The PCII Program, established pursuant to the Critical Infrastructure Information Act of 2002 (CII Act), created a new framework, which enables State and local jurisdictions and members of the private sector voluntarily to submit sensitive information regarding critical infrastructure to DHS. The Act also provides statutory protection for voluntarily shared CII from public disclosure and civil litigation. If validated as PCII, these documents can only be shared with authorized users who agree to safeguard the information.

PCII accreditation is formal recognition that the covered government entity has the capacity and capability to receive and store PCII. DHS encourages all SAAs to pursue PCII accreditation to cover their state government and attending local government agencies. Accreditation activities include signing an MOA with DHS, appointing a PCII Officer, and implementing a self-inspection program. For additional information about PCII or the accreditation process, please contact the DHS PCII Program Office at pcii-info@dhs.gov.

12.3 -- Compliance with Federal civil rights laws and regulations. The grantee is required to comply with Federal civil rights laws and regulations. Specifically, the grantee is required to provide assurances as a condition for receipt of Federal funds that its programs and activities comply with the following:

- *Title VI of the Civil Rights Act of 1964, as amended, 42. U.S.C. 2000 et. seq. – no person on the grounds of race, color or national origin will be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving Federal financial assistance.*

- *Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794* – no qualified individual with a disability in the United States, shall, by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity receiving Federal financial assistance. .
- *Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et. seq.* – discrimination on the basis of sex is eliminated in any education program or activity receiving Federal financial assistance.
- *The Age Discrimination Act of 1975, as amended, 20 U.S.C. 6101 et. seq.* – no person in the United States shall be, on the basis of age, excluded from participation in, denied the benefits of or subjected to discrimination under any program or activity receiving Federal financial assistance.

Grantees must comply with all regulations, guidelines, and standards adopted under the above statutes. The grantee is also required to submit information, as required, to the DHS Office for Civil Rights and Civil Liberties concerning its compliance with these laws and their implementing regulations.

12.4 -- Services to limited English proficient (LEP) persons. Recipients of DHS 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, natural 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. The grantee is encouraged to consider the need for language services for LEP persons served or encountered both in developing their Investment Justifications 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, see <http://www.lep.gov>.

12.5 -- Integrating individuals with disabilities into emergency planning. Section 504 of the Rehabilitation Act of 1973, as amended, prohibits discrimination against people with disabilities in all aspects of emergency mitigation, planning, response, and recovery by entities receiving financial from DHS. In addition, Executive Order #13347, entitled "Individuals with Disabilities in Emergency Preparedness" 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. Executive Order 13347 requires the federal government to, among other things, encourage consideration of the needs of individuals with disabilities served by State, local, and tribal governments in emergency preparedness planning.

DHS has several resources available to assist emergency managers in planning and response efforts related to people with disabilities and to ensure compliance with Federal civil rights laws:

- **Guidelines for Accommodating Individuals with Disabilities in Disaster:** The Guidelines synthesize the array of existing accessibility requirements into a user friendly tool for use by response and recovery personnel in the field. The Guidelines are available at <http://www.fema.gov/oer/reference/>.
- **Disability and Emergency Preparedness Resource Center:** A web-based “Resource Center” that includes dozens of technical assistance materials to assist emergency managers in planning and response efforts related to people with disabilities. The “Resource Center” is available at <http://www.disabilitypreparedness.gov>.
- *Lessons Learned Information Sharing (LLIS)* resource page on **Emergency Planning for Persons with Disabilities and Special Needs:** A true one-stop resource shop for planners at all levels of government, non-governmental organizations, and private sector entities, the resource page provides more than 250 documents, including lessons learned, plans, procedures, policies, and guidance, on how to include citizens with disabilities and other special needs in all phases of the emergency management cycle.

LLIS.gov is available to emergency response providers and homeland security officials from the local, state, and federal levels. To access the resource page, log onto <http://www.LLIS.gov> and click on *Emergency Planning for Persons with Disabilities and Special Needs* under *Featured Topics*. If you meet the eligibility requirements for accessing Lessons Learned Information Sharing, you can request membership by registering online.

12.6 -- Compliance with the National Energy Conservation Policy and Energy Policy Acts. In accordance with the Consolidated Appropriations Act of 2008 (P.L. 110-161), all FY 2008 grant funds must comply with the following two requirements:

- None of the funds made available through shall be used in contravention of the Federal buildings performance and reporting requirements of Executive Order No. 13123, part 3 of title V of the National Energy Conservation Policy Act (42 USC 8251 et. Seq.), or subtitle A of title I of the Energy Policy Act of 2005 (including the amendments made thereby).
- None of the funds made available shall be used in contravention of section 303 of the Energy Policy Act of 1992 (42 USC13212).

12.7 -- Environmental and Historic Preservation Compliance. FEMA is required to consider the potential impacts to the human and natural environment of projects proposed for FEMA funding. FEMA, through its Environmental and Historic

Preservation (EHP) Program, engages in a review process to ensure that FEMA-funded activities comply with various Federal laws including: National Environmental Policy Act, National Historic Preservation Act, Endangered Species Act, and Executive Orders on Floodplains (11988), Wetlands (11990) and Environmental Justice (12898). The goal of these compliance requirements is to protect our nation’s water, air, coastal, wildlife, agricultural, historical, and cultural resources, as well as to minimize potential adverse effects to children and low-income and minority populations.

The grantee shall provide any information requested by FEMA to ensure compliance with applicable Federal EHP requirements. Any project with the potential to impact EHP resources (see Section E.8) cannot be initiated until FEMA has completed its review. Grantees may be required to provide detailed information about the project, including the following: location (street address or map coordinates); description of the project including any associated ground disturbance work, extent of modification of existing structures, construction equipment to be used, staging areas, access roads, etc; year the existing facility was built; natural, biological, and/or cultural resources present in the project vicinity; visual documentation such as site and facility photographs, project plans, maps, etc; and possible project alternatives.

For certain types of projects, FEMA must consult with other Federal and State agencies such as the U.S. Fish and Wildlife Service, State Historic Preservation Offices, and the U.S. Army Corps of Engineers, as well as other agencies and organizations responsible for protecting natural and cultural resources. For projects with the potential to have significant adverse effects on the environment and/or historic properties, FEMA’s EHP review and consultation may result in a substantive agreement between the involved parties outlining how the grantee will avoid the effects, minimize the effects, or, if necessary, compensate for the effects.

Because of the potential for significant adverse effects to EHP resources or public controversy, some projects may require an additional assessment or report, such as an Environmental Assessment, Biological Assessment, archaeological survey, cultural resources report, wetlands delineation, or other document, as well as a public comment period. Grantees are responsible for the preparation of such documents, as well as for the implementation of any treatment or mitigation measures identified during the EHP review that are necessary to address potential adverse impacts. Grantees may use EMPG funds toward the costs of preparing such documents and/or implementing treatment or mitigation measures. Failure of the grantee to meet Federal, State, and local EHP requirements, obtain applicable permits, and comply with any conditions that may be placed on the project as the result of FEMA’s EHP review may jeopardize Federal funding.

For more information on FEMA’s EHP requirements, SAAs should refer to FEMA’s Information Bulletin #271, *Environmental Planning and Historic Preservation Requirements for Grants*.

D. Application Evaluation

Immediately following the submission and receipt of State and Territory FY 2008 EMPG grant applications, FEMA headquarters components and regional offices will begin a thorough review of the grant application components. This includes review of the EMPG Work Plan, Project Narrative, corresponding budget, and all other applicable documents. All Work Plans will require final approval by the corresponding FEMA Regional Administrator for each state and Territory. Grantees will be communicated to by the FEMA regional office should any component of the EMPG application require corrective action. FEMA regional offices must concur on final Work Plans before States may draw down the full amount of their FY 2008 EMPG award. The full award will be released on a rolling basis upon the Region's approval of the State's final Work Plan.

E. Allowable and Unallowable Costs Guidance

The following pages outline general allowable and unallowable EMPG costs guidance.

Planning Costs Guidance

FY 2008 EMPG funds may be used for a range of emergency management planning activities, including activities and costs related to the FEMA Gap Analysis Program and EMAP accreditation process (State and/or local). As indicated, grant recipients should place a high priority on developing/enhancing scenario specific plans that incorporate activities across the pillars of prevention, protection, and response and recovery. These plans may include aspects of the following, but are not limited to:

- Planning for NIMS implementation
- Modifying existing incident management and emergency operations plans to ensure proper alignment with the NIMS and NRF coordinating structures, processes, and protocols
- Developing/enhancing comprehensive emergency management plans
- Conducting a hazard analysis and risk assessment prior to mitigation plan development
- 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
- 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.

As indicated, grant recipients must apply no less than 25 percent of their grant award toward planning activities.

Examples of allowable planning costs for the individual EMPG activities can be found at <http://www.fema.gov/government/grant/index.shtm>.

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, including hazard mitigation staffing of the State Hazard Mitigation Officer (SHMO) position. Proposed staffing activities should 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 costs with FY 2008 EMPG funds. These costs must comply with OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments*. Proposed personnel costs should be linked to achieving objectives outlined in the EMPG Work Plan.

Equipment Costs Guidance

Allowable equipment categories for FY 2008 EMPG are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), which is sponsored by FEMA at <http://www.rkb.us>.

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 EMPG Program Manager 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 <http://www.safecomprogram.gov>. Additionally, grantees are encouraged to coordinate with other State and local partners in integrating their interoperable communications plans and projects as outlined in the State's Interoperable Communications Plan (submitted to DHS in December 2007 as part of the DHS/Department of Commerce's Public Safety Interoperable Communications (PSIC) Grant Program.)

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 training requirements
- Attending Emergency Management Institute (EMI) training or delivering EMI train-the-trainer courses, not limited to terrorism-related courses
- Attending other FEMA-approved emergency management training
- 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 costs which are the direct result of attendance at FEMA and/or approved training courses and programs are allowable. Overtime payments related to backfilling personnel who have been sent to training are also allowable, but only for the marginal added cost to the grantee of having to pay overtime instead of regular time. The grantee must maintain financial responsibility for the regular time portion of backfill costs. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the state or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe

benefits on overtime hours are limited to Federal Insurance Contributions Act, Workers' Compensation and Unemployment Compensation.

- **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 are allowed. States are encouraged to follow the FEMA 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.

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 contains 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 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 costs which are the direct result of time spent on the design, development and conduct of exercises are allowable expenses. Overtime payments related to backfilling personnel who have been sent to exercises are also allowable but only for the marginal added cost to the grantee of having to pay overtime instead of regular time. The grantee must maintain financial responsibility for the regular time portion of backfill costs. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the state or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities. Fringe benefits on overtime hours are limited to Federal Insurance Contributions Act, Workers' Compensation and Unemployment Compensation.
- **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 are limited to items consumed in direct support of exercise activities such as the rental of space/locations for planning and conducting an exercise, rental of equipment (e.g., portable toilets, tents), and the procurement of gasoline, exercise signs, badges, and other essential 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 costs that are reimbursable are 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.

Management and Administrative (M&A) Costs Guidance

M&A activities are those defined as directly relating to the management and administration of EMPG 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 EMA chooses to assign personnel to specific M&A activities.

A maximum of up to three percent (3%) of FY 2008 EMPG funds awarded may be retained by the State (as opposed to five percent [5%] of funds as noted in the FY 2007 EMPG Program), and any funds retained are to be used solely for management and administrative purposes associated with the award. States may pass through a portion of the State M&A allocation to local subgrantees to support local management and administration activities (not to exceed 3%).

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 2008 EMPG funds
 - To assist with design, requirements, and implementation of FY 2008 EMPG Program
- Hiring of full-time or part-time staff or contractors/consultants and expenses related to:
 - FY 2008 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 FEMA 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 2008 EMPG grant funds
 - Leasing and/or renting of space for newly hired personnel to administer FY 2008 EMPG grant funds

Unallowable Costs Guidance

- Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, weapons systems and ammunition.
- Personnel costs (except for costs as detailed above). Costs 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.
- Activities unrelated to the completion and implementation of the EMPG.
- Other items not in accordance with the portions of the AEL and allowable costs listed in

Part III, Section D.

- **Construction and Renovation Costs.** As a separate grant program is being established in the near future to support construction and renovation of emergency operations centers, these costs are no longer permitted under EMPG. Details will be forthcoming.

APPENDIX A. EMPG WORK PLANS

The EMPG Work Plan must provide a detailed description of the State's planned use for FY 2008 EMPG funds, including sustaining or enhancing emergency management capabilities through personnel and activities. The EMPG Work Plan must include a Narrative and Budget. In addition, EMPG projects **must be outlined using the Project Outline template** (refer to page A-4). FEMA regional offices will work closely with States to assist in the development of EMPG Work Plans, as needed, to ensure regional coordination and collaboration. In addition, FEMA regional offices must concur on final Work Plans before States may draw down EMPG funds.

Narrative

Provide a brief description of the State emergency management priorities and initiatives that will be addressed with FY 2008 EMPG funds. In addition, the narrative must 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 2008
- Relationship of those priorities to the state's Homeland Security Strategy
- Relationship of those priorities to the four accepted Homeland Security mission areas
- Relationship of those priorities to targeted capabilities found within the target capabilities list (TCL)
- Areas of need identified through the FEMA Gap Analysis Program, Nationwide Plan Review, EMAP process, Statewide Communications Interoperability Plan, Tactical Interoperable Communications Plan⁴, or other emergency management assessment process
- Number of State and/or local emergency management personnel in total and the number of State and/or local emergency management personnel either fully or partially supported by EMPG funds
- State and/or local equipment acquisition
- 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
- 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

⁴ All EMPG projects associated with interoperable communications capabilities must be referenced in existing Tactical Interoperable Communications Plans or emerging Statewide Interoperable Communications Plans.

program objective for exercises may include those conducted by counties or municipalities, as well as those conducted by the State.

Budget

Provide a budget by project and by allowable cost category and description breakdown of projected expenditures within each category for all FY 2008 funds. In addition, the State must outline how it intends to meet the cash or in-kind match requirement.

EMPG Project Outline

To facilitate performance measures and focus on outcomes, a Project Outline (see template on A-4) must be completed for each project supported with FY 2008 EMPG funds. "Project" is defined here, for example, as developing or updating a plan, implementing an interoperable communications network, or launching a training initiative. Although a Project Outline can be completed for describing staffing for day-to-day operations, it is not necessary.

For each project, complete a template as shown on the next page and address the following areas:

- **EMF:** Identify how the project relates to the Emergency Management Functions identified through the EMAP Standard (e.g., Resource Management, Communications and Warning, etc.).
- **EMPG Objective:** 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:** 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:** Identify the emergency management shortfall that this project will address and whether this shortfall was identified through the FEMA Gap Analysis Program, Nationwide Plan Review, EMAP process, or other relevant emergency management assessment; or, whether this project addresses the NRF or NIMS implementation.
- **Performance Measure and Basis of Evaluation:** Indicate the performance measure(s) that will be used to evaluate this project and the basis for developing the measure(s).
- **Challenges/Risks:** Identify any challenges to implementing this project.
- **Budget:** This section must outline: (1) explain how the costs were estimated; (2) justify the need for the costs; and, (3) outline how the cash or in-kind match requirement of the grant program will be met. For clarification purposes, the

narrative must include tables describing cost and expense elements (e.g. equipment list with unit costs/quantity).

- **Quarterly Activity:** For each quarter, 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 2008 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 B. AWARD AND REPORTING REQUIREMENTS

Prior to the transition to FEMA, the former Office of Grants and Training preparedness programs followed The Department of Justice's codified regulations, 28 CFR and the OGO Financial Management Guide. The former Office of Grants and Training is now within FEMA and all preparedness programs will follow FEMA's codified regulations, 44 CFR.

A. Grant Award and Obligation of Funds

Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the “award date.”

Obligations are a legal liability to pay, under a grant, subgrant, or contract, determinable sums for services or goods incurred during the grant period. This includes, but is not limited to, amounts of orders placed, contracts and subgrants awarded, goods and services received, and similar transactions during a given period that will require payment by the grantee during the same or a future period.

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

- There must be some action to establish a firm commitment on the part of the awarding entity.
- The action must be unconditional (i.e., no contingencies for availability of SAA funds) 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.

The period of performance is 24 months. Any unobligated funds will be deobligated at the end of this period. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required.

B. Post Award Instructions

The following is provided as a guide for the administration of an award. Additional details and requirements may be provided to the grantee in conjunction with finalizing an award.

1. Review award and special conditions document. Notification of award approval is made by e-mail through the 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. Follow the directions in the notification e-mail and log into GMS to access the award documents. The authorized grantee official should carefully read the award and special condition documents. If you do not receive a notification e-mail, please contact your EMPG Program Manager for your award number. Once you have the award number, contact the GMS Help Desk at (888) 549-9901, option 3 to obtain the username and password associated with the new award.

If you agree with the terms and conditions, the authorized grantee official should sign and date both the original and the copy of the award document page in Block 19 and initial the special conditions page(s). Retain a copy and fax the documents to (202) 786-9905 Attention: Control Desk or send the original signed documents to:

**U.S. Department of Homeland Security/FEMA
Grant Programs Directorate/Control Desk 4th Floor, TechWorld
500 C St SW
Washington, DC 20472**

If you do not agree with the terms and conditions, contact the FEMA EMPG Program Manager named in the award package.

2. Complete and return form SF1199A . The SF1199A Direct Deposit Sign-up Form is used to set up direct deposit for grant payments. The SF1199A form can be found at: <http://www.fema.gov/government/grant/administration.shtm>.

NOTE: Please include your vendor number in Box C of the SF1199A form.

3. Access to payment systems. Grantees under this solicitation will use FEMA's online Payment and Reporting System (PARS) to request funds. The website to access PARS is <https://isource.fema.gov/sf269/execute/Login?sawContentMessage=true>. Questions regarding payments or how to access PARS should be directed to the FEMA Call Center at (866) 927-5646 or sent via e-mail to ask-OGO@dhs.gov.

4. Reporting requirements. Reporting requirements must be met throughout the life of the grant (refer to the program guidance and the special conditions found in the award package for a full explanation of these requirements. Please note that PARS contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

5. Questions about your award? A reference sheet is provided containing frequently asked financial questions and answers. Financial management questions regarding your award should be directed to the FEMA Call Center at (866) 927-5646 or sent via e-mail to ask-OGO@dhs.gov.

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 Help Desk at (888) 549-9901.

C. 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 PARS.

Grant recipients 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. FEMA 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 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements (Including Sub-awards) with Institutions of Higher Education, Hospitals and other Non-profit Organizations (formerly OMB Circular A-110). These regulations further provide 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 grantee may keep interest earned, up to \$100 per fiscal year for administrative expenses. This maximum limit is not per award; it is inclusive of all interest earned on all Federal grant program funds received.

Although advance drawdown requests are permissible, State grantees remain subject to the interest requirements of the Cash Management Improvement Act (CMIA) and its implementing regulations at 31 CFR 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 for program purposes.

D. Reporting Requirements

1. Financial Status Report (FSR) -- required quarterly. Obligations and expenditures must be reported 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 no later than April 30). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FSR is due 90 days after the end date of the performance period.

FSRs **must be filed online** through the PARS.

Required submission: Financial Status Report (FSR) SF-269a (due quarterly).

2. Biannual Strategy Implementation Reports (BSIR) and Categorical Assistance Progress Report (CAPR). Following an award, the grantee will be responsible for providing updated obligation and expenditure information on a semi-annual basis. The applicable SAAs are responsible for completing and submitting the CAPR/BSIR reports. The BSIR submission will satisfy the narrative requirement of the CAPR. SAAs are still required to submit a CAPR with a statement in the narrative field that states: “See BSIR.”

The BSIR and the CAPR are due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. Future awards and fund drawdowns may be withheld if these reports are delinquent.

CAPRs must be filed online through the internet at <http://grants.ojp.usdoj.gov>. Guidance and instructions for completing the CAPR can be found at <https://grants.ojp.usdoj.gov/gmsHelp/index.html>.

Required submission: BSIR and CAPR (due semi-annually).

3. Project Reports. EMPG Project Reports must be submitted to the EMPG Program Manager located at the FEMA regional office on a quarterly basis. The Project Reports should be based on the objectives, performance measures and evaluation, activities, and expected outcomes outlined by the grantee in the EMPG Work Plan. A Quarterly Project Report template and instructions for submission will be provided to grant recipients prior to the end of the first quarter of the performance period (no later than 90 days after the grant award). Copies of the Quarterly Project Reports will be kept on file with the FEMA regional office EMPG Program Manager, as well as at FEMA’s Grant Programs Directorate.

Required submission: Project Report (quarterly).

4. Exercise Evaluation and Improvement. Exercises implemented with grant funds should be threat- and performance- based and should evaluate performance of critical prevention and response tasks 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://hseep.dhs.gov>. Grant 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 FEMA support (grant funds or direct support) and submitted to FEMA 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. FEMA 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).

5. 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 EMPG assistance for audit and examination purposes, provided that, in the opinion of the Secretary or the Comptroller, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller, 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 sub-grantees comply with the audit requirements set forth in *OMB Circular A-133*. Recipients are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings.

6. Federal Funding Accountability and Transparency Act. While there are no State and Urban Area requirements in FY 2008, the Federal Funding Accountability and

Transparency Act of 2006 may affect State and Urban Area reporting requirements in future years. The Act requires the Federal government to create a publicly searchable online database of Federal grant recipients by January 1, 2008 with an expansion to include sub-grantee information by January 1, 2009.

7. National Preparedness Reporting Compliance. The Government Performance and Results Act (GPRA) requires that the Department collect and report performance information on all programs. For grant programs, the prioritized Investment Justifications and their associated milestones provide an important tool for assessing grant performance and complying with these national preparedness reporting requirements. FEMA will work with grantees to develop tools and processes to support this requirement. DHS anticipates using this information to inform future-year grant program funding decisions.

8. State Preparedness Report. Congress requires that States receiving DHS-administered Federal preparedness assistance shall submit a State Preparedness Report to the Department on the State's level of preparedness by March 31, 2008, and annually thereafter. The report shall include: (1) an assessment of State compliance with the national preparedness system, NIMS, the NRP, and other related plans and strategies; (2) an assessment of current capability levels and a description of target capability levels; and (3) an assessment of resource needs to meet the National Preparedness Priorities, including an estimate of the amount of expenditures required to attain the Priorities and the extent to which the use of Federal assistance during the preceding fiscal year achieved the Priorities.

E. Monitoring

Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets and other related program criteria are being met. Monitoring will be accomplished through a combination of office-based reviews and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, performance 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, maintaining of adequate financial records, and refunding expenditures disallowed by audits.

F. Grant Close-Out Process

Within 90 days after the end of the award period, SAAs must submit a final FSR and final CAPR detailing all accomplishments throughout the project. After these reports have been reviewed and approved by FEMA, 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. After the financial information is received and approved by GPD, the grant will be identified as “Closed by the Grant Programs Directorate.”

Required submissions: (1) final SF-269a, due 90 days from end of grant period; and (2) final CAPR, due 90 days from the end of the grant period.

Appendix C. **Grants.gov Quick-Start Instructions**

DHS participates in the Bush Administration's e-government initiative. As part of that initiative, all IPP applicants must file their applications using the Administration's common electronic "storefront" -- [grants.gov](http://www.grants.gov). Eligible SAAs must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.

Application attachments submitted via [grants.gov](http://www.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](http://www.grants.gov).

This Appendix is intended to provide guidance on the various steps and activities associated with filing an application using [grants.gov](http://www.grants.gov).

Step 1: Registering.

Registering with [grants.gov](http://www.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.

1. Establishing an e-business point of contact. [grants.gov](http://www.grants.gov) requires an organization to first be registered in the CCR before beginning the [grants.gov](http://www.grants.gov) registration process. If you plan to authorize representatives of your organization to submit grant applications through [grants.gov](http://www.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" option and click the "GO" button on the bottom right of the screen. If you have already registered with [grants.gov](http://www.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.

2. DUNS number. You must first request a Data Universal Numbering System 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.

3. Central Contractor Registry. 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 point of contact 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 (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.

4. 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.

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

6. 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.

7. 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 (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.

8. 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 e-Business POC 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.

9. 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.

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](http://www.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](https://www.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.

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.

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 four status messages your application can receive in the system:

- **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.
- **Received by Agency.** This means our agency DHS 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.
- **Agency Tracking Number Assigned.** This means our GMS did not find any errors with your package and successfully downloaded your application into our system.
- **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.

If you experience difficulties at any point during this process, please call the grants.gov customer support hotline at (800) 518–4726.

Appendix D. Additional Resources

This Appendix describes several resources that may help applicants in completing an the EMPG application.

1. Centralized Scheduling & Information Desk (CSID) Help Line. The CSID is a non-emergency resource for use by emergency responders across the nation. CSID is a comprehensive coordination, management, information, and scheduling tool developed by DHS through FEMA for homeland security terrorism preparedness activities. The CSID provides general information on all FEMA preparedness grant programs and information on the characteristics of CBRNE, agro-terrorism, defensive equipment, mitigation techniques, and available Federal assets and resources.

The CSID maintains a comprehensive database containing key personnel contact information for homeland security terrorism preparedness programs and events. These contacts include personnel at the Federal, State and local levels. The CSID can be contacted at (800) 368-6498 or askcsid@dhs.gov. CSID hours of operation are from 8:00 am–6:00 pm (EST), Monday-Friday.

2. Grant Programs Directorate (GPD). FEMA GPD will provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation.

For financial and administrative guidance, all state and local government grant recipients should refer to 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Institutions of higher education, hospitals, and other non-profit organizations should refer to 2 CFR Part 215 for the applicable uniform administrative requirements.

Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to ask-OGO@dhs.gov.

3. GSA's Cooperative Purchasing Program. The U.S. General Services Administration (GSA) offers two efficient and effective procurement programs for State and local governments to purchase products and services to fulfill homeland security and other technology needs. The GSA Schedules (also referred to as the Multiple Award Schedules and the Federal Supply Schedules) are long-term, indefinite delivery, indefinite quantity, government-wide contracts with commercial firms of all sizes.

- Cooperative Purchasing Program
Section 211 of the E-Government Act of 2002, authorized GSA sales of Schedule 70 IT products and services to State and Local Governments through the introduction of Cooperative Purchasing. The Cooperative Purchasing program allows State and local governments to purchase from Schedule 70 (the Information Technology Schedule) and

the Consolidated Schedule (containing IT Special Item Numbers) **only**. Cooperative Purchasing is authorized by Federal law and was enacted when Section 211 of the E-Government Act of 2002 amended the Federal Property and Administrative Services Act.



Under this program, State and local governments have access to over 3,500 GSA Schedule contractors who have voluntarily modified their contracts to participate in the Cooperative Purchasing program. The U.S. General Services Administration provides a definition of State and local governments as well as other vital information under the frequently asked questions section on its website at <http://www.gsa.gov/cooperativepurchasing>.

- **Disaster Recovery Purchasing Program**

GSA plays a critical role in providing disaster recovery products and services to Federal agencies. Now State and Local Governments can also benefit from the speed and savings of the GSA Federal Supply Schedules. Section 833 of the John Warner National Defense Authorization Act for Fiscal Year 2007(Public Law 109-364) amends 40 U.S.C. 502 to authorize the GSA to provide State and Local governments the use of ALL Federal Supply Schedules of the GSA for purchase of products and services to be used to *facilitate recovery from a major disaster declared by the President under the Robert T. Stafford Disaster Relief and Emergency Assistance Act or to facilitate **recovery** from terrorism or nuclear, biological, chemical, or radiological attack.*

In the aftermath of emergency events, State or local governments' systems may be disrupted. Thus, use of Federal Supply schedule contracts prior to these events to acquire products or services to be used to facilitate recovery is authorized. State or local governments will be responsible for ensuring that purchased products or services are to be used to facilitate recovery.

GSA provides additional information on the Disaster Recovery Purchasing Program website at <http://www.gsa.gov/disasterrecovery>.

State and local governments can find a list of eligible contractors on GSA's website, <http://www.gsa/library.gsa.gov>, denoted with a  or  symbol.

Assistance is available from GSA on the Cooperative Purchasing and Disaster Purchasing Program at the local and national levels. For assistance at the local level, visit <http://www.gsa.gov> to find the point of contact in your area. For assistance at the national level, contact Tricia Reed at patricia.reed@gsa.gov, (571) 259-9921. More information is available at <http://www.gsa.gov/cooperativepurchasing> and <http://www.gsa.gov/disasterrecovery>.

4. Exercise Direct Support. DHS has engaged multiple contractors with significant experience in designing, conducting, and evaluating exercises to provide support to States and local jurisdictions in accordance with State Homeland Security Strategies and HSEEP. Contract support is available to help States conduct an Exercise Plan Workshop, develop a Multi-year Exercise Plan and build or enhance the capacity of

States and local jurisdictions to design, develop, conduct, and evaluate effective exercises.

In FY 2008, States may receive direct support for three exercises: one Training & Exercise Plan Workshop (T&EPW); one discussion-based exercise; and one operations-based exercise. While States are allowed to submit as many direct support applications as they choose, they are strongly encouraged to give careful thought to which exercises will require the additional assistance that will be provided through the direct support program. Exercises involving cross-border or mass-gathering issues will be counted against the number of direct-support exercises being provided to States.

Applications for direct support are available at <http://hseep.dhs.gov> and are reviewed on a monthly basis. The Homeland Security Exercise and Evaluation Program offers several tools and resources to help design, develop, conduct and evaluate exercises.

5. Homeland Security Preparedness Technical Assistance Program. The Homeland Security Preparedness Technical Assistance Program (HSPTAP) provides technical assistance on a first-come, first-served basis (and subject to the availability of funding) to eligible organizations to enhance their capacity and preparedness to respond to CBRNE terrorist incidents. In addition to the risk assessment assistance already being provided, FEMA also offers a variety of other technical assistance programs.

More information can be found at <http://www.fema.gov/government/grant/index.shtm>.

6. Lessons Learned Information Sharing (LLIS) System. LLIS is a national, online, secure website that houses a collection of peer-validated lessons learned, best practices, AARs from exercises and actual incidents, and other relevant homeland security documents. LLIS facilitates improved preparedness nationwide by providing response professionals with access to a wealth of validated front-line expertise on effective planning, training, equipping, and operational practices for homeland security.

The LLIS website also includes a national directory of responders and homeland security officials, as well as an updated list of homeland security exercises, events, and conferences. Additionally, LLIS includes online collaboration tools, including secure e-mail 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 <https://www.llis.gov>.

7. Information Sharing Systems. DHS encourages all State, regional, local, and Tribal entities using EMPG funding in support of information sharing and intelligence fusion and analysis centers to leverage available Federal information sharing systems, including Law Enforcement Online (LEO) and the Homeland Security Information Network (HSIN). For additional information on LEO, contact the LEO Program Office at leoprogramoffice@leo.gov or (202) 324-8833. For additional information on HSIN and available technical assistance, contact the HSIN Help Desk at (703) 674-3003.