

# Disaster Case Management

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## Program Guidance

**March 2013**



**FEMA**

**Department of Homeland Security**

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## Foreword

This guidance document was developed to create uniform definitions and procedures for the implementation of the Federal Disaster Case Management Program (DCMP) provided by FEMA, including alternative methods, identified by FEMA for the completion of the most cost efficient and effective method for delivering support for disaster case management to a State in the aftermath of a Stafford Act declaration that includes Individual Assistance. The State and DCM providers in the development and implementation of a Federal DCM Program should use this guidance document. To ensure the continued uniformity of procedures and definitions, this guidance is a living document that will incorporate new initiatives and best practices through future program implementation.

This guidance document includes information on the alternatives of the Immediate Disaster Case Management (IDCM) Program that will be determined based on the DCM assessment, and incorporates the DCM Grant Application document for use in developing the State's application for the DCM Grant Program. The procedures established in this guidance document will ensure that the assessment of the information gathered will be consistent, thorough, and well-coordinated.

Questions, recommendations, and inquiries related to this guidance document are welcomed and should be addressed to the Community Services Section, Human Services Branch, Individual Assistance Division, Recovery Directorate, 500 C Street, SW, Washington, DC, 20472-3100, email [FEMA-DCMP@DHS.GOV](mailto:FEMA-DCMP@DHS.GOV).

### Authorities

Section 426 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act), as amended, 42 U.S.C. § 5189d.

# **I. PROGRAM OVERVIEW**

## **A. Introduction**

The Disaster Case Management Program (DCMP) is a federally funded supplemental program administrated by the Department of Homeland Security's (DHS) Federal Emergency Management Agency (FEMA). In accordance with Section 426 of the Robert T. Stafford Disaster Relief and Emergency Act (Stafford Act), *“the President may provide case management services, including financial assistance, to State or Local government agencies or qualified private organizations to provide such services to victims of major disasters to identify and address unmet needs”* (42 U.S.C. § 5189d).

The Governor of an impacted State may request Disaster Case Management in one of two ways: 1) as part of their Request for a Presidential Disaster Declaration that includes Individual Assistance, or 2) via a written request to the FEMA Federal Coordinating Officer (FCO) within 15 days of the date of declaration. In the event of a Presidentially declared disaster that includes Individual Assistance (IA), DCM may be implemented through Immediate DCM services; Immediate Disaster Case Work services administered by FEMA staff; through invitational travel to voluntary agencies; mission assignment to other federal agencies; or implementation of an Interagency Agreement, a contract, and/or a State DCM Grant Program application approved by FEMA.

Disaster Case Management provides relief to disaster survivors by connecting them with the resources and services of multiple agencies, including the development of individual recovery plans that incorporate sustainable assistance for the household's recovery. The DCMP offers various implementation alternatives following an IA declaration. The appropriate option for delivery will be determined by FEMA in coordination with other Federal partners. It will be based upon a comprehensive assessment, as well as consideration of the most efficient and cost-effective delivery mechanism.

### **1. Federal Definition of Disaster Case Management**

DCM is a time-limited process that involves a partnership between a case manager and a disaster survivor (also known as a “client”) to develop and carry out a Disaster Recovery Plan. This partnership provides the client with a single point of contact to facilitate access to a broad range of resources. The process involves an assessment of the client's verified disaster-caused unmet needs, development of a goal-oriented plan that outlines the steps necessary to achieve recovery, organization and coordination of information on available resources that match the disaster-caused unmet needs, the monitoring of progress toward reaching the recovery plan goals, and when necessary, client advocacy.

### **2. Purpose of Disaster Case Management Program**

The DCMP, in partnership with the affected State, enables a whole community approach through funding support to voluntary, faith-based and nonprofit organizations. The DCMP is a supplemental program that promotes: (a) effective delivery of post-disaster case management services, (b) partner integration, (c) provider capacity building, and (d) State level program development. The program provides funding and technical assistance, when requested and approved, to ensure holistic services to disaster survivors.

### **3. Definition of a Disaster-Caused Unmet Need**

A disaster-caused unmet need is an un-resourced item, support, or assistance that has been assessed and verified by representatives from State, Tribal, local, and Federal governments and/or voluntary and faith-based organizations as necessary for the survivor to recover from the disaster. Disaster survivor resources may include insurance payments, Federal disaster assistance (i.e. FEMA Individual and Households Program (IHP) grants, and Small Business Administration (SBA) Disaster Loans), State assistance, voluntary agency/faith based assistance and personal resources. Unmet needs may also include basic immediate emergency needs such as food, clothing, shelter or first aid and long-term needs such as financial, physical, emotional or spiritual well-being.

### **B. Disaster Case Management Assessment and Assessment Team**

The DCM Assessment Team is a rapid deployment assessment team comprised primarily of FEMA staff, the State /Tribe and other partners. An assessment team may deploy only if: 1) there is a request for DCM as a part of a Request for a Presidential Declaration that includes Individual Assistance, or 2) the designated FCO receives a written request for DCM within 15 days of the date of declaration. Thereafter, FEMA, in cooperation with the State Coordinating Officer (SCO), will determine when the Assessment Team will deploy.

The purpose of the team is to conduct a comprehensive assessment of the State's disaster case management resources available to implement DCM while identifying the gaps in service that exists due to the disaster. The DCM Assessment Team will work in daily coordination with FEMA HQ.

The assessment includes a review of the Presidential declaration request (e.g. Preliminary Damage Assessment (PDA), U.S. Census data, National Processing Center data and FEMA registrations), and interviews with organizations involved in disaster recovery. There are a number of factors that will be considered when determining the need for a DCMP:

- Populations that may be significantly impacted, such as elderly, children, those with functional and access needs, literacy challenges or limited English proficiency.
- Total number of primary residences destroyed or with major damage
- Higher concentrations of literacy challenges, elderly populations, poverty, tribal associations
- Potential number of households affected by disruption of local services, such as mass transportation, social services networks, disability services, etc.
- Number of insured versus uninsured properties
- Number of individuals with disabilities within the affected area as well as those that are receiving benefits
- Voluntary Agency activities and capacity including volunteer efforts, available donated materials, and potential funding
- Current involvement by a Long Term Recovery Group from a previous disaster
- Potential number of DCM clients

Once the assessment is complete, the team will prepare a written report outlining the disaster case management capabilities within the State and provide a recommendation for program delivery. The FCO, FEMA HQ, and the IABD will review the report. The assessment will provide the basis for determining the best alternative for delivery of Immediate DCM services and/or a State DCM Grant Program.

### C. Immediate Disaster Case Management (IDCM)

IDCM staff will be responsible for providing outreach, initial triage, and case work services. The IDCM services support State, local, Tribal and non-profit capability for disaster case management, augmenting and building capacity where none exists. IDCM staff will be deployed based on the results of the Assessment Team report and concurrence with the FCO, FEMA HQ, and the IABD. Services will begin within 5 days of notification from FEMA that IDCM services are needed. IDCM services may be provided for up to 90 days with weekly reporting and monthly evaluation of the services required to determine the need to increase or decrease staffing to support on-going case management provided by local voluntary agencies. If requested and approved, an extension of up to 45 days may be granted.

The implementation alternatives for IDCM are determined by the results of the Assessment . The DCM Assessment Team and may include one or more of the following alternatives:

1. **Disaster Case Work (DCW):** Disaster casework is an early intervention done on a one to one basis by a disaster caseworker who works collaboratively with the survivor to meet immediate disaster related needs through information and referral, short-term planning and/or referrals to available disaster resources. DCW is distinct from DCM in that disaster caseworkers have short term relationships with disaster survivors; the casework process does not require continuity from the same caseworker; disaster casework is often initiated in the relief phase of disaster response and assessments and interventions typically focus on immediate, urgent and transitional needs. DCW may be provided by FEMA personnel and/or other voluntary agency partners.
2. **Invitational Travel:** Invitational Travel is authorized official travel for certain individuals who are providing a direct service or benefit to the Government. Invitational Travel may only be used for individuals who are not employed by the Government; are employed intermittently by the Government as consultants or experts and paid on a daily basis, when actually employed; or serving without pay or at \$1 per year. Invitational travel may not be used for a regular Federal employee (PFT, CORE, or Reservist) traveling on official business or for contract employees when the work is within the scope of their contract. (*For guidance regarding the availability of Invitational Travel, see 5 USC 5703, 31 USC 1345, and 41 CFR subtitle F, sections 300-304. See also 55 Comp. Gen. 750 (1976); B-260896, October 17, 1996.*)  
  
Invitational Travel may be implemented when a non-federal DCM provider is requested to provide time-limited services that might require, for example, excessive travel or an overnight stay in order to work with a disaster survivor.
3. **Mission Assignment (MA):** An MA is a work order issued by FEMA to another Federal Agency directing completion of a specific task, and citing funding, other managerial controls, and guidance during a Federally declared disaster or emergency.
4. **Immediate Disaster Case Management Provided through an Interagency Agreement (IAA):** A rapid deployment of qualified DCM staff from an organization to implement DCM services. IDCM services will support State, local and non-profit capacity for disaster case management and assist in building capacity if none exists.



5. **Contract:** FEMA may utilize a contract by publishing a Request for Proposal, which will put the project out for open/full bid to qualified non-profit organizations that may provide DCM services. All procurement of services by DHS/FEMA is done in accordance with the Federal Acquisitions Regulations.

#### **D. State DCM Grant Program**

The State DCM Grant is a Federal grant that makes funds available to the State to implement a DCMP, by utilizing providers to offer DCM services for long-term disaster-caused unmet needs. The State DCM Grant application must be submitted within 60 days from the date of declaration. A long term DCMP shall not exceed 24 months from the date of the declaration.

#### **E. Eligible DCMP Applicants**

A State<sup>1</sup> may make a request for DCMP as described in Section I.A. of this manual. The comprehensive assessment will determine if IDCM and/or a State DCM Grant is appropriate. Once FEMA HQ has approved the State's application for a DCM Grant Program, funding will be released to the State agency identified for DCMP oversight. The State may subgrant/contract with Tribal governments, local governments and/or private organizations to provide DCMP services.

#### **F. DCMP Requests**

A State may request DCM in one of two ways: 1) as part of their Request for a Presidential Disaster Declaration that includes Individual Assistance, or 2) via a written request to the designated FCO within 15 days of the date of declaration

#### **G. DCMP Determination Process**

FEMA will review the State's request, the Assessment Team's results, and any recommendations from the FCO and the FEMA Regional Office to determine whether the impacted area has a need for DCMP.

1. Deployment IDCM services are determined by the Assessment Team's results and the concurrence with the Federal Coordinating Officer (FCO), FEMA HQ, Regional Office, and, when appropriate, other Federal Agencies. If concurred, IDCM services will begin within 5 days following notification from FEMA HQ. IDCM services may be provided for up to 90 days following the Individual Assistance declaration. If requested and approved, an extension of up to 45 days may be granted.
  - A State DCM Grant Program application may be submitted to the FCO within 60 days from the date of declaration. FEMA technical assistance will be provided to the State, if requested.
  - Within 7 days following the submission of the application, the FCO will provide a recommendation to approve or deny the DCMP grant.
  - The FCO recommendation will be reviewed by the FEMA Regional Office for concurrence, and then be submitted to FEMA HQ for review.
  - If the application is approved, FEMA HQ will notify the Senate Appropriations Committee for the statutorily required notification process for grants over \$1M.

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<sup>1</sup>Based on Section 1110 of the Sandy Recovery Improvement Act of 2013 (P.L. 113-2), if a Tribe requests and is granted a separate Presidential Disaster Declaration that includes Individual Assistance, the Tribe may apply for DCM as a direct grantee. In that circumstance, all references to a "State" in this manual shall effectively mean "Tribe".

- The Regional Grants Office will provide the Notice of Grant Award and follow up fiscal monitoring.

#### **H. Grant Application Denial Appeals Process**

Pursuant to section 423 of the Stafford Act (42 U.S.C. 5189a), any decision regarding eligibility or the amount of assistance under this program may be appealed. The State may appeal FEMA's decision to deny the grant application, or the amount of the grant awarded, to the FEMA Associate Administrator, Response and Recovery at 500 C Street, SW, Washington, DC 20472 in writing within 60 days from the date of notification of the application decision. The decision of the Associate Administrator, Response and Recovery is final agency action and is not subject to further appeal.

#### **I. Dual DCM Programs**

If the State requests an additional DCMP grant in an area already receiving services from an existing declaration with an approved State DCM Grant, the State must ensure there is a mechanism in place to identify potential duplication of services for clients impacted by both disasters. A client may have identified needs from multiple disasters; however, the client will have only one disaster case manager assigned at any given time.

#### **J. Available Funding**

The Disaster Relief Fund (DRF) is the source of Federal DCMP funding. All funding for the DCMP will come from the DRF with no cost share from the State. DCMP grant funding is disaster specific.

## **II. IMMEDIATE DISASTER CASE MANAGEMENT (IDCM)**

Immediate DCM is a rapid response component of the DCMP. IDCM services may deploy based on either the State's request for DCM as a part of a Declaration request, or a written request submitted to FEMA within 15 days of the date of declaration. The need for IDCM will be determined by the outcome of the DCM Assessment and concurrence from FEMA. If concurred, IDCM implementation will begin within 5 days of notification from FEMA. The IDCM staff will provide outreach, initial triage, and DCM casework services. The IDCM staff may support State, local and non-profit capacity building for disaster case management. IDCM services may last up to 90 days. IDCM staff will:

- Establish a timeframe for the duration of IDCM services (up to 90 days) with weekly reporting and monthly evaluation required to continue providing existing level of service.
- Work with State and local agencies to identify existing resources, identify gaps in services for survivors' disaster-related recovery needs and provide assistance to the State in matching client's unmet needs with resources.
- Conduct outreach to identify individuals with access and functional needs including but not limited to, individuals with disabilities, children, elderly, individuals with limited English proficiency, and people who have unmet disaster-caused needs. Outreach to these populations should be conducted through local Disaster Recovery Centers (DRCs), Voluntary Agency contacts, faith-based contacts, Long Term Recovery Groups (LTRG), shelters, and other entities that represent individuals in need.
- Assess survivor's unmet disaster-caused needs to identify immediate needs (e.g., food, clothing, shelter, first aid), and provide information and referral for individuals with urgent needs (e.g., mental health issues, benefits restoration, post-disaster child care, housing, financial assistance, transportation, medication replacement).

- Screen and refer applicants who could benefit from long-term disaster case management services (e.g., permanent housing, major home repair or rebuilding) to appropriate agencies.
- Coordinate appropriate DCM personnel and utilize a client data collection system specific to the assigned disaster.
- At the end of IDCM services, coordinate the transition of open DCM cases to the DCM State Grant program, if applicable.
- Implement the grant close out process for IDCM Program.
- Provide after action reports within 90 days of end of IDCM Program.

## **IDCM Services**

The IDCM Team will have responsibility for providing initial services, including intake, assessment and identification of the need for a disaster recovery plan. If local disaster case management resources have already been identified, efforts will be made to establish partnerships and coordinate service delivery with those agencies. The following describes procedures associated with IDCM service delivery:

### **1. Connecting to Eligible Clients**

The target population for DCM services is individuals and families whose primary residence or place of employment was in the impacted area at the time of the disaster and have a verifiable disaster-caused unmet need that has not been met through other Federal, State, or local disaster assistance. Households that have relocated due to the disaster may be eligible for services. Clients do not have to be registered with FEMA to receive DCM assistance.

### **2. Client Outreach**

The IDCM staff will coordinate outreach in collaboration with Federal partners, Joint Field Office (JFO), State, local and community leaders. Other coordinating groups may include, but are not limited to faith-based and non-profit groups providing disaster relief services, local LTRGs, entities that represent individuals with access and functional needs, and State/local voluntary organizations.

### **3. Triage**

The primary purpose for triage is to assign a priority level to a case based on the client's severity of need and ability to recover. The disaster case manager supervisor uses triage to determine the management caseloads. Clients with the highest priority level cases will meet more frequently with the disaster case manager. The triage process involves ongoing communication between the client and disaster case manager. It requires regular reassessment, particularly as the client transitions into long-term disaster case management.

**Tier 1** – Immediate needs met, stable, some remaining unmet needs; quarterly monitoring to update status or may be closed due to lack of resource for identified need (may be reopened if resource(s) becomes available during period of performance).

**Tier 2** – Some remaining unmet needs or in current rebuild/repair status; monthly contact to monitor progress.

**Tier 3** – Significant unmet needs, Disaster Recovery Plan being developed and monitored; bi-weekly or weekly contact.

**Tier 4** – Immediate and long term unmet needs, may lack capacity, or be highly dependent on social services due to low literacy, elderly, low income, or disabled; weekly contact.

#### **4. Screening**

As clients are identified through outreach, the FEMA Routine Use process, self-identification, or referrals, the disaster case manager will conduct a screening. The purpose of screening is to gather necessary information such as pre- and post-disaster contact information, the number of impacted individuals in the household, whether the applicant rented or owned their pre-disaster residence, and copies of documents needed to verify clients residence or employment in the declared area.

Efforts will be made to coordinate screening information with local partners and, where acceptable, other human services organizations in order to reduce reporting exhaustion by clients. *(Providers may be asked to document the time it takes to provide services and, if requested, that information will be reflected in reports back to FEMA. These reports, as well as the demographic information collected, will assist FEMA in obtaining approval from the U.S. Office of Management and Budget (OMB) under the Paperwork Reduction Act (PRA).)*

#### **5. Information and Referral**

After intake, and based on clients identified immediate needs, the disaster case manager will provide information and referral (I&R) services to applicants for short term, immediate existing resources. An applicant may not need full DCM services, but may have immediate needs that can be resolved through I&R.

Confidentiality concerns must be taken into account when making referrals that include the transfer of client information. IDCM staff should use a list of local community resources that may meet the applicant's need(s). The resource listings should be accessible via the program's IT platform and verified regularly to ensure accuracy. The IDCM staff will work closely with available resources to ensure immediate needs are properly referred, while adhering to privacy requirements. The provider shall not further disclose FEMA applicant information received without seeking permission from FEMA.

#### **6. Client Intake**

A preliminary recovery plan will be developed based on the client's needs. The plan may be revised as necessary. During the assessment process, the disaster case manager seeks to establish a baseline of pre-disaster functioning.

#### **7. Advocating and Referrals**

It is the role of both the disaster case manager and the client to advocate for the services needed to move toward recovery. Once the client begins to work on their preliminary recovery plan, the disaster case manager will monitor the progress of the case.

#### **8. Plan monitoring**

Part of a disaster case manager's role is to monitor progress toward the achievement of goals outlined in a client's disaster plan. Monitoring activities include regular client contact, and case file review that may result in adjustments to the client's disaster plan. Routine contact

with the client may reveal the need for new goals and prompt discussion of the client's roles and responsibilities in the execution of the action steps within their plan.

#### **9. Long-Term Recovery Group (LTRG)**

The IDCM should collaborate with local LTRGs, if any, during the disaster case management process. The LTRG may be a source for recovery resources following a disaster. While LTRGs vary widely in structure, memberships, and protocol for accessing resources, most typically invite disaster case managers to present cases for approval of recovery resources available from the group's members.

#### **10. Support to Federal, State, Tribal , and local**

One of the objectives of the IDCM is to support State, Tribal, and local capacity building for disaster case management in collaboration with voluntary, faith-based and non-profit organizations. Coordination with disaster response agencies is vital for the successful implementation of the IDCMP and State DCM Grant Program and assists in minimizing the duplication of effort. Agencies may include, but are not limited to, disability organizations, aging networks, language interpretation services and other local community-based organizations.

Effective communication with the local private organizations and NGOs providing disaster-related services to the community builds trust, and ensures a productive environment that will provide the best possible services to clients.

Upon deployment, the IDCM staff will initiate efforts to coordinate with FEMA staff (Voluntary Agency Liaisons, Community Relations and Disability Integration Advisor) and disaster-related entities on the ground at the affected area.

#### **13. Transition to State DCM Grant Program**

The IDCM Program transition will require collaboration between the State, FEMA and IDCM staff to prepare a plan prior to the scheduled IDCM demobilization. It is understood that this plan may be fluid due to the State DCM Grant Program application and award process.

The IDCM staff will ensure a seamless transition of client cases. This transition will include the transfer of hard copy and electronic case files to the DCM service providers as directed by the State. This transfer of case files will be done securely so that unintended recipients cannot access them. Service providers shall not disclose applicant contact information to other parties outside of FEMA.

If the State elects not to apply for the State DCM Grant, the IDCM staff may assist the State with identifying and transitioning cases to social service organizations or voluntary agency organizations for continued services.

### **III. STATE DCM GRANT PROGRAM APPLICATION**

Technical assistance for the development of the State DCM Grant Program application may be requested, in writing, to the Individual Assistance Branch Director (IABD) in the JFO. A pre-application of the grant request may be submitted to FEMA within 45 days of the date of declaration for technical review and negotiation. This option will allow the State to avoid potential delays in the grant award process caused by incomplete information, inaccurate budgets or the need to revise the

State's DCM plan. The final DCMP grant application must be submitted by the State within 60 days of the Presidential declaration. Pre-application and final applications should be submitted to the IABD in the JFO.

Once the State submits the application, it is forwarded to the FCO for review. The FCO will provide a written recommendation of approval/denial to the FEMA Regional Office for concurrence and then will forward the package to FEMA HQ. FEMA HQ DCM staff will review and approve/disapprove the State's DCMP application. The HQ review will include the programmatic approval/disapproval as well as the grant business review carried out by a Regional Grants representative to ensure compliance with grant administration standard requirements and to ensure the review is documented in the official grant file via the Grant Application Checklist.

If the application is approved, FEMA HQ will notify the Senate Appropriations Committee for the statutorily required notification process for grants over \$1M. Once the notification is complete, the FEMA Regional Office grants staff will complete an award package to include the Notice of Grant Award (NOGA) either via eSystem (e.g. NEMIS) or manually following standard grant administrative practices.

A State DCM Grant Program Application package should include the following:

- Completed application, including budgets
- Standard Form 424, Application for Federal Assistance
- Standard Form 112-0-3, Standard Assurances (Non-construction)
- Standard Form 112-0-8, Budget Information (Non-construction)
- FEMA Form 089-0-9, Budget Detail Worksheet
- State Administrative Plan for Disaster Case Management Services

#### **A. Executive Summary**

An executive summary provides key information on the scope and magnitude of the disaster; how the State responded initially, how the State and community service providers propose to provide services during the State DCM Grant, the nature of the services and their location. This section of the DCMP application should be completed last, after all other key information has been determined. The Summary should be no more than two pages in length.

#### **B. Disaster Description**

The purpose of this section is to justify the need for a DCMP by describing the impact, scope and magnitude of the event to the area. Information provided in the description includes:

- Incident date
- Individual Assistance declaration date
- Disaster type (i.e., hurricane, tornado, fire, flood, terroristic act)
- Concentration of damage (i.e., widespread, urban/rural, localized)
- Brief description of the geographic area impacted and provide a list of impacted areas/counties for which DCMP is proposed
- Examples of major damage caused by the disaster and the overall impact on survivors
- Description of the social, economic, and demographic characteristics of the affected communities (i.e., primarily rural, suburban, or urban areas)
- A map of the State, highlighting the service areas included in the disaster declaration

## C. Needs Assessment, Resources and Capabilities

This section will identify gaps within existing networks and services, as well as, clearly identify the scope of a State DCM Grant Program. The purpose of the needs assessment for resources and capabilities is to address the available services and potential shortfalls in meeting the recovery needs of disaster survivors.

### 1. Assessment

Attach a copy of the final DCM Assessment Team report. (*See Appendix A*)

### 2. Expected Service Area

The State should describe current geographic location(s) where sub-grantee/contracted case managers will meet with disaster survivors, including municipalities or counties. Current offices of DCM providers and any intent to temporarily expand locations should also be described.

### 3. Estimating Staffing

The State should describe their current capacity to provide disaster case management in relation to the projected staffing needs determined by the FEMA guidelines. (*See Appendix B*)

### 4. Transitioning Cases from IDCM to State DCM Grant

If IDCM services have been implemented, provide the estimated number of cases that will transition from IDCM Services into the State DCM Grant Program. When possible, provide the estimated number based on prioritization of the cases listed in the data system (*See Tier system below*).

### 5. Strategies

The State should describe the following strategies, and address the specific demographics, area culture, and the extent of impact on the population.

- **Mobilization Strategy** – Describe how the State will implement plans and timelines for recruiting staff, executing contracts, requesting proposals, financial management, etc.
- **Outreach Strategy** – The outreach strategy will promote the DCMP to the target population by incorporating details on how outreach will be conducted, the timeframe of the outreach efforts, methods that will be used, how outcomes will be shared, what information will be distributed to disaster survivors and how the state will communicate their outreach strategy to DCM providers. The outreach strategy will identify the use of public service announcements, fliers and other forms of messaging to inform potential disaster survivors of provider contact information and hours of operation. Outreach to disaster survivors should occur at the State and provider levels to ensure visibility, accessibility and service readiness to disaster survivors and have a defined timeline.
- **Unmet Needs Strategy** – Describe how disaster-caused unmet needs will be coordinated with available resources. Additionally, the plan should describe the criteria used to prioritize and close cases. A household's level of need should determine the frequency of contact. Suggested frequency of contact will decrease as needs are met and the case should be closed once recovery goals are met or there are no resources immediately to meet the identified need. The suggested Tiers of service are:

**Tier 1** – Immediate needs met, stable, some remaining unmet needs; quarterly monitoring to update status or may be closed due to lack of resource for identified

need (may be reopened if resource(s) becomes available during period of performance).

**Tier 2** – Some remaining unmet needs or in current rebuild/repair status; monthly contact to monitor progress.

**Tier 3** – Significant unmet needs, Disaster Recovery Plan being developed and monitored; bi-weekly or weekly contact.

**Tier 4** – Immediate and long term unmet needs, may lack capacity, or be highly dependent on social services due to low literacy, elderly, low income, or disabled; weekly contact.

- **Functional Needs Strategy** – Describe how disaster case management services will be made accessible to all survivors of the disaster including physical, programmatic, and communication access needs. The Functional Needs Strategy should include information on access to interpreters, materials in alternate formats and captioning services. DCM offices, where applicable, should be located in buildings that are American Disability Act (ADA) compliant to provide equal access for staff and survivors with access and functional needs.
- **Case Closure Strategy** - The State shall develop a standardized DCM case closure strategy and provide instructions for the DCM service providers. The standards should include clear details on how and when a case is closed. The DCM provider’s disaster case management supervisor should approve and document all case closures.

A case can be closed for the following reasons:

- The household recovery goals are met.
- The disaster survivor refuses to comply with the DCMP requirements (i.e., consistently missed appointments, failure to disclose the required information).
- There are no resources to meet the identified unmet needs in the client’s Disaster Recovery Plan.
- Resources are not available before the end of the program performance period.

Cases may be reopened when resources become available within the period of performance.

- **Program Demobilization Strategy** - Describe the strategy the State and DCMP providers will use to demobilize the program as it approaches the end of the designated period of performance. This strategy should include projected decrease in staff, and details about the transition of the remaining open cases to other providers.

#### **D. Disaster Case Management Program Work Plan**

The DCMP Work Plan is the blueprint for achieving the program deliverables. It outlines the deliverables during the entire period of performance, expressed in quantity and/or degree of quality, and expected date of delivery. Use the example below as a guide to formulate a response to this section. The deliverable should be specific, measurable, achievable, realistic, and timely.



## DISASTER CASE MANAGEMENT PROGRAM WORK PLAN

Declaration Number: \_\_\_\_\_ Performance Period: \_\_\_\_\_ State: \_\_\_\_ FY: \_\_\_\_

Deliverables	Activities for Deliverables	Expected Date of Deliverable				Positions(s) Responsible
		Q1	Q2	Q3	Q4	
<b>EXAMPLE:</b> Contracts in place with local providers to do DCM	(1) Obtain approval from State to post Request for Proposal (RFP) based on State guidelines. (2) Selected providers will submit signed contracts to the State within five business days.			May 31, 2011		Program Director has oversight. Administrative Assistant will provide support as needed.

### E. Technology Platform Description

The use of data collection and analysis procedures are critical in the monitoring of disaster survivors progress and measuring the DCMP goals. Data is the starting point for assessing disaster survivor’s unmet disaster caused needs and the development of a disaster recovery plan. Data collected should be used to report the progress of the DCMP. If a licensing fee is required, provide a detailed cost summary. A licensing fee is an eligible cost to support the operation of a DCM data tracking system. The purchase of actual case management tracking software is not an allowable cost.

Documentation should describe, at minimum, the following specifications:

- Process for data entry of critical information into the system
- Method and protocols to ensure that data from IDCM Services will be effectively exported and imported (if applicable)
- Confirmation that the database will be based on the Alliance of Information and Referral Systems (AIRS) taxonomy
- Description of user roles that provide access privileges to various levels of users
- Narrative description of the system to share resources, store disaster survivors data, and transfer disaster survivors between partners without interruption to service
- A list of the standardized electronic reports that will be provided to monitor the effective delivery of DCM services, identified unmet needs, Disaster Recovery Plan outcomes, reporting indicators and outcomes, case closures, and demographic information
- Explanation of system’s capability of electronically tracking disaster survivors progress across the continuum of recovery, and the coordination of resources
- Provide a training plan for the use of the technology
- Ability to protect disaster survivors’ confidential information from unauthorized users

### F. DCMP Management Plan

Information to complete the Program Management Plan is included in each of the sections listed below.

#### 1. Administrative Controls

The State’s plan for administrative management of the program may be described by providing the following:

- How the State will maintain clear control of program operations and ensure response to emergent issues in a timely manner.
- How the State will be responsible for reporting aggregate data on program activities to FEMA and how FEMA information will be shared with service providers following Privacy Act regulations.
- How the State will ensure standardization among DCM service providers with regard to budget requirements, staffing, program planning, reporting, training, and technology for tracking and resource sharing.

## 2. DCM Service Providers

The State may sub-grant/contract with local providers directly or sub-grant/contract a management entity to be responsible for managing local providers. Regardless of how the State chooses to manage the program, DCM Service Providers must adhere to the basic requirements listed below:

- Have experience managing Federal grant programs;
- Have experience providing disaster case management in an impacted area;
- Have no adverse or ongoing legal actions regarding the alleged or proven negative performance of their services, be neither suspended or debarred from contracting with the Federal Government, and shall not be in a probation status with other Federal grant programs;
- Comply with all applicable Privacy Act requirements and individual confidentiality provisions;
- Comply with Federal and State disability and civil rights laws, requirements and provisions (including providing equal access and reasonable accommodations);
- Follow the grant management requirements of 2 CFR Parts 215, 220, 225, or 230 as appropriate; and
- Maintain grant project records for three years after the end of the fiscal year that the grant agreement is finalized or until no longer needed, whichever comes sooner.

## 3. Staffing the DCMP

The DCMP Staffing plan should include positions that will be funded through the State DCM Grant Program. The State should ensure that eligible ratios for DCM are consistent with FEMA's guidelines throughout the program. (*See Appendix A*)

The Staffing Plan should:

- Describe the DCMP staffing strategy to include the State and service provider(s).
- Explain the hiring process for required positions necessary to carry out the program.
- Provide a staffing plan and an organizational chart for the State and DCM providers.
- Describe the process and general timeframe to hire and train staff and the State's contingency plan for staff turnover.
- Include position descriptions as an attachment to the application. Program positions should align with positions identified in the itemized budget.

## 4. Sub-grantee/Contract Agreements

Provide a brief description of the DCM provider's experience providing services and their current capacity. This should include the projected number of staff that will participate in the DCMP.

The State must provide guidance for specific rules related to grant/contract funds such as travel regulations, appeal procedures, or management and administration cost to sub-granted/contracted providers. (44 CFR 13.36 and 13.37) The State should provide one copy of the agreement between the State and sub-grantees/contractors or other cooperating entities to FEMA. Submission of each agreement is not required.

## **5. Sub-Grant/Contract Solicitations**

The State shall ensure that the process of soliciting DCM provider applications is fair and transparent. If required by State procurement rules/laws/regulations, the State's Request for Proposals (RFP) for DCM providers must be posted in a public place and accessible by all interested parties for a duration based on State policy and guidelines.

## **G. Disaster Case Management Training Plan**

A Disaster Case Management Training Plan is essential in providing DCMP staff with the necessary tools to serve the needs of disaster survivors. Each section listed below provides a description of training options for the State to consider in the development of the Disaster Case Management Training Plan.

### **1. Provider Agency Training**

The State or its training contractor for the DCM service providers will conduct training. The training should include the State's expectations on topics such as the selection, hiring and supervision of staff; program budgeting and reporting, invoice submission, program monitoring, Privacy Act and confidentiality requirements, how needs and requirements of individuals with disabilities are incorporated, agency communication policy, procurement of equipment and office supplies, program deadlines and program closure. This training should be conducted after service provider contracts are executed and before the DCMP begins.

### **2. Disaster Case Manager Training**

The State will provide disaster case managers with training that includes the role and responsibilities of the disaster case manager through the DCM process, intake and screening, assessment, recovery planning, resource coordination, referrals and follow-up, case transfer, case closure, file retention, and reporting. The training should also include the principles of disaster case management, Privacy Act compliance and confidentiality, an overview of the FEMA funded DCMP, the FEMA sequence of delivery, duplication of benefits process, database operation and serving those with functional and access needs. Disaster case manager training should be conducted before the DCMP begins. The State should provide on-going training to ensure that all new disaster case managers receive training prior to working with disaster survivors.

### **3. DCM Supervisory Training**

The supervisory training should focus on the role of the DCM supervisor, quality control of case files, case reviews, data entry, accurate reporting, and personnel management. The training should also include instruction on the principles of disaster case management, Privacy Act compliance, and confidentiality. All DCM Supervisors should complete disaster case manager training prior to supervisory training.

### **4. On-Going Training**

Throughout the course of the DCMP, changes may occur with Federal, State, and local/community programs that affect the disaster survivor's Disaster Recovery Plan. It is critical that case managers are aware of programmatic changes that may affect the disaster

survivor’s ability to obtain eligible resources. The State should provide regular training focused on DCMP policies and procedures. On-going training should better inform disaster case managers and supervisors on topics that increase their level of effectiveness. It includes a review of the FEMA sequence of delivery and duplication of benefits process and provides information on programmatic issues and changes.

## **H. Budget**

An accurate budget allows for the successful implementation, management, and operation of program services and activities. This section is intended to assist in the budget preparation and fiscal monitoring of the program.

### **1. DCMP Budget**

The State is required to submit budgets that reflect projected total cost for the DCMP. Budget submission should include State expenses, management agency expenses (if applicable), a consolidated budget for all providers, and a budget narrative that justifies costs. An electronic version of the budget spreadsheets can be provided by FEMA. (*Refer to Appendix B for a sample budget worksheet.*)

As the State develops the budget for the application, consider all potential costs of DCM providers such as personnel, fringe benefits, travel, equipment, supplies, etc. Costs associated with anticipated functional needs accommodations should be documented in the proposed budgets. The budgets should be in accordance with Federal laws, policies and guidelines and accurately reflect programmatic costs to implement a DCMP.

The consolidated provider budget, management agency budget, and State budget line items should be totaled and entered on the Standard Form 424 as the final step.

- **Budget Narrative**

The budget narrative must justify each line item in the proposed budgets for the State, the Management Agency (if applicable), and the consolidated provider budget. (*Refer to Appendix B for instructions on creating a budget narrative per line item.*)

- **DCMP Program Budget**

The State should use the “Disaster Case Management Budget Workbook” to prepare the budget. Once prepared, the data can be transferred to the applicable Federal standard forms and assurances. (*Refer to Appendix B: Disaster Case Management Budget Workbook for DCMP State Grant*)

- **Pre-Award Costs**

Reimbursement for costs associated with the development of a DCMP grant proposal may be considered upon written request to FEMA and *prior approval* before issuance of the NOGA. If approved, and once the NOGA has been acknowledged by the State, they may document the costs associated with preparing the DCM grant application and submit the budget, with justification, to FEMA for reimbursement.

### **2. Financial Reporting**

The State shall submit the Federal Finance Report (SF-425) within 30 days of the end of each quarter (44 CFR 13.41.). That State shall submit the SF-425 for every quarter of the period of performance, including partial calendar quarters during the life cycle, regardless of the level of activity in that quarter. This requirement continues until the end of the period of performance (POP). In addition, the State should submit monthly progress updates to FEMA

that include a brief narrative on the status of the DCMP goals and objectives, any programmatic and fiscal challenges, and solutions applied to resolve the challenges.

Within 90 days of the end of the period of performance, the State must submit a final SF-425, with a final narrative, detailing all accomplishments of the program. After review of the final reports by FEMA, a closeout process will begin. The closeout process will include an accounting of any remaining funds that must be de-obligated, and will address the maintenance of grant records. Records shall be archived for 3 years from the date of the final expenditure report. The State is responsible for returning any funds drawn down but that remain as un-liquidated on State financial records.

- **Reporting Periods and Due Dates**

- Quarter 1: October 1 – December 31; *Due January 30*
- Quarter 2: January 1 – March 31; *Due April 30*
- Quarter 3: April 1 – June 30; *Due July 30*
- Quarter 4: July 1 – September 30; *Due October 30*

### **3. Budget and Programmatic Adjustments**

In accordance with 44 CFR 13.30 grantees must obtain the prior approval of the awarding agency whenever any of the following actions are anticipated:

- Any program revisions that result in the need for additional funding.
- Cumulative transfers among line item categories that exceed ten percent of the current total approved State or provider budget, when the awarding agency cost exceeds \$100,000.
- Requests to amend the budget. These must be submitted in writing and signed by the State Authorizing Official to the FEMA DCMP Project Officer and the Regional Grants Management representative. The formal request must include a brief justification explaining the proposed budget adjustment and a simple table outlining the budget adjustment. The DCMP Project Officer and the Regional Grant Management Office will review and approve/disapprove the submitted changes. (*Refer to Appendix B for budget change templates.*)
- A request by a DCM service provider to amend their budget must be addressed in writing to the State. The State must review the request promptly and provide their decision in writing. The State must not approve any budget revision that is inconsistent with the terms and conditions of the DCMP grant to the State. The State must notify the FEMA DCMP Project Officer and the Regional Grants Office of changes to the provider's budget, any amendments, the State's decision, and the justification for the decision. The DCMP Project Officer and Regional Grants representative will review and approve/disapprove the submitted changes. (*Refer to Appendix B for a sample budget request letter.*)

### **4. Fiscal Management**

Grant recipients are required to maintain effective accountability for funds, safeguard assets, and ensure that funds are only used for authorized purposes 44 CFR 13.20 and 13.22. Effective control requires current, accurate, and complete disclosure of budgeted and actual outlays related to grant objectives. The State is accountable for the appropriate use of Federal funds. Financial reporting requirements are outlined in the Code of Federal Regulations (44 CFR Part 13.41), OMB Circular A-102, Uniform Administrative

Requirements for Grants and Cooperative Agreements with State and Local Governments, and 2 CFR 225.

## 5. Challenges to Financial Management

The State financial staff should work closely with the DCM Management Agency (if contracted) and/or service provider financial staff to anticipate fiscal management challenges and solutions. To avoid potential financial management challenges, the State should consider the following:

- **Hiring** –Program positions should align with the positions identified in the itemized budget. The State should include an organizational chart that indicates where the DCMP corresponds to the existing State structure.
- **Billing** – The State should ensure that the lead management agency, if contracted, and service providers understand State fiscal procedures and guidelines, and adhere to deadlines for submitting invoices to the State to avoid payment delays. The State should include enough staff to meet the financial requirements of the DCMP grant.
- **Procurement** – When procuring property and services under a Federal grant, the State must follow the same policies and procedures it uses for procurements from its non-Federal funds. The State must ensure that every purchase order or other contract includes any clauses required by Federal statutes and executive orders and their implementing regulations. 44 CFR 13.36.

Additional considerations on procurement of equipment, supplies, and services:

- States must use, manage, and dispose of equipment in accordance with State laws and procedures. 13 CFR 13.25 and 13.32.
- A description for acceptable laptop and printer systems is included in Appendix B.
- States should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. All rented or leased equipment costs should be listed in the “Contractual” category. 44 CFR 13.36.
- States should refer to 44 CFR Part 13.36 for a description of the federal regulations and guidelines for procurement.
- Products or services procured by contract must be described and an estimate of cost must be provided. The State is encouraged to promote free and open competition in awarding contracts. A separate justification for sole source contracts in excess of \$100,000 should be provided. 44 CFR 13.36.

## IV. MONITORING AND QUALITY CONTROL

Monitoring and quality control are required components of the DCMP. The purpose is to ensure consistent program implementation that meets FEMA program and grant requirements.

### A. Monitoring

The grantee will be monitored programmatically and financially by FEMA staff and may be audited under the Improper Payment Information Act and/or by the DHS Office of Inspector General (OIG) to ensure that the project goals, budgets, and other related program activities are being met.

On-site monitoring visits will involve a review of financial and programmatic activities to identify areas that may require technical assistance. Similar reviews may take place off-site depending on circumstances. The State is responsible for monitoring DCMP activities to ensure that they are in compliance with FEMA's DCMP grant requirements. 44 CFR part 13, OMB Circular A-102, Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments, and 2 CFR 225.

Site visits are conducted to ensure quality assurance. Periodic site visits will include both FEMA and the State DCM program staff. Site visit reports prepared by the FEMA DCM Program Coordinator should be forwarded to the State DCM Management Office, FEMA Grants Specialist at the FEMA Regional Office, and FEMA Headquarters.

- 1. Initial Site Visit:** During the State DCM Grant Program, an initial site visit will be conducted within the first 120 days following the Grant Award to focus on the following:
  - Program Objectives
  - Status and Progress of Planned Activities
  - Management/Staffing Concerns with Service Providers and/or Disaster Case Managers
  - Financial Issues
  - Status of Outreach and Disaster Case Management Activities
  - Data
  - Feedback on Training and Technical Assistance
  - Status of Case Files (open, closed, transfer and review aggregate data)
  - Estimate closure rate and tier structure review
  - Resources available in the community
  - Network of providers and collaboration strategy (LTRC and Social Services)
  - Physical, programmatic, and effective communications access
  
- 2. Additional Program Site Visits:** Additional site visits may be conducted and could focus on the following:
  - Ensure that case files are being reviewed by supervisors and contain proper documents.
  - Confirm proper resource coordination, progression of cases, and client success in moving towards recovery.
  - Review reports from the tracking system and confirm accuracy of client data entered in the system.
  - Ensure that there is sufficient communication between supervisors and disaster case managers to identify gaps in services and program changes.
  - Ensure physical, programmatic and effective communications access.
  
- 3. Final Program Site Visit:** At least 60 days prior to the end of the performance period, the Final Program Visit should be conducted. It should focus on the following:
  - Coordination with the State to ensure provider agencies are following the approved program Closure Plan to meet all programmatic and financial requirements necessary to close the DCM program.
  - Ensuring that the remaining open cases are clearly documented and final referrals are tracked and documented in the hard files and database tracking system.
  - Ensuring that critical open cases are transferred to appropriate service providers at program closure.

## **B. Quality Control**

The State is responsible for conducting ongoing quality control throughout the program with all service providers to ensure that disaster case management practices and services are consistent. The State's presence during these quality control visits (which may include teleconferences, meetings, trainings and other programmatic interactions) will help identify potential problems. If the State is unable to resolve a potential issue or concern, the State should report it to FEMA staff.

- The State will ensure that providers deliver consistent services to disaster survivors.
- The State will describe the method of quality control that will ensure appropriate services are provided to the disaster survivors.
- The State will have regular conference calls, coordination meetings, on-site supervision, training, and consistent communication between the State, the lead management agency, if used, and the DCM provider's management and workers.

## **V. Application Review Process**

Technical assistance for the development of the State DCM Grant application may be requested, in writing, to the Individual Assistance Branch Director (IABD) in the JFO. The first draft of the grant application may be submitted to FEMA within 45 days of the date of declaration for technical review and negotiation. This option will allow the State to avoid potential delays in the grant award process caused by incomplete information, inaccurate budgets or the need to revise the State's DCM plan. The final DCMP grant application must be submitted by the State within 60 days of the President's declaration. Draft and final applications should be submitted to the IABD in the JFO.

### **A. Review Process**

FEMA staff at the JFO, in collaboration with the FEMA Regional Grants Management staff and/or Regional Finance staff, will review the DCMP application.

- The application will be reviewed for completeness, cost effectiveness and feasibility of the State's DCMP plan. Any program negotiations or requests for change should occur at this stage of the application process. Once changes are complete, if applicable, the FCO must submit the package with a recommendation to the Regional Office for concurrence. The application is then forwarded to the DCMP staff at FEMA HQ for approval.
- Once FEMA HQ has received all requested documentation, including revisions, if required, the package will be reviewed. Funds will not be made available for obligation, expenditure, or drawdown until the State's budget and budget narrative have been approved by FEMA HQ.
- All grants greater than \$1M must be routed to the Congressional Appropriations Committee for notification. This process may add up to 3 weeks to timeline for obligation of DCM funds. Once the notification process has been completed, FEMA HQ DCM staff is notified and the funds may be released after 72 hours. FEMA HQ DCM staff will communicate with FEMA Regional Office and JFO throughout the process.

### **B. Conditions of Award**

Once FEMA HQ receives Congressional Notification, the Regional Grants Management Division will generate a Notice of Grant Award (NOGA) letter that details all conditions the State must satisfy, within 15 days of receipt, before the grant is awarded. The NOGA is sent to the appointed State agency contact, the State Coordination Officer (SCO), FCO, as well as the IABD at the JFO.



The State must review the NOGA conditions letter and submit a formal acceptance of the award conditions, in writing, before DCMP grant funds will be released. The State is responsible for the accounting and expenditures, cash management, maintaining adequate financial records, and refunding expenditures disallowed by audits. The grantee must establish a SmartLink account prior to allocation and obligation of funds to transfer funds from FEMA to the State.

### **C. Funding Process**

SmartLink is the system used to transfer funds from the U.S. Treasury to the State. SmartLink, also known as the Payment Management System (PMS), is maintained and managed by the Division of Payment Management (DPM) of the Department of Health & Human Services (HHS). (*See Appendix B for instructions on creating a new FEMA SmartLink account.*)

Once the State has accepted all the conditions of the DCMP grant award and the SmartLink account has been established, the following occurs:

- Funds are authorized in SmartLink
  - FEMA staff approves State's financial request
  - FEMA's Finance Center obligates funds for deposit in SmartLink
  - Obligations occur via an automated process
  - FEMA Finance Center authorizes funds; the Region notifies the State that funds are available for draw down
  - States can immediately access funds that have been authorized by FEMA
  
- Funds are drawn down in SmartLink
  - States access their SmartLink account via their PIN number provided by HHS
  - Drawn down funds may not exceed the amount projected for the quarter
  - A State must minimize the times elapsing between transfer of funds from the US Treasury and the issuance of check, warrants, or payment by other means but the State grantee for program purposes. (*See 31 USC 6503(a) and 31 CFR 205.33 and 44 CFR 13.20(b)(7) and 44 CFR 14.41(c)(3)*)
  - Interest will be collected if the State does not disburse funds as is consistent with the Treasury Regulations. (*See 31 USC 6503c*)

A record of funds that have been drawn down is loaded at the FEMA Regional office's finance system each day.

### **D. Financial Guidelines**

The State and DCM providers shall comply with the most recent version of the Administrative Requirements, Cost Principles, and Audit Requirements applicable to Federal grants. A non-exclusive list of regulations commonly applicable to FEMA grants are listed below:

- **Administrative Requirements**
  - 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and local governments
  - 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations (OMB Circular A-110)
  
- **Cost Principles**

- 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)
  - 2 CFR Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122)
  - 48 CFR Part 31.2, Federal Acquisition Regulations (FAR), contracts with commercial organizations.
- **Audit Requirements**
    - OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations.
    - Improper Payments Information Act (IPIA) (31 USC 3321 et seq), as amended by the Improper Payments Elimination and Recovery Act of 2010 (IPERA) (P.L. 111-204).
  - **Prohibition on Using Federal Funds**
    - Recipients cannot use any Federal funds, directly or indirectly, in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government, without the prior written approval of FEMA. (*18 USC 1913*)
  - **Compliance with Program Guidance**
    - All allocations and use of funds will be in accordance with the current DCMP Guidance and applicable Notice of Grant Award approval letter.

## **VI. PREPARING FOR GRANT CLOSEOUT**

Early planning for demobilization of the DCM provider staff and the closeout of the grant award is an integral component of the success of a DCMP. This section details the expectations for the closeout of the State's program and provides the expected timelines for reports, and audits.

### **A. Demobilization Plan**

Based on the initial demobilization strategy provided in the grant application, the State should submit a final demobilization plan to FEMA 90 days prior to the end of the performance period.

- The plan should include the decreasing staffing pattern dictated by the lower number of open cases.
- The plan should include a strategy to identify cases that will not achieve full recovery and will continue to have ongoing disaster-caused unmet needs.
- It should include a strategy to transition appropriate cases to social service providers or other agencies with ongoing resources.
- The State should define the final reporting criteria for providers.

The demobilization plan should be reviewed by the FEMA Regional Office and forwarded to FEMA HQ for approval. Updates to the demobilization plan should be included in the Quarterly Report.

### **B. Case Transfer Process**

For the State DCMP, the State ensures the transfer of cases between agencies during the period of performance, and from the State DCM Grant Program to another case management entity at the end of the period of performance. The process should include:

- Clients will be informed at least 30 days in advance that their case will be transferred.

- If the client requests that the case be transferred to another provider, the case manager should document the request and make the necessary referral.
- The case file should be photocopied or electronically transferred to the new case manager. This will reduce duplication of benefits and provide continuity of service.
- The originating agency should report the case as “Transferred” and the receiving agency should report the case as “Open”.

### **C. Case Closure**

When the period of performance is ending, cases should either be transferred to other case management entities (i.e., local social services agencies) or closed. At least 30 days prior to the end of the period of performance, the disaster case manager should notify the client if their case is being closed or transferred, and complete a final assessment of the unmet needs. The disaster case management supervisor should review the file to confirm the client has been properly notified, that all forms are signed, and that appropriate documents are in the file.

### **D. Monthly Updates and Quarterly Reports**

The State should submit programmatic reports to the FEMA Project Officer and financial reports to the Regional Grant representative assigned. Monthly programmatic updates and all quarterly reports are stored for 3 years from the submission of the final expenditures.

### **E. Final Program Report**

The final report should include clear documentation of remaining disaster-caused unmet needs, categorization of client cases, clear direction on transfer of cases to other State programs, and instructions for final data entry. The report should include the State’s programmatic activities to be performed after the grant period of performance deadline. Programmatic closeout activities include data management, file storage, final invoicing, and preparation of the final report.

### **F. Final Closeout Audit Reports**

Audit reports are due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. (31 U.S.C. 7502(H)(2)(B)) The State will provide FEMA, through any authorized representative, access to all fiscal records, books, papers, or documents related to the grant. Recipients are responsible for ensuring that DCM provider's audit reports are received and available for resolution of any audit findings.

The Financial Audit should answer the following questions:

- Were funds awarded to the State administered within the grant application guidelines?
- Were all budget line items accounted for and a written explanation provided? Why or why not?
- Did the State report all financial obligations on a quarterly basis per the DCMP Guidance?
- Did the State provide actual funds spent versus funds budgeted? Why or why not?
- What was the process used by the State to monitor financial obligations to sub-grantees/contractors?
- Did the State provide a final comprehensive financial report of all program expenses (SF 425)?

Did the State follow all procedures for de-obligating any unspent funds? If not, please explain.

### **G. Requests for a No -Cost Extension**

- The period of performance for DCMP is 24 months from date of declaration. However, a request for an additional 90-day extension to the period of performance will be considered when adequate justification is presented.
- A program extension request must be submitted in writing no later than 60 days prior to the end of the current period of performance.
- All financial and programmatic reports must be current at the time of request for an extension or the request will not be processed.
- The official written request must be submitted through the appropriate FEMA Regional Office to FEMA HQ for analysis and recommendation. The Associate Administrator of the Office of Response and Recovery makes final approval/denial.
- The letter requesting an extension must provide a complete justification for the extension request. An extension request must contain the following:
  - Status of ongoing activity;
  - An explanation of why DCMP cases remain open, the actions taken to resolve any challenges, why the current period of performance is not sufficient, and a description of performance measures necessary to complete DCMP;
  - A showing that sufficient funds remain to cover the 90 day extension period;
  - A projected completion date for the DCMP, timeline, and revised closure plan for all open cases; and
  - Status updates for financial and performance reports, including the DCMP work plan.
  - All pertinent statistical information regarding current cases.
- The decision to approve/deny the extension request will be made by the Deputy Associate Administrator of Office of Response and Recovery at FEMA HQ.

## **H. Requests for Supplemental Funding**

A request for Supplemental Funding may be considered under some circumstances when sufficient justification is submitted.

- Requests for supplemental funding may be requested during the first 12 months of the DCM period of performance, but no later than 90 days before the end of the period of performance.
- Request for supplemental funding must include justification, in detail, of the specific requests
- When submitting a request, financial and performance status reports must be current and current or the request will not be processed.
- The letter requesting additional funding must provide a justification for the request. An extension request must contain the following:
  - Status of ongoing activity;
  - An explanation of why DCMP cases have been not completed, the actions taken to resolve any challenges, why the current funding is not sufficient, and a description of performance measures necessary to complete DCMP;
  - A projected completion date for the DCMP, timeline, and revised closure plan for all open cases; and
  - Status updates for financial and performance reports, including the DCM work plan.
  - All pertinent statistical information regarding current cases.
  - All DCMP reports must be current and up-to-date before an extension will be reviewed for consideration.

- The decision to approve/deny the supplemental funding request will be made by the Associate Administrator of the Office of Response and Recovery at FEMA HQ.

**I. Grant Closeout Reporting Requirements**

Within 90 days after the expiration or termination of the grant, the grantee must submit all financial, performance, and other reports required as a condition of the grant. (44 CFR Part 13.50) The following documents, if not previously provided, should be submitted to FEMA for the Grant Closeout Process:

- Demobilization Plan
- Final Program Report
- Final Financial Report SF-425

**J. Documentation and Auditing**

All grantees and subgrantees are subject to audit by DHS/FEMA program and Office of Inspector General personnel. All records associated with the grant, both electronic and hard copy must be stored for a period of three years from the date of submission of the final expenditure report. (44 CFR Part 13.42) FEMA may initiate administrative action to recover improper payments for up to 3 years after the submission of the Final Audit Closeout Report. 42 U.S.C. 5205.

## **VII. LEGAL CONSIDERATIONS**

### **A. Privacy Act Compliance**

DCM clients may be derived from a list of FEMA applicants for a declared disaster occurring in the provider's general geographic area. FEMA may provide applicants' personally identifiable information (PII) to the State or DCM provider as a "prospect list" under the routine use provision of the Privacy Act of 1974, 5 U.S.C. § 552a(b)(3). FEMA specifically allows for this sharing under routine uses (h)(1) and/or (h)(3) as prescribed in the Disaster Recovery Individual Assistance File System of Records, 74 Fed. Reg. 48765-48766 (September 24, 2009). This information intends to assist in outreach and identification efforts of potential clients. In order to carry out its services, the provider then may utilize its own client database that is separate and apart from FEMA's Individual and Households Assistance Program's National Emergency Management Information System (NEMIS) database. *At no time shall the provider share PII and information related to specific clients with FEMA nor have its IT systems interact with NEMIS.*

### **B. Confidentiality**

Breaches in confidentiality may result in legal actions against the individual case manager, case manager supervisor, and/or the State or agencies sub-granted to conduct DCMP. The importance of client confidentiality extends to all those that service a client's case, including vendors paid to provide goods and services. Case managers will remind vendors that they should maintain client confidentiality when sending vouchers or payments. All paid and volunteer case managers are expected to sign confidentiality statements agreeing to the confidentiality policy of the selected oversight agency.

### **C. Duplication of Benefits**

Disaster survivors are expected to share information on any prior assistance received. To avoid duplication of benefits, as prohibited by section 312 of the Stafford Act (42 U.S.C. 5155), the case manager is responsible for obtaining written authorization from the disaster survivor to permit the release of confidential information under the Privacy Act. The authorization includes only information necessary to enable the agency to determine the client's eligibility for assistance during a declared disaster.

### **D. Authorization**

In accordance with 2 CFR Part 225, Appendix A, Section C.3.c, "any cost allocable to a particular Federal award or cost objective under the principles provided for in this Authority may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons." However, this prohibition would not preclude governmental units from shifting costs that are eligible under two or more awards in accordance with existing program agreements. Non-governmental entities are also subject to this prohibition (2 CFR Parts 220 and 230 and FAR Part 31.2).

### **E. Conflict of Interest**

The State and sub-grantees/contractors must maintain a written code of standards of conduct governing the performance of their employees engaged in the administration of this grant. No employee, officer, or agent of the State or sub-grantee/contractors agency shall participate in selection, or in the award or administration of a grant supported by Federal funds if a real or apparent conflict of interest exists. (44 CFR Part 13.36 (b)(3))

## **F. Intergovernmental Review**

Executive Order 12372 ([www.archives.gov/Federal-register/codification/executive-order/12372.html](http://www.archives.gov/Federal-register/codification/executive-order/12372.html)) requires State and local units of government or other organizations providing services within a State to submit a copy of the application to the State's Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. States should contact their State SPOC to determine if the program has been selected for State review. The names and addresses of the SPOCs are listed on OMB's home page ([www.whitehouse.gov/omb/grants/spoc.html](http://www.whitehouse.gov/omb/grants/spoc.html)).

## **G. Funding Restrictions**

FEMA may only authorize direct costs under the DCMP. OMB Circular A-87/Cost Principles for State, Local, and Indian Tribal Governments, provides for the allowability of costs incurred by States in carrying out their grant awards. OMB Circular A-87 defines direct costs as "those that can be identified specifically with a particular final cost objective." Examples of DCM direct costs include salaries and wages for personnel (e.g., finance director) and the cost of materials acquired specifically for the purpose of the award. For further detail on allowable costs, see Appendix B.

FEMA does not authorize the use of funds for indirect costs. OMB Circular A-87 defines indirect costs as "those: (a) incurred for a common or joint purpose benefiting more than one cost objective, and (b) not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved." Some examples of indirect costs would include general administration of the grantee department or agency; and depreciation on buildings and equipment.

FEMA does not authorize the use of funds for construction, renovation, or purchase of property, including land and real estate. Any non-program related purchases are also not authorized. Prior authorization from FEMA is needed for purchases not described in the Program Guidance.

Grant funds are to be used for the purpose set forth in the DCMP grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds cannot be used to sue the Federal government or any other government entity.

## **H. Non-supplanting Requirement**

Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. States 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.

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

The information submitted in the course of applying for funding under this program or provided in the course of a Grantee's grant management activities is subject to the Freedom of Information Act (FOIA), 5 U.S.C. §552. The FEMA FOIA office will determine the release of information on a case by case basis. The FOIA office will determine if there is an applicable exemption in the Act that would permit the release. The State is encouraged to consult Federal, 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 the

strategic planning process. FEMA will also apply, and the State 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.

#### **J. Nondiscrimination**

All grantees, subgrantees and providers of disaster case management assistance shall abide by the nondiscrimination provisions in section 308 of the Stafford Act. (42 U.S.C. 5131; as well as 44 CFR parts 16 and 19.) The provision of assistance under the DCM program shall be accomplished in an equitable and impartial manner, without discrimination on the grounds of race, color, religion, nationality, sex, age, disability, English proficiency, or economic status.

#### **K. Compliance with Federal civil rights laws and regulations**

The State is required to comply with Federal civil rights laws and regulations. Specifically, the State 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. – Provides that no person on the grounds of race, color, or national origin 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. Title VI also extends protection to persons with Limited English Proficiency (LEP). (42 U.S.C. §2000d et seq.)
- Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §1681 et. seq. – Provides that no person, *on the basis of sex*, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any education program or activity receiving Federal financial assistance.
- Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. §794 – Provides that no otherwise qualified individual with a disability in the United States, shall, *solely* by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or subject to discrimination in any program or activity receiving Federal financial assistance.
- The Age Discrimination Act of 1975, as amended, 20 U.S.C. §6101 et. seq. – Provides that no person in the United States shall, on the basis of age, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance.

The State and its contractors and subgrantees must comply with all regulations, guidelines, and standards adopted under the above statutes. The State may also be required to submit information to the DHS Office for Civil Rights and Civil Liberties concerning its compliance with these laws and their implementing regulations.

- Certifications and Assurances: Certifications and assurances regarding the following apply:
  - Lobbying: 31 U.S.C. §1352, Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions. – Prohibits the use of Federal funds in lobbying members and employees of Congress, as well as employees of Federal agencies, with respect to the award or amendment of any Federal grant, cooperative agreement, contract, or loan. FEMA and DHS have codified restrictions upon lobbying at 44 CFR Part 18 and 6 CFR Part 9. (Refer to form included in application package).
  - Drug-free Workplace Act, as amended, 41 U.S.C. §701 et seq. – Requires the recipient to publish a statement about its drug-free workplace program and give a copy of the statement to each employee (including consultants and temporary personnel) who will be involved in award-supported activities at any site where these activities will be carried



out. In addition, the location(s) where the work is being performed under the award (i.e., street address, city, State, and zip code) must be maintained on file. The recipient must notify the Grants Officer of any employee convicted of a violating a criminal drug statute in the workplace. For additional information, see 44 CFR Part 17.

- Debarment and Suspension: Executive Orders (E.O.) 12549 and 12689 provide protection from fraud, waste, and abuse by debarment or suspending those persons that deal in an irresponsible manner with the Federal government. The recipient must certify that they are not debarred or suspended from receiving Federal assistance. For additional information, see 44 CFR Part 17.
- Federal Debt Status: – The recipient may not be delinquent in the repayment of any Federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments. (OMB Circular A-129 and refer to SF 424, item number 17.)
- Hotel and Motel Fire Safety Act of 1990: In accordance with section 6 of the Hotel and Motel Fire Safety Act of 1990, 15 U.S.C. §2225a, the recipient agrees to ensure that all conference, meeting, convention, or training space funded in whole or in part with Federal funds, complies with the fire prevention and control guidelines of the Federal Fire Prevention and Control Act of 1974, 15 U.S.C. §2225.
- 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 funding from FEMA.  
The State must comply with all regulations, guidelines, and standards adopted under the above statutes.
- FEMA 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:
  - Comprehensive Preparedness Guide (CPG) 101 provides Federal Emergency Management Agency (FEMA) guidance on the fundamentals of planning and developing Emergency Operations Plans (EOP). CPG 101 shows that EOPs are connected to planning efforts in the areas of prevention, protection, response, recovery, and mitigation. Version 2.0 of this Guide expands on these fundamentals and encourages emergency and homeland security managers to engage the whole community in addressing all risks that might affect their jurisdictions.  
[http://www.fema.gov/pdf/about/divisions/npd/CPG\\_101\\_V2.pdf](http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf)
  - 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. <http://www.fema.gov/oer/reference/>
  - 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 ([www.gao.gov/govaud/ybk01.html](http://www.gao.gov/govaud/ybk01.html)) and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations ([www.whitehouse.gov/omb/circulars/a133/a133.html](http://www.whitehouse.gov/omb/circulars/a133/a133.html)).
  - The State 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 subgrantees/contractors 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.

**L. Tribal Consultation**

Executive Order 13175, Consultation and Coordination with Indian Tribal Governments, 65 FR 67249 (Nov. 9, 2000), applies to agency policies and actions that have Tribal implications, that is, those policies and actions that have substantial direct effects on one or more Tribes, on the relationship between the Federal Government and Tribes, or on the distribution of power and responsibilities between the Federal Government and Tribes. To the extent practicable and permitted by law, before issuing any policies or taking actions that have Tribal implications that impose substantial direct compliance costs on Tribal governments, and that are not required by statute, the Federal Government must provide the funds necessary to pay the direct costs incurred by the Tribal government or the Tribe in complying with the regulation, or the agency must consult with Tribal officials.

## VIII. TERMS AND DEFINITIONS

**Access and Functional Needs:** Individuals with access and functional needs, including those with and without disabilities, can be accommodated with actions, services, equipment, accommodations and modifications including physical/architectural, programmatic, and communications modifications. Some individuals with access and functional needs have legal protections including, but not limited to, the right to freedom from discrimination based on race, color, national origin (including limited English proficiency), sex, familial status, age, disability and economic status. Individuals with access and functional needs include: people who have physical, sensory, behavioral and mental health, intellectual and cognitive disabilities, including individuals who live in the community and individuals who are institutionalized, older adults with and without disabilities, individuals who are from diverse cultures, races and nations of origin; individuals who don't read, have limited English proficiency or are non-English speaking, children with and without disabilities and their parents, individuals who are economically or transportation disadvantaged, women who are pregnant, individuals who have chronic medical conditions, those with pharmacological dependency (e.g., a chemical dependency/addiction), other individuals who are often underrepresented or excluded and the social, advocacy and service organizations that serve individuals and communities such as those listed above.

**Accommodations:** ADA accommodations apply equally to survivors and employees, requiring fiscal projections in separate budgets. The ADA also requires accommodations for qualified individuals with disabilities who are employees or applicants for employment, except when such accommodations would cause an undue hardship. In general, an accommodation is any change in the work environment or in the way things are customarily done which enables an individual with a disability to enjoy employment as an equal opportunity experience with all other employees. The duty to provide reasonable accommodation is a fundamental statutory requirement because of the nature of discrimination faced by individuals with disabilities. Specific questions may be addressed to legal advisors.

**Alliance of Information and Referral Systems (AIRS) Taxonomy:** AIRS/211 Taxonomy of Human Services ([www.211taxonomy.org](http://www.211taxonomy.org)) is the system or instrument by which DCM human services terms, definitions and concepts are classified, indexed and ordered for access in a systematic way. In a human service context, taxonomy is a classification system that allows one to index and access community resources based on the services provided and the target populations served. It provides a structure for information and it identifies what is in an information system and how to find it. The Taxonomy sets a standard for defining services and for indexing the wide variety of human services available in communities across North America.

**Assessment Team:** The DCM Assessment Team is a rapid deployment assessment team comprised primarily of FEMA staff, the State /Tribe and other partners. The purpose of the team is to conduct a comprehensive assessment of the State's disaster case management resources available to implement Disaster Case Management while identifying the gaps in service that exist due to the disaster. The DCM Assessment Team will work in daily coordination with FEMA HQ.

**Client:** Commonly used term to describe a disaster survivor enrolled in a Disaster Case Management Program to receive case management services.

**Disaster Case Management (DCM):** Disaster Case Management is a time-limited process that involves a partnership between a case manager and a disaster survivor (also known as a "client") to develop and carry out a Disaster Recovery Plan. This partnership provides the client with a single point of contact to facilitate access to a broad range of resources. The process involves an assessment of the client's verified disaster-

caused unmet needs, development of a goal-oriented plan that outlines the steps necessary to achieve recovery, organization and coordination of information on available resources that match the disaster-caused unmet needs, the monitoring of progress toward reaching the Disaster Recovery Plan goals, and when necessary, client advocacy.

**Disaster Casework:** Disaster casework is an early intervention done on a one to one basis by a disaster caseworker who works collaboratively with the survivor to meet immediate disaster related needs through information and referral, short-term planning and/or referrals to available disaster resources. Disaster Casework is distinct from Disaster Case Management in that disaster caseworkers have short term relationships with disaster survivors; the casework process does not require continuity from the same caseworker; disaster casework is often initiated in the relief phase of disaster response and assessments and interventions typically focus on immediate, urgent and transitional needs.

**Disaster Case Management Program (DCMP) Purpose:** The Disaster Case Management Program, in partnership with the affected State, enables a whole community approach through funding support to voluntary, faith-based and nonprofit organizations. The DCMP promotes: (a) effective delivery of post-disaster case management services, (b) partner integration, (c) provider capacity building, and (d) State level program development. The program provides funding and technical assistance, when requested, to ensure holistic services to disaster survivors.

**Disaster Caused Unmet Needs:** A disaster caused unmet need is an un-resourced item, support, or assistance that has been assessed and verified by representatives from local, State, Tribal, and Federal government and/or voluntary and faith-based organizations as being necessary in order for the survivor to recover from the disaster. Disaster survivor resources may include insurance payments, Federal disaster assistance, State assistance, voluntary agency/faith based assistance and personal resources. Unmet needs may also include basic immediate emergency needs such as food, clothing, shelter or first aid and long-term needs such as financial, physical, emotional or spiritual well-being.

**Disaster Recovery Plan:** A formal, written plan developed to accomplish the recovery goals identified by the client. The plan is developed following a comprehensive disaster-impact assessment conducted by the Disaster Case Manager, in close collaboration with the client. The Disaster Recovery Plan includes specific goals and objectives that link with the client's disaster-caused unmet needs.

**Disaster Relief Fund (DRF):** The DRF provides Federal disaster recovery assistance authorized by the Stafford Act, to State governments and individuals, in the event of a Presidentially declared disaster.

**Federal Coordinating Officer (FCO):** The Federal officer who is appointed to manage Federal resource support activities related to Stafford Act disasters and emergencies. The FCO is responsible for coordinating the timely delivery of Federal disaster assistance resources and programs to the affected State and local governments, individual victims, and the private sector.

**Governor's Authorized Representative (GAR):** Person assigned by the Governor to represent the State with appropriate signing authority.

**Immediate DCM:** IDCM staff will be responsible for providing outreach, initial triage, and case work services. The IDCM services support State, local and non-profit capability for disaster case management, augmenting and building capacity where none exists. IDCM staff may deploy based on the results of the Assessment Team report and concurrence with the FCO, FEMA HQ, and the IABD. Services will begin within 5 days of notification from FEMA that IDCM services are needed. IDCM services may be provided

for up to 90 days with weekly reporting and monthly evaluation of the services required to determine the need to increase or decrease staffing to support on-going case management provided by local voluntary agencies.

If requested and approved, an extension of up to 45 days may be granted.

**Individual Assistance (IA):** The primary mission of IA is to ensure that disaster survivors have timely access to a full range of programs and services to maximize their recovery, through coordination among Federal, State, local and Tribal governments, voluntary agencies and the Private Sector. The Individual Assistance Division includes Mass Care, Housing and Human Services.

**Invitational Travel:** Invitational Travel is authorized official travel for certain individuals not employed by the Federal government, employed intermittently (not Reservists) by the government (i.e., consultants or experts acting in a capacity directly related to official activities of the government), or individuals serving without pay or at \$1 a year. Invitational travel is not to be used for a regular Federal employee traveling on official business or for contract employees when the work is within the scope of their contract.

**Information and Referral (I&R):** I&R is the provision of disaster-related resource information provided to disaster survivors following a disaster to immediate and short-term needs. Immediate needs may include temporary shelter, food, clothing, and medical assistance. I&R also refers to the ongoing process by which case managers facilitate a disaster survivor's access to needed services throughout the DCM life cycle.

**Joint Field Office (JFO):** The JFO is established by FEMA to provide a base of operation for Federal and State agencies involved in response and recovery activities.

**Long-Term Recovery Group (LTRG):** Local or regional organizations that are formed following a disaster, sometimes referred to as Long-Term Recovery Committees or Unmet Needs Committees. LTRGs vary widely in their membership, composition, and function. LTRG members usually include local and/or regional social support agencies and faith-based organizations that through collaboration and cooperation are able to maximize the utilization of limited community resources to assist individuals and families impacted by a disaster.

**Mission Assignment (MA):** An MA is a work order issued by FEMA to another Federal Agency directing completion of a specific task, and citing funding, other managerial controls, and guidance during a Federally declared disaster or emergency.

**Preliminary Damage Assessment (PDA):** The primary purpose for conducting Individual Assistance (IA) Preliminary Disaster Assessments (PDAs) is to identify the impact, type and extent of disaster damage and to determine the impact on individuals while identifying the resources needed to recover. Before FEMA sends out PDA teams, the affected State must first request a joint Federal/State PDA. This generally should occur after the State has done its own assessment and determined that the damage is extensive enough that a Federal declaration could possibly be warranted. In most instances, the local government has already surveyed the affected areas and provided its findings to the State. In other cases, especially a large-scale disaster, the State may request that FEMA participate in the initial assessment as a joint Federal/State PDA.

**Service Providers:** Any entity providing disaster case management services at the local level. These agencies include, but are not limited to, non-profit or voluntary organizations, faith-based and private not for profit organizations that provide disaster case management services to disaster survivors.

**Stafford Act:** The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) (42 U.S.C. § 5189d) was enacted to support Tribal, State, and local governments and their citizens when

disasters overwhelm them. This law establishes a process for requesting and obtaining a Presidential disaster declaration, defines the type and scope of assistance available, and sets the conditions for obtaining that assistance.

**State DCM Grant:** The State DCM Grant is a Federal grant that makes funds available to the State to implement a DCMP, by utilizing contracted service providers/sub-grantees to provide DCM for long-term disaster caused unmet needs. A long term DCMP shall not exceed 24 months from the date of the Individual Assistance declaration. The State DCM Grant application must be submitted within 60 days from the date of declaration. States should complete the application based on the guidance in the FEMA DCMP Guidance document.

**Voluntary Agency Liaison (VAL):** The Voluntary Agency Liaison is a FEMA funded position that provides technical assistance and guidance to Federal, State, Tribal, and local entities, including voluntary agencies and faith-based organizations. VALs help build and expand voluntary agency capabilities to support all phases of a disaster from Preparedness through Recovery.

## APPENDIX A

## A.1: Disaster Case Management Assessment Tool

### Federal Disaster Case Management Program

*State Capacity Assessment Tool*

#### General Information

**Services for the state of** Enter State or Territory  
**In response to** Event Event Name  
**FEMA-DR-** XXXX Format  
**Declaration date** MM/DD/YYYY Format  
**Date of assessment** 7/30/2012  
**Number of days since declaration** #VALUE!  
**Population density** Enter suburban/rural/urban

#### Disaster Impacts

<u>Data Point</u>	<u>Score</u>	<u>Weight</u>	<u>Points</u>
1.) Severity of damage to critical infrastructure	<input type="text"/>	4%	<input type="text" value="0"/>
2.) Severity of damage to housing	<input type="text"/>	5%	<input type="text" value="0"/>
3.) Severity of damage to social services infrastructure	<input type="text"/>	4%	<input type="text" value="0"/>
4.) Loss of emergency services	<input type="text"/>	5%	<input type="text" value="0"/>
5.) Proportion of persons displaced (estimate)	<input type="text"/>	5%	<input type="text" value="0"/>
6.) Proportion of persons in shelter	<input type="text"/>	3%	<input type="text" value="0"/>
7.) Disruption to major industries and sources of employment	<input type="text"/>	4%	<input type="text" value="0"/>
8.) Damage to children and youth services facilities	<input type="text"/>	3%	<input type="text" value="0"/>
9.) Deaths and injuries	<input type="text"/>	2%	<input type="text" value="0"/>
<b>Total Score</b>			<input type="text" value="0"/>



**Disaster Case Management Capacity**

<u>Data Point</u>	<u>Score</u>	<u>Weight</u>	<u>Points</u>
10.) Ability to conduct immediate disaster case managment	<input type="text"/>	10%	<input type="text" value="0"/>
11.) Ability to conduct long-term disaster case management	<input type="text"/>	8%	<input type="text" value="0"/>
12.) Level of community agency activity in disaster recover	<input type="text"/>	6%	<input type="text" value="0"/>
13.) Availability of information referral capacity in impacted com	<input type="text"/>	6%	<input type="text" value="0"/>
14.) Level of immediate needs	<input type="text"/>	4%	<input type="text" value="0"/>
15.) Availability of immediate resources	<input type="text"/>	6%	<input type="text" value="0"/>
16.) Level of long-term needs	<input type="text"/>	4%	<input type="text" value="0"/>
17.) Availability of long-term resources	<input type="text"/>	6%	<input type="text" value="0"/>
<b>Total Score</b>			<input type="text" value="0"/>

**Vulnerability Risks**

<u>Data Point</u>	<u>Score</u>	<u>Weight</u>	<u>Points</u>
18.) Persons at or below federal poverty level, percent	<input type="text"/>	2%	<input type="text" value="0"/>
19.) Persons under 18 years, percent	<input type="text"/>	1%	<input type="text" value="0"/>
20.) Persons 65 years and over, percent	<input type="text"/>	3%	<input type="text" value="0"/>
21.) Persons with disabilities, percent	<input type="text"/>	3%	<input type="text" value="0"/>
22.) Unemployed persons, percent	<input type="text"/>	1%	<input type="text" value="0"/>
23.) Persons with limited English proficiency	<input type="text"/>	3%	<input type="text" value="0"/>
24.) Persons with limited literacy	<input type="text"/>	2%	<input type="text" value="0"/>
<b>Total Score:</b>			<input type="text" value="0"/>

**FEMA Registration Information**

25.) Projected number of IA registrations

26.) Type of disaster

27.) *For tornado, enter 23%; for earthquake enter 61%; for fire enter 14%; for hurricane enter 23%; for severe storm enter 52%; for flooding enter 60%*

28.) Estimated number of FEMA registrations approved for IHP

**Disaster Case Management Services Planning**

**General Information**

Estimated number of disaster case management clients:

Estimated number of disaster case managers required:

Estimated number of disaster case management supervisors required



## Questions and Data Elements

<b>Data Element</b>	<b>Data Source</b>	<b>Weight</b>	<b>Rationale</b>
<b>Question 1.</b> Severity of damage to critical infrastructure	Preliminary damage assessment, State Department of Health, State Department of Emergency Management, Corps of Engineers, Community Relations reports.	4%	Infrastructure includes (but not limited to) power, roads, hospitals, bridges, transportation, critical infrastructure (water, sewage, etc.), grocery and general stores, skilled nursing facilities, intermediate care facilities, group homes. Lack of infrastructure impacts ability to meet basic needs and exacerbates pre-disaster related needs, ability to recover, ability to access resources.
<b>Question 2.</b> Severity of damage to housing	Preliminary damage assessment, FEMA IA Reports	5%	Lack of available housing will create a greater need for resources and services. Persons residing in damaged homes may be at an increased risk of health complications.
<b>Question 3.</b> Severity of damage to social services infrastructure	Preliminary damage assessment, State Department of Health, State Department of Human Services, State Department of Emergency Management, Community Relations reports.	4%	Lack of access to human services agencies and services including income assistance; unemployment assistance; other support systems such as food stamps; child care facilities and early childhood programs; child welfare; mental health services; senior services such as Meals on Wheels; and other agencies that could potentially provide disaster case management. Loss of access to agencies and services limits capacity of individuals to recover.

<p><b>Question 4.</b> Loss of emergency services</p>	<p>Preliminary damage assessment, State Department of Health, State Department of Human Services, State Department of Emergency Management, Community Relations reports.</p>	<p>4%</p>	<p>Emergency services such as fire, emergency medical services, law enforcement, emergency management. Loss of services impacts health, safety and security of the community.</p>
<p><b>Question 5.</b> Proportion of persons displaced (estimate)</p>	<p>Preliminary damage assessment (major and destroyed homes), External Affairs reports, State and local emergency management, (HOMES database, if implemented)</p>	<p>6%</p>	<p>Persons who are displaced may lack access to services, normal support systems, creates instability and increases vulnerability. May have increased levels of stress, mental health needs. Potentially increases need for reunification services.</p>
<p><b>Question 6.</b> Proportion of persons in shelters</p>	<p>American Red Cross, State Emergency Management, Preliminary Damage Assessment, Community Relations reports.</p>	<p>3%</p>	<p>Persons who are in shelters may lack access to services, normal support systems, creates instability and increases vulnerability. May have increased levels of stress, mental health needs. Potentially increases need for reunification services</p>
<p><b>Question 7.</b> Disruption to major industries and sources of employment</p>	<p>Department of Labor, Chamber of Commerce, State Departments of Community Development, emergency management, community relations, State Department of Vocational Rehabilitation.</p>	<p>4%</p>	<p>Disruption to employment leads to unemployment, loss of resources for recovery, loss of geographic mobility, increased mental health needs, increase in domestic violence, loss of tax revenue for community to assist with recovery.</p>
<p><b>Question 8.</b> Damage to children and youth facilities</p>	<p>State Department of Education, State Department of Human Services, State Department of Health, ACF Regional Office</p>	<p>3%</p>	<p>Includes schools, child care facilities, Head Start and Early Head Start, Early Start programs, after school programs, pre-schools, recreational facilities. Loss of these facilities impairs a</p>

			community's ability to recover, increases mental health needs, and need for advocacy. Potential impact on parent/caregiver employment and child's well-being.
<b>Question 9.</b> Deaths and injuries	State Reports, State Emergency Management	2%	The number of deaths and injuries impacts the need for crisis counseling, increases levels of stress and mental health issues and can lengthen recovery time for disaster survivors.
<b>Question 10.</b> Ability to conduct immediate disaster case management	Local voluntary agencies, National VOAD, State Department of Emergency Management, long-term recovery groups, State Department of Human Services, United Way, FEMA IA VAL	10%	Immediate is defined as a period up to 90 days following an Individual Assistance declaration. Capacity is defined as ability of a State to meet disaster caused unmet needs and assist citizens in recovering. This includes personnel with ability to provide case management, information referral system, database for tracking clients, availability of state and local general revenue funds to support disaster case management. The State's capacity to provide long-term disaster case management will determine the level of the need (if any) for Federal State Grant Funding. Important consideration includes previous experience with disaster case management.

<p><b>Question 11.</b> Ability to conduct long-term disaster case management</p>	<p>Local voluntary agencies, National VOAD, State Department of Emergency Management, long-term recovery groups, State Department of Human Services, United Way, FEMA IA VAL, FEMA Community Relations, Regional Disability Integration Advisor</p>	<p>8%</p>	<p>Long-term is defined as a period up to 24 months following an Individual Assistance declaration. Capacity is defined as ability of a State to meet disaster caused unmet needs and assist citizens in recovering. Important consideration includes previous experience with disaster case management.</p>
<p><b>Question 12.</b> Level of community agency activity in disaster recovery</p>	<p>Local voluntary agencies, National VOAD, State Department of Emergency Management, long-term recovery groups, State Department of Human Services, United Way, FEMA IA VAL, FEMA Community Relation, Regional Disability Integration Advisor</p>	<p>6%</p>	<p>Active community agency involvement in disaster recovery diminishes the need for external support and Federal disaster case management.</p>
<p><b>Question 13.</b> Availability of information referral capacity in impacted communities</p>	<p>State, United Way, FEMA IA VAL, long term recovery group, local voluntary agencies, National VOAD</p>	<p>6%</p>	<p>Disaster survivors and case managers without access to information and referral services may have a limited ability to identify resources to aid in the recovery process.</p>
<p><b>Question 14.</b> Level of immediate needs</p>	<p>State, United Way, FEMA IA VAL, long term recovery group, local voluntary agencies, National VOAD</p>	<p>4%</p>	<p>Identifying level of disaster caused immediate unmet needs. Examples include food, clothing, short-term housing, medical care, durable medical equipment. For a comprehensive list, see unmet needs tab.</p>

<p><b>Question 15.</b> Availability of immediate resources</p>	<p>State, United Way, FEMA IA VAL, long term recovery group, local voluntary agencies, National VOAD</p>	<p>6%</p>	<p>Identifying level of resources to match disaster caused unmet needs. Examples include food, clothing, short-term housing, medical care, durable medical equipment. For a comprehensive list, see unmet needs tab.</p>
<p><b>Question 16.</b> Level of long-term needs</p>	<p>State, United Way, FEMA IA VAL, long term recovery group, local voluntary agencies, National VOAD</p>	<p>4%</p>	<p>Identifying level of disaster caused long-term unmet needs. Examples include long-term housing, repair and rebuild of housing, employment, child care. For a comprehensive list, see unmet needs tab.</p>
<p><b>Question 17.</b> Availability of long-term resources</p>	<p>State, United Way, FEMA IA VAL, long term recovery group, local voluntary agencies, National VOAD</p>	<p>6%</p>	<p>Identifying level of resources to match disaster caused unmet needs. Examples include long-term housing, repair and rebuild of housing, employment, child care. For a comprehensive list, see unmet needs tab.</p>



<p><b>Question 18.</b> Persons at or below federal poverty level, percent</p>	<p>Census data. <a href="http://www.census.gov">www.census.gov</a>. Select QUICK FACTS, State and County.</p>	<p>2%</p>	<p>Poverty rates are correlated with an individual / household's ability to negotiate the recovery process and access resources.</p>
<p><b>Question 19.</b> Persons under 18 years, percent</p>	<p>Census data. <a href="http://www.census.gov">www.census.gov</a>. Select QUICK FACTS, State and County</p>	<p>1%</p>	<p>Persons under age 18 have a higher dependency on support systems. Households with children and youth have a higher need for assistance with recovering from a disaster (e.g. child care resources and other services to help children recover).</p>
<p><b>Question 20.</b> Persons 65 years and over, percent</p>	<p>Census data. <a href="http://www.census.gov">www.census.gov</a>. Select QUICK FACTS, State and County.</p>	<p>3%</p>	<p>Elderly and aging populations may have limited income, lower mobility, higher incidence of multiple disabilities and healthcare needs, greater reliance on support systems.</p>
<p><b>Question 21.</b> Persons with disabilities, percent</p>	<p>Census data. <a href="http://www.census.gov">www.census.gov</a>. Select QUICK FACTS, State and County.</p>	<p>3%</p>	<p>Persons with disabilities may have had their independence compromised/loss of support systems or communication systems as a result of the disaster (e.g. loss of durable medical equipment, loss of access to personal care attendants, loss of assistive technology devices).</p>
<p><b>Question 22.</b> Unemployed persons, percent</p>	<p>Bureau of Labor Statistics. <a href="http://www.bls.gov/bls/unemployment.htm">http://www.bls.gov/bls/unemployment.htm</a>.</p>	<p>1%</p>	<p>Unemployed persons will have special challenges in recovering due to limited incomes and financial resources.</p>
<p><b>Question 23.</b> Persons with limited English proficiency</p>	<p>Census data. <a href="http://www.census.gov">Www.census.gov</a>.</p>	<p>3%</p>	<p>Persons with limited English proficiency may have difficulty in accessing information, comprehending information and</p>

			communicating.
<b>Question 24.</b> Persons with limited literacy	National Center for Education Statistics. <a href="http://nces.ed.gov">http://nces.ed.gov</a> . Select data and tools, National Assessment of Adult Literacy, State and County Facts.	2%	Persons with limited literacy may have difficulty in accessing information, comprehending information and communicating.
<b>Question 25.</b> Number of Individual Assistance (IA) Registrations	State IA Branch Director, VAL, FEMA Data Warehouse	No Weighting	The number of IA Registrations is due to estimate the number of potential disaster case management clients. Question does not directly impact the score.
<b>Question 26.</b> Type of disaster.	IA Declaration, FEMA IA Branch Director, FEMA VAL	No Weighting	The type of disaster can be a predictor of the number of IA Valid Registrations. Question does not directly impact the score.
<b>Question 27.</b>	IA Declaration, FEMA IA Branch Director, FEMA VAL	No Weighting	Refer to Question 26 to determine the disaster type and enter the corresponding percentage. For tornado, enter 23%; for earthquake enter 61%; for fire enter 14%; for hurricane enter 23%; for severe storm enter 52%; for flooding enter 60%.
<b>Question 28.</b> Estimated number of FEMA registrations approved for IHP.	Auto-Populated	No Weighting	Question is auto calculated (Question 26 x Question 27). Using historical data, the number is the estimated number of valid FEMA registrations approved for IHP.

	<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
Persons at or below federal poverty level, percent	The poverty rate in the impacted area is greater than 2 percentage points below the national average	The poverty rate in the impacted area is 1 - 2 percentage points below the national average	The poverty rate in the impacted area is within 2 percentage points of the national average	The poverty rate in the impacted area is 1 - 2 percentage points higher of the national average	The poverty rate in the impacted area is greater than 2 percentage points higher than the national average
Persons under 18 years, percent	The percent of children in the impacted area is greater than 2 percentage points below the national average	The percent of children in the impacted area is 1 - 2 percentage points below the national average	The percent of children in the impacted area is within 2 percentage points of the national average	The percent of children in the impacted area is 1 - 2 percentage points higher of the national average	The percent of children in the impacted area is greater than 2 percentage points higher than the national average
Persons 65 years and over, percent	The percent of persons over 65 years of age in the impacted area is greater than 2 percentage points below the national average	The percent of persons over 65 years of age in the impacted area is 1 - 2 percentage points below the national average	The percent of persons over 65 years of age percent of children in the impacted area is within 2 percentage points of the national average	The percent of persons over 65 years of age in the impacted area is 1 - 2 percentage points higher of the national average	The percent of persons over 65 years of age in the impacted area is greater than 2 percentage points higher than the national average
Persons with disabilities, percent	The percent of with a disability in the impacted area is greater than 2 percentage points below the national average	The percent of with a disability in the impacted area is 1 - 2 percentage points below the national average	The percent persons with a disability in the impacted area is within 2 percentage points of the national average	The percent persons with a disability in the impacted area is 1 - 2 percentage points higher of the national average	The percent persons with a disability in the impacted area is greater than 2 percentage points higher than the national average

Unemployed persons, percent	The percent of unemployed (pre-disaster) in the impacted area is greater than 2 percentage points below the national average	The percent of unemployed (pre-disaster) in the impacted area is 1 - 2 percentage points below the national average	The percent of unemployed (pre-disaster) in the impacted area is within 2 percentage points of the national average	The percent of unemployed (pre-disaster) in the impacted area is 1 - 2 percentage points higher of the national average	The percent of unemployed (pre-disaster) in the impacted area is greater than 2 percentage points higher than the national average
Persons with limited English proficiency	The percent of persons with limited English proficiency in the impacted area is greater than 2 percentage points below the national average	The percent of persons with limited English proficiency in the impacted area is 1 - 2 percentage points below the national average	The percent of persons with limited English proficiency in the impacted area is within 2 percentage points of the national average	The percent of persons with limited English proficiency in the impacted area is 1 - 2 percentage points higher of the national average	The percent of persons with limited English proficiency in the impacted area is greater than 2 percentage points higher than the national average
Persons with limited literacy	The percent of persons with limited literacy in the impacted area is greater than 2 percentage points below the national average	The percent of persons with limited literacy in the impacted area is 1 - 2 percentage points below the national average	The percent of persons with limited literacy in the impacted area is within 2 percentage points of the national average	The percent of persons with limited literacy in the impacted area is 1 - 2 percentage points higher of the national average	The percent of persons with limited literacy in the impacted area is greater than 2 percentage points higher than the national average
Severity of damage to critical infrastructure	None	Affected - some damage, no significant impacts	Minor - moderate level of damage, some disruption	Major - substantial level of damage with major disruption	Destroyed - catastrophic damage with total disruption
Severity of damage to housing	None	Affected - some damage, still habitable	Minor - damaged and uninhabitable, can be repaired	Major - substantial structural damage to major elements such as foundation,	Destroyed - total loss of structures, not economically feasible to repair, total loss

				may be uninhabitable for up to 30 days	
Severity of damage to social services infrastructure	None	Affected - some damage, no significant impacts	Minor - moderate level of damage, some disruption	Major - substantial level of damage with major disruption	Destroyed - catastrophic damage with total disruption
Loss of emergency services	None	Affected - some damage, no significant impacts	Minor - moderate level of damage, some disruption	Major - substantial level of damage with major disruption	Destroyed - catastrophic damage with total disruption
Proportion of persons displaced (estimate)	None	1-5%	6-10%	11-14%	15% and greater
Proportion of persons in shelters	None	1-4%	5-6%	7-9%	10% and greater
Disruption to major industries and sources of employment	None	Affected - some damage, no significant impacts	Minor - moderate level of damage, some disruption	Major - substantial level of damage with major disruption	Destroyed - catastrophic damage with total disruption
Damage to children and youth facilities	None	Affected - some damage, no significant impacts	Minor - moderate level of damage, some disruption	Major - substantial level of damage with major disruption	Destroyed - catastrophic damage with total disruption
Deaths and injuries	None	Few deaths and injuries relative to the community	N/A	N/A	High number of deaths and injuries relative to the community
Ability to conduct immediate disaster case management	Significant DCM Service infrastructure and coordination. State has been heavily involved in DCM	Ability to mobilize DCM Services to communities hardest hit by disaster. State has made some efforts	Scattered infrastructure and beginning to prepare for DCM Services	State has minimal experience in DCM services and preparedness	None

	preparedness	to prepare for DCM.			
Ability to conduct long-term disaster case management	Significant DCM Service infrastructure and coordination. State has been heavily involved in DCM preparedness	Ability to mobilize DCM Services to communities hardest hit by disaster. State has made some efforts to prepare for DCM.	Scattered infrastructure and beginning to prepare for DCM Services	State has minimal experience in DCM services and preparedness	None
Level of community agency activity in disaster recovery	Significant number community agencies have the ability to respond to disaster caused unmet needs in all affected communities.	Community agencies are coordinated and capable of meeting the needs of most communities affected by the disaster.	Community agencies are coordinated but have minimal ability to respond and mobilize to effected communities	Community agencies have some ability but are not coordinated and/or have limited experience in responding to effected communities.	None
Availability of information referral capacity in impacted communities	All impacted areas covered by an information and referral system	Majority of effected communities covered by information and referral system	Some communities covered by information and referral services	Minimal information and referral services and/or coordination.	None
Level of immediate needs	Low level of or no immediate disaster caused unmet needs. Small proportion of the population affected.	Limited level of immediate disaster caused unmet needs.	Moderate level of immediate disaster caused unmet needs.	High level of immediate disaster caused unmet needs.	Extreme level of immediate disaster caused unmet needs. Substantial proportion of the population impacted

Availability of immediate resources	Resources are sufficient to meet all disaster caused unmet needs.	Numerous resources are in place to match unmet needs.	Moderate levels of resources are available to match unmet needs.	Limited level of resources available to match unmet needs.	Few - if any - resources are available to match unmet needs.
Level of long-term needs	Low level of or no long-term disaster caused unmet needs. Small proportion of the population affected.	Limited level of long-term disaster caused unmet needs.	Moderate level of long-term disaster caused unmet needs.	High level of long-term disaster caused unmet needs.	Extreme level of long-term disaster caused unmet needs. Substantial proportion of the population impacted
Availability of long-term resources	Resources are sufficient to meet all disaster caused unmet needs.	Numerous resources are in place to match unmet needs.	Moderate levels of resources are available to match unmet needs.	Limited level of resources available to match unmet needs.	Few - if any - resources are available to match unmet needs.

County: \_\_\_\_\_ Person Interviewed: \_\_\_\_\_

Position: \_\_\_\_\_

**Disaster Case Work:** a short-term recovery process by which multiple disaster relief organizations work directly with an individual or family to identify initial and transitional disaster-related needs to provide early intervention, advocacy, guidance and immediate assistance. Disaster Casework is distinct from Disaster Case Management in that disaster caseworkers have short term relationships with disaster survivors; the casework process does not require continuity of care from the same caseworker; disaster casework is often initiated in the relief phase of disaster response and assessments and interventions typically focus on immediate, urgent and transitional needs.

**Disaster Case Management (DCM):** a time-limited process that involves a partnership between a case manager and a disaster survivor (also known as a “client”) to develop and carry out a Disaster Recovery Plan. This partnership provides the client with a single point of contact to facilitate access to a broad range of resources. The process involves an assessment of the client’s verified disaster caused unmet needs, development of a goal-oriented plan that outlines the steps necessary to achieve recovery, organization and coordination of information on available resources that match the disaster caused unmet needs and the monitoring of progress toward reaching the recovery plan goals, and, when necessary, client advocacy.

	0	1	2	3	4
What is the county’s current ability to conduct disaster case work for 90 days?	Significant DCM service infrastructure and coordination. Disaster case management already in place and/or there is no identified need for DCM.	The county has the ability to implement DCM services or the county is in the process of implementing DCM services to the areas hardest hit by disaster.	A limited number of agencies may be involved in providing DCM. No coordination of DCM services.	Agencies do not have the capacity to meet the level of needs. Disaster survivor needs are not being met by services.	There is a demonstrated need for disaster case management, however there is no capacity to provide the needed services.
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Provide additional comments and available data to justify response:

What agencies have been conducting case work in your community? Are there still organizations active that survivors could go to if they have case work needs?



	0	1	2	3	4
What is the area's current ability to conduct long-term disaster case management 3 – 24 months post-disaster?	Significant DCM service infrastructure and coordination. Disaster case management already in place and/or there is no identified need for DCM.	The county has the ability to implement DCM services or the county is in the process of implementing DCM services to the areas hardest hit by disaster.	A limited number of agencies may be involved in providing DCM. No coordination of DCM services.	Agencies do not have the capacity to meet the level of needs. Disaster survivor needs are not being met by services.	There is a demonstrated need for disaster case management, however there is no capacity to provide the needed services.
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Provide additional comments and available data to justify response:

Does the community have historical experience in conducting Disaster Case Management? Any Disaster Case Management infrastructure in place? Any preparedness activities for Disaster Case Management? Is there access to personnel to serve as Disaster Case Managers?

	0	1	2	3	4
What is the current local level of community / voluntary organization involvement in disaster recovery?	Organizations are coordinated and meeting the disaster caused unmet needs.	Organizations are coordinated and capable of meeting the needs of most communities affected by the disaster.	Organizations are coordinated but have minimal ability to respond and mobilize to affected communities	Organizations have some ability but are not coordinated and/or have limited experience in responding to affected communities.	There is a demonstrated need for community / voluntary agency involvement. However there is no capacity to provide the needed services.
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Provide additional comments and available data to justify response:

What agencies are active in disaster recovery? What is the level of cooperation and coordination among these organizations? Are they meeting identified needs to date? Has the community established a Long Term Recovery Group for this disaster? How many meetings have they had? What is the structure of the group? Do they have a plan to organize a Long Term Recovery Group?

	0	1	2	3	4
What is the current availability and capacity to provide information referral capacity in impacted communities? (i.e. 2-1-1)	All impacted areas covered by a robust information and referral system	Majority of affected communities are supported by information and referral system	Some affected communities supported by information and referral services	Minimal information and referral services and/or coordination.	None
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Provide additional comments and available data to justify response:

What is the primary Information and Referral organizations in your community? Are you referring Clients to this organization? What other organizations are conducting Information and Referral, if any? How effective is the Information and Referral in your community?

	0	1	2	3	4
What is the prevalence of immediate disaster-caused unmet needs?	No immediate disaster caused needs.	Low (10% of population) level of immediate disaster caused unmet needs.	Moderate (20% of population) level of immediate disaster caused unmet needs.	High (30% of population) level of immediate disaster caused unmet needs.	Extreme (40% of population) level / severity of immediate disaster caused unmet needs. Substantial proportion of the population impacted
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Provide additional comments and available data to justify response:

How many immediate disaster-caused unmet needs have you seen? Cumulative? Daily over the last week? Can the community meet these needs? Is the demand stressing the community organizations' capacity? How much (low, medium, high)? What has the community done to identify Clients with unmet needs?

	0	1	2	3	4
What is the current availability of resources to meet immediate needs?	Resources are sufficient to meet all disaster caused unmet needs.	Numerous resources are in place to match unmet needs.	Moderate level of resources are available to match unmet needs.	Limited level of resources available to match unmet needs.	Few - if any - resources are available to match unmet needs.
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Provide additional comments and available data to justify response:  
 What resources are available now to meet immediate needs?

	0	1	2	3	4
What is the anticipated level of long-term needs?	No immediate disaster caused needs.	Low (10% of population) level of long-term disaster caused unmet needs.	Moderate (20% of population) level of long-term disaster caused unmet needs.	High (30% of population) level of long-term disaster caused unmet needs.	Extreme (40% of population) level / severity of long-term disaster caused unmet needs. Substantial proportion of the population impacted
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Provide additional comments and available data to justify response:

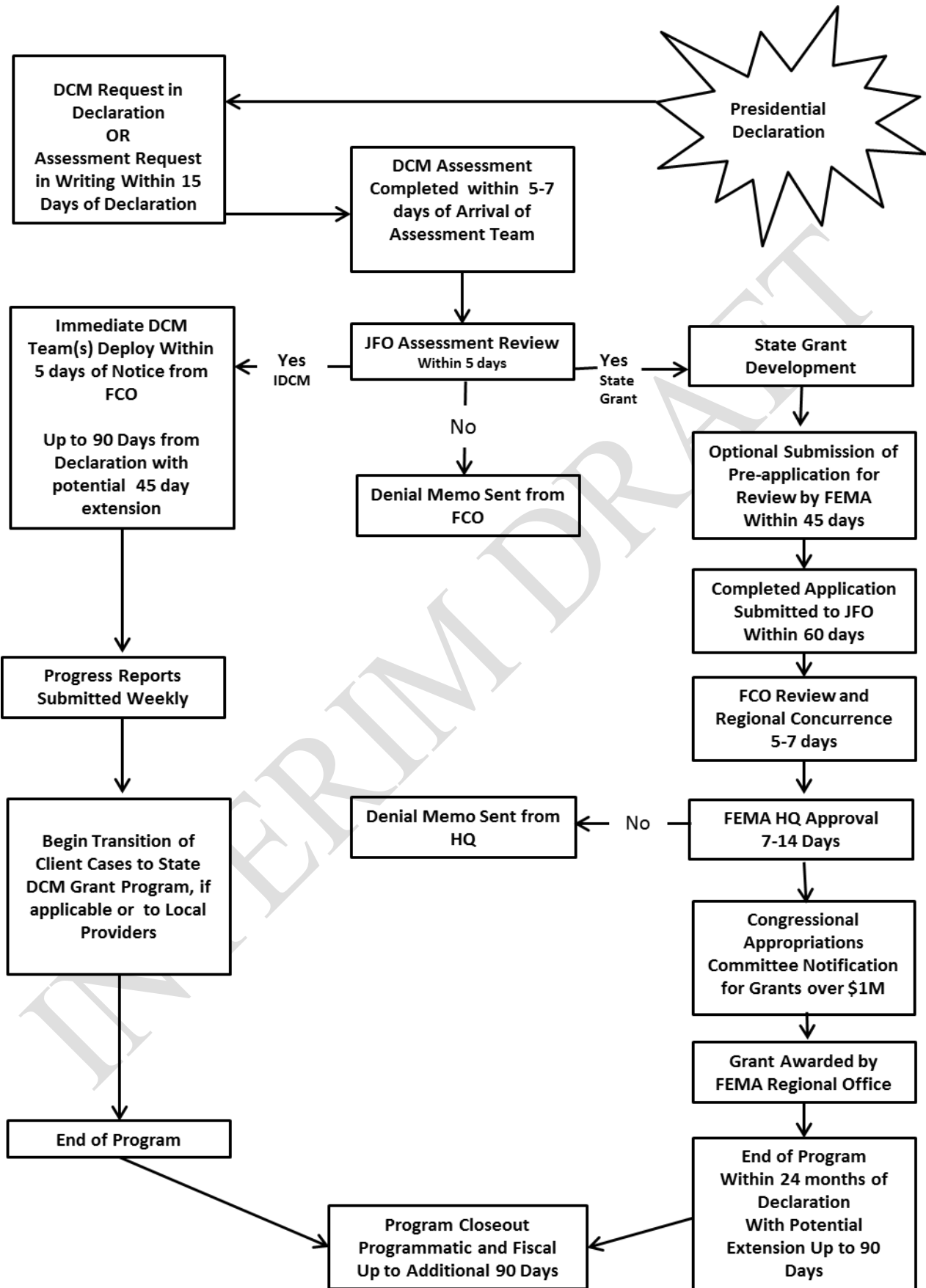
How many long-term needs (rebuilding, home repair, disaster-caused social service needs, employment issues, complex needs) have you seen? Cumulative? Daily over the last week? Can the community meet these needs? Is this demand stressing the organizations' capacity? How much (low, medium, high)?

	0	1	2	3	4
What is the anticipated availability of long-term resources?	Resources are sufficient to meet all disaster caused unmet needs.	Numerous resources are in place to match unmet needs.	Moderate level of resources are available to match unmet needs.	Limited level of resources available to match unmet needs.	Few - if any - resources are available to match unmet needs.
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Provide additional comments and available data to justify response:

Have any resources been set aside for long-term needs? Is there a plan to get additional long-term recovery resources?

INTERIM DRAFT



## A.2: Estimating Staffing Needs

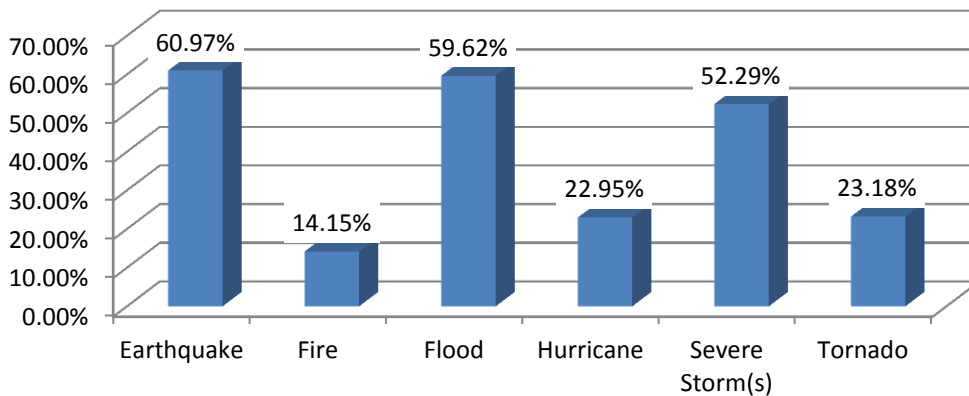
### Determining the number of Disaster case managers needed

#### NPSC DATA:

A total of 2,710,728 valid registrations were taken from January 1, 2007 to December 31, 2011. Of these registrations, over 95% were from Hurricanes or Severe Storms. The following data analyzes Individual and Housing Program (IHP) eligibility by disaster type over this five-year period. While there is no specific FEMA 'National Average' eligibility rate because disasters across multiple years can change the averages, and disaster anomalies can also fluctuate the normal percentages, this analysis provides eligibility rates for the time period above which includes data for all disaster types.

Figure below provides the percentage of valid registrations eligible for any type of FEMA Individuals and Households assistance. Eligible determinations include all those who either received Housing Assistance or Other Needs Assistance money or who received a FEMA temporary housing unit.

IHP Eligibility by Disaster Type:



The following demonstrates a formula determining the number of DCM case managers needed:

Assumption 1: 10,000 FEMA registrations

Assumption 2: 5% of the approved registrations will request DCM services\*

Assumption 3: DCM case managers will have up to 35 active cases each at any one time.

Based on these assumptions the formula(s) might work as follows:

**Earthquake** -  $10,000 \times .61 = 6100 \times .05 = 305/35 = 8.7$  or 9 disaster case managers

**Fire** -  $10,000 \times .14 = 1400 \times .05 = 70/35 = 2$  disaster case managers

**Flood** -  $10,000 \times .60 = 6000 \times .05 = 300/35 = 8.5$  or 9 disaster case managers, etc.

Using these formulas based on the disaster type allows for the case managers to be scaled according to the disaster type rather than using the overall average of 35% approval rate for all disasters combined.

**Program Level Staffing** – The numbers of some DCM positions are determined by a position to case manager ratio.

**Step 1:** Determine the Estimated DCM Client Population by taking the estimated number of FEMA registrants obtained from the FEMA Preliminary Damage Assessment

**Step 2:** Multiply Estimated DCM Client Population by the percentage of approved registrations for the current disaster type. Refer to chart (Page 51) to determine disaster type and percentage of approvals.

**Step 3:** Multiply sum by .05\* to equal the estimated number of cases for the State DCM Grant Program. Divide this number by 35 (total number of cases/disaster case manager) to total the estimated number of Disaster Case Managers needed.

**Step 4:** Round the estimated number of DCM Case Managers positions to the nearest whole number. The Program Manager and Finance Manager positions are not subject to the ratios but remain consistent per sub-grantee.

EXAMPLE	Step 1	Step 2	Step 3	Step 3
Program Level Staffing	Estimated Number of FEMA Registrants for flood event	Multiply Estimated DCM Client Population by the percentage of approved registrations for the current disaster type. Refer to chart (Page 55) to determine disaster type and percentage of approvals.	Multiply sum by .05* to equal the estimated number of cases for the State DCM Grant Program. Divide this number by 35 (total number of cases/disaster case manager) to total the estimated number of Disaster Case Managers needed.	Round the estimated number of DCM Case Managers positions to the nearest whole number.
Case Managers	10,000	$10,000 \times .6 = 6000$	$6000 \times .05 = 300/35 = 8.5$	9

**State Agency Staffing (Program Oversight Level)** – The State may be provided funding for three DCM positions: one Program Director, one Finance Director, and one Administrative Support. These positions will provide oversight to the grant program.

**Management Level Staffing (Program Implementation Level)** – If a management agency is used, consistent funding may be provided for one Program Manager, one Monitoring/Data Manager, and one Administrative Assistant position. For disasters with a large repair/rebuild component, the State may need to hire a Construction Cost Analyst to review and validate contractor repair and rebuild estimates. The Construction Cost Analyst (CCA) \*\* ratio is determined by the CCA to the number of Disaster Case Manager (1 to 30).

**Provider Level Staffing (Program Implementation Level)** – If a sub-grantee is used, consistent funding may be provided for one Program Manager and one Finance Manager position. Other positions will be funded in accordance with the position to case manager ratio.

\*This is evidence based from the DCM Pilot Programs in LA, MS and TX.

\*\* The Construction Cost Analyst position may be in the Provider Budget if a Management Agency is not used.

## APPENDIX B



## B.1 Budget Preparation

**This section includes documents that provide guidance for requesting grant funding for the Federal Emergency Management Agency (FEMA) Disaster Case Management Program.**

- 1. Instructions for Budget Narrative** – Provides detailed instructions on what information is required for each budget sub-category line item for the budget narrative. A budget narrative must be submitted along with the Application Packet.
- 2. Eligible Costs vs. Ineligible Costs** – Lists a description of eligible costs and unallowable costs for the DCMP in accordance with Federal policies and guidelines.
- 3. Sample Budget Templates** – Examples of the following budget templates are included in this section:
  - **Grantee/Management Agency Sample Budget Template** (The grantee may choose to manage the DCMP or contract with another agency to manage the program).
  - **Consolidated Sample Budget Template** (Refer to Budget Section of the DCMP Guidance document or the Application Packet for further instructions on budget submission requirements).
- 4. Standard Form 424a** – is an OMB approved budget form. Double click anywhere in the Standard Form 424a to view instructions on completing the form. The form must be filled out and submitted with the DCMP Application Packet.

## B.2: Instructions for Budget Narrative

Budget Category	Instructions
<b>Personnel</b>	<ul style="list-style-type: none"> <li>▪ List each position type and all relevant details, including the corresponding number of FTEs, hours, weeks, rates of pay, and total cost.</li> <li>▪ Indicate how rates of pay were determined. List sources used to make such determinations (e.g., U.S. Department of Labor).</li> <li>▪ If rates differ from usual and customary rates for comparable positions in the local area, provide justification why pay rates differ.</li> </ul>
<b>Fringe Benefits</b>	<ul style="list-style-type: none"> <li>▪ Provide State’s negotiated fringe rate according to State law.</li> <li>▪ List individual items that constitute the fringe benefit package.</li> <li>▪ If the fringe rate is not comparable to the usual and customary rate for the local area, provide justification why.</li> </ul>
<b>Travel</b>	<ul style="list-style-type: none"> <li>▪ Provide the following list of travel expenses for program staff: number of estimated miles per week, number of weeks, and established State mileage rate.</li> <li>▪ Consultant or trainer travel costs must be included in the consultants/trainers sub-category as part of the daily rate approved by FEMA.</li> </ul>
<b>Equipment</b>	<ul style="list-style-type: none"> <li>▪ Itemize equipment and provide justification for equipment costs.</li> <li>▪ Expenses less than \$5,000 (e.g., mobile phones or computers) must be included in the supplies category.</li> </ul> <p>Note: This line item is reserved for individual equipment purchases exceeding \$5,000.</p>
<b>Supplies</b>	<ul style="list-style-type: none"> <li>▪ Itemize all supplies not normally stocked in a typical business office</li> <li>▪ Include a justification for each item.</li> </ul>
<b>Contractual</b>	<ul style="list-style-type: none"> <li>▪ Itemize all costs by identifying person, role, daily rate, and number of days.</li> <li>▪ Identify the types of services being provided.</li> </ul> <p>Note: Ensure all compensation complies with FEMA policy and established rates of pay.</p>
<b>Construction</b>	<ul style="list-style-type: none"> <li>▪ Unallowable Expense</li> </ul>
<b>Other</b>	<ul style="list-style-type: none"> <li>▪ List all other costs and provide justification for each cost.</li> </ul> <p>Note: Make certain that all Other costs listed are directly related to the DCM Program.</p>

<b>Allowable Costs Vs. Unallowable Costs</b>		
<b>Budget Category</b>	<b>Allowable Expenses</b>	<b>Unallowable Expenses</b>
<b>Personnel</b>	<p><i>Salaries and wages for typical DCM Positions:</i></p> <p><u>State:</u></p> <ul style="list-style-type: none"> <li>·Program Director</li> <li>·Finance Director</li> <li>Administrative Assistant</li> </ul> <p><u>Management Level:</u></p> <ul style="list-style-type: none"> <li>·Program Manager</li> <li>·Monitoring/Data Management</li> <li>·Construction Cost Analyst</li> <li>·Administrative Assistant</li> </ul> <p><u>Provider Level:</u></p> <ul style="list-style-type: none"> <li>·Program Manager</li> <li>·Finance Manager</li> <li>·Case Management Supervisor</li> <li>·Case Manager</li> <li>·Construction Cost Analyst</li> <li>·Data Entry Specialist</li> <li>·Administrative Assistant</li> </ul>	
<b>Fringe Benefits</b>	Fringe benefits are allowable at the rate allowable by State law. Fringe benefits are for the personnel listed in the budget and only for the percentage of time devoted to the project.	Fringe benefit costs above the customary fringe benefit rate <b>for temporary State and local provider staff.</b>
<b>Travel</b>	<ul style="list-style-type: none"> <li>·Mileage reimbursement for Case Managers for travel to and from location of disaster survivors</li> <li>·Attend on-going case management trainings</li> <li>·All travel costs must be in accordance with State travel policy guidelines</li> </ul>	<ul style="list-style-type: none"> <li>·Providing transportation for survivors</li> <li>·Rental or leasing of vehicles</li> </ul>
<b>Budget Category</b>	<b>Allowable Expenses</b>	<b>Unallowable Expenses</b>
<b>Equipment</b>	<ul style="list-style-type: none"> <li>· Equipment means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of the capitalization level established by the governmental unit for financial statement purposes, or \$5000.</li> </ul> <p><b>·Pre-Approval for equipment is required by FEMA</b></p>	
<b>Contractual</b>	For contracted consultants, the maximum FEMA reimbursement rate is \$750 per day, which includes equipment, supplies, lodging, and travel costs.	All consultant costs must be included as part of the daily <b>rate of \$750.</b>

<b>Supplies</b>	<ul style="list-style-type: none"> <li>·Supplies include any materials that are expendable or consumed during the course of the project</li> <li>·Supply items must be less than \$5000</li> <li>·Justification is required for each item</li> </ul>	<ul style="list-style-type: none"> <li>·Refreshments for meetings and trainings</li> <li>·Video and recording devices, televisions <b>and other types of video production</b> equipment</li> </ul>
<b>Other</b>	<p>The budget may identify costs that are unique to the declared disaster area but do not fall into one of the budget sub-categories</p> <p>Note: Costs must not be identified as miscellaneous (i.e., they must be described in detail).</p>	<ul style="list-style-type: none"> <li>·Transportation for survivors</li> <li>·Direct financial assistance for survivors</li> </ul>

**CATEGORIES TYPICALLY LISTED AS "OTHER"**

<b>Other: Telephone and Utilities</b>	Telephone and utility costs directly billed to the DCM program	Telephone and utility charges not directly related to the DCM program.
<b>Other:</b>	<ul style="list-style-type: none"> <li>· Advertising costs associated with the recruitment of personnel required for the DCM program</li> <li>·Background Checks for Case Managers</li> <li>·FEMA will pay licensing fee for technology platform</li> </ul>	<ul style="list-style-type: none"> <li>·FEMA will not provide funding for a media campaign</li> <li>·Program management software and web site development</li> </ul>

### B.3: Disaster Case Management Budget Workbook for DCMP State Grant

<b>Disaster Case Management Budget Workbook for DCMP State Grant</b>		
<b>Estimated Number of Approved FEMA Applicants</b>		<b>0</b>
<b>Percent of PDA who may need case management services (hide)</b>		
<b>Estimated Number of Potential Clients</b>		<b>0</b>
<b>How Many Provider Agencies will be used?</b>		<b>1</b>
Maximum Personnel (Staffing) Levels for Program		
<b>State Agency</b>		
Program Director	Fixed	<b>1</b>
Finance Director	Fixed	<b>1</b>
Administrative Assistant	Fixed	<b>1</b>
<b>Management Agency</b>		
Program Manager	Fixed	<b>1</b>
Monitoring and Data Manager	Fixed	<b>1</b>
Finance Manager	Fixed	<b>1</b>
Administrative Assistant	Fixed	<b>1</b>
Construction Cost Analyst	Ratio Formula	<b>0</b>
<b>Per Provider Agency</b>		
Program Manager	Fixed	<b>1</b>
Finance Manager	Fixed	<b>1</b>
Case Provider Supervisor	Ratio Formula	<b>0</b>
Case Manager	Ratio Formula	<b>0</b>
Data Entry Specialist	Ratio Formula	<b>0</b>
Administrative Assistant	Ratio Formula	<b>0</b>
<b>Total Staffing for Provider Agencies</b>		
Program Manager	Fixed	<b>1</b>
Finance Manager	Fixed	<b>1</b>
Case Provider Supervisor	Ratio Formula	<b>0</b>
Case Manager	Ratio Formula	<b>0</b>
Data Entry Specialist	Ratio Formula	<b>0</b>
Administrative Assistant	Ratio Formula	<b>0</b>

### State Agency

Personnel	Unit	Cost Per Unit	Duration	Total
Program Director	1	\$ -	18	\$0.00
Finance Director	1	\$ -	18	\$0.00
Administrative Assistant	1	\$ -	18	\$0.00
<b>Sub-Total for Personnel Cost for State Oversight Level</b>				<b>\$0.00</b>
<b>Fringe Benefits</b>				<b>Sub-Total</b>
State Fringe Benefits Rate	Rate =			\$0.00
<b>Sub-Total for Fringe Benefits for State Oversight Level</b>				<b>\$0.00</b>
<b>Travel</b>	<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>	<b>Sub-Total</b>
Mileage	0	\$ -	0	\$0.00
Trainings	0	\$ -	0	\$0.00
		\$ -	0	\$0.00
<b>Sub-Total for Travel for State Oversight Level</b>				<b>\$0.00</b>
<b>Equipment</b>	<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>	<b>Sub-Total</b>
Pre-Approved Purchases	1	\$ -	One Time Cost	\$ -
<b>Sub-Total for Equipment for State Oversight Level</b>				<b>\$0.00</b>
<b>Supplies</b>	<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>	<b>Sub-Total</b>
Computers	0	\$	One Time Cost	\$ -
Mobile Devices, e.g., phones	0	\$	One Time Cost	\$ -
	0	\$ -	One Time Cost	\$ -
	0	\$ -	One Time Cost	\$ -
<b>Sub-Total for Supplies for State Oversight Level</b>				<b>\$0.00</b>

### State Agency Continued

Contractual	Unit	Cost Per Unit	Duration	Sub-Total
Training	0	\$ -	0	\$ -
Evaluator	0	\$ -	0	\$ -
<b>Sub-Total for Contractual for State Oversight Level</b>				<b>\$0.00</b>
Construction	Unit	Cost Per Unit	Duration	Sub-Total
<b>Unallowable Cost</b>				\$ -
<b>Sub-Total for Construction for State Oversight Level</b>				<b>\$0.00</b>
Other	Unit	Cost Per Unit	Duration	Sub-Total
Audit	0	\$ -	One Time Cost	\$ -
<b>Sub-Total for Other for State Oversight Level</b>				<b>\$0.00</b>
<b>Total Direct Charges</b>				<b>\$0.00</b>
<b>Total Program Cost for Management Level</b>				<b>\$0.00</b>

## Management Agency

Personnel	Unit	Cost Per Unit	Duration	Total
Program Manager	1	\$ -	18	\$0.00
Monitoring and Data Manager	1	\$ -	18	\$0.00
Finance Manager	1	\$ -	18	\$0.00
Administrative Assistant	1	\$ -	18	\$0.00
Construction Cost Analyst	0	\$ -	18	\$0.00
<b>Sub-Total for Personnel Cost for Management Level</b>				<b>\$0.00</b>
<b>Fringe Benefits</b>				<b>Sub-Total</b>
Fringe Benefit Rates	Rate =			\$0.00
<b>Sub-Total for Fringe Benefits for Management Level</b>				<b>\$0.00</b>
<b>Travel</b>		<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>
<b>Sub-Total</b>				
Mileage	0	\$ -	0	\$0.00
Trainings	0	\$ -	0	\$0.00
		\$ -	0	\$0.00
<b>Sub-Total for Travel for Management Level</b>				<b>\$0.00</b>
<b>Equipment</b>		<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>
<b>Sub-Total</b>				
Pre-Approved Purchases	1	\$ -	One Time Cost	\$ -
<b>Sub-Total for Equipment for Management Level</b>				<b>\$0.00</b>
<b>Supplies</b>		<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>
<b>Sub-Total</b>				
Computers	0	\$ -	One Time Cost	\$ -
Mobile Devices, e.g., phones	0	\$ -	One Time Cost	\$ -
	0	\$ -	One Time Cost	\$ -
	0	\$ -	One Time Cost	\$ -
<b>Sub-Total for Supplies for Management Level</b>				<b>\$0.00</b>
<b>Contractual</b>		<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>
<b>Sub-Total</b>				
	0	\$ -	18	\$ -
<b>Sub-Total for Contractual for Management Level</b>				<b>\$0.00</b>
<b>Construction</b>		<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>
<b>Sub-Total</b>				
<b>Unallowable Cost</b>				\$ -
<b>Sub-Total for Construction for Management Level</b>				<b>\$0.00</b>
<b>Other</b>		<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>
<b>Sub-Total</b>				
	0	\$ -	One Time Cost	\$ -
<b>Sub-Total for Other for Management Level</b>				<b>\$0.00</b>
<b>Total Direct Charges</b>				<b>\$0.00</b>
<b>Total Program Cost for Management Level</b>				<b>\$0.00</b>



**Provider(s)**

<b>Personnel</b>	<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>	<b>Total</b>
Program Manager	1	\$ -	18	\$0.00
Finance Manager	1	\$ -	18	\$0.00
Case Provider Supervisor	0	\$ -	18	\$0.00
Case Manager	0	\$ -	18	\$0.00
Data Entry Specialist	0	\$ -	18	\$0.00
Administrative Assistant	0	\$ -	18	\$0.00
<b>Sub-Total for Personnel Cost for Provider Level</b>				<b>\$0.00</b>
<b>Fringe Benefits</b>				<b>Sub-Total</b>
State Fringe Benefit Rates	Rate =			\$0.00
<b>Sub-Total for Fringe Benefits for Provider Level</b>				<b>\$0.00</b>
<b>Travel</b>	<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>	<b>Sub-Total</b>
Mileage		\$ -	0	\$0.00
Trainings	0	\$ -	0	\$0.00
		\$ -	0	\$0.00
<b>Sub-Total for Travel for Provider Level</b>				<b>\$0.00</b>
<b>Equipment</b>	<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>	<b>Sub-Total</b>
Pre-Approved Purchases	0	\$ -	One Time Cost	\$ -
<b>Sub-Total for Equipment for Provider Level</b>				<b>\$0.00</b>
<b>Supplies</b>	<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>	<b>Sub-Total</b>
Computers	0	\$ -	One Time Cost	\$ -
Mobile Devices, e.g., phones	0	\$ -	One Time Cost	\$ -
	0	\$ -	One Time Cost	\$ -
	0	\$ -	One Time Cost	\$ -
<b>Sub-Total for Supplies for Provider Level</b>				<b>\$0.00</b>
<b>Contractual</b>	<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>	<b>Sub-Total</b>
	0	\$ -	18	\$ -
<b>Sub-Total for Contractual for Provider Level</b>				<b>\$0.00</b>
<b>Construction = Unallowable</b>	<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>	<b>Sub-Total</b>
<b>Other</b>	<b>Unit</b>	<b>Cost Per Unit</b>	<b>Duration</b>	<b>Sub-Total</b>
	0	\$ -	One Time Cost	\$ -
<b>Sub-Total for Other for Provider Level</b>				<b>\$0.00</b>
<b>Total Direct Charges</b>				<b>\$0.00</b>
<b>Total Program Cost for Provider Level</b>				<b>\$0.00</b>

<b>Disaster Case Management Preliminary Budget Workbook</b>		
	<b>STATE:</b>	
	<b>DISASTER NO:</b>	
	<b>DATE PREPARED (MM/DD/YY):</b>	
<b>Personnel</b>		<b>TOTAL</b>
State Level		\$0.00
Management Level		\$0.00
Provider Level		\$0.00
<b>Place this amount in Section 10 - Object Class on FEMA Form 112-0-8, Line "a"</b>		<b>\$0.00</b>
<b>Fringe Benefits</b>		<b>TOTAL</b>
State Level		\$0.00
Management Level		\$0.00
Provider Level		\$0.00
<b>Place this amount in Section 10 - Object Class on FEMA Form 112-0-8, Line "b"</b>		<b>\$0.00</b>
<b>Travel</b>		<b>TOTAL</b>
State Level		\$0.00
Management Level		\$0.00
Provider Level		\$0.00
<b>Place this amount in Section 10 - Object Class on FEMA Form 112-0-8, Line "c"</b>		<b>\$0.00</b>
<b>Equipment</b>		<b>TOTAL</b>
State Level		\$0.00
Management Level		\$0.00
Provider Level		\$0.00
<b>Place this amount in Section 10 - Object Class on FEMA Form 112-0-8, Line "d"</b>		<b>\$0.00</b>
<b>Supplies</b>		<b>TOTAL</b>
State Level		\$0.00
Management Level		\$0.00
Provider Level		\$0.00
<b>Place this amount in Section 10 - Object Class on FEMA Form 112-0-8, Line "e"</b>		<b>\$0.00</b>
<b>Contractual</b>		<b>TOTAL</b>
State Level		\$0.00
Management Level		\$0.00
Provider Level		\$0.00
<b>Place this amount in Section 10 - Object Class on FEMA Form 112-0-8, Line "f"</b>		<b>\$0.00</b>
<b>Construction</b>		
<b>Unallowable Cost</b>		
<b>Place this amount in Section 10 - Object Class on FEMA Form 112-0-8, Line "g"</b>		<b>\$0.00</b>
<b>Other</b>		<b>TOTAL</b>
State Level		\$0.00
Management Level		\$0.00
Provider Level		\$0.00
<b>Place this amount in Section 10 - Object Class on FEMA Form 112-0-8, Line "h"</b>		<b>\$0.00</b>
<b>Totals for Preliminary DCM Budget Submission</b>		
<b>Place this amount in Section 10 - Object Class on FEMA Form 112-0-8, Line "i"</b>		<b>\$0.00</b>
<b>Place this amount in Section 10 - Object Class on FEMA Form 112-0-8, Line "k"</b>		<b>\$0.00</b>

## **Instructions for Completing the Disaster Case Management Preliminary Budget Workbook for DCMP State Grant**

The purpose of this document is to provide specific instructions for filling out the Disaster Case Management Program Budget Workbooks. There are five budget workbooks: Staffing, State, Management, Provider and Consolidated Summary Sheet. These workbooks are Excel documents with formulas to automatically calculate appropriate staffing ratios and programmatic costs.

Questions concerning this document, please contact us at: [FEMA-DCMP@dhs.gov](mailto:FEMA-DCMP@dhs.gov).

### **Staffing Budget Workbook:**

This workbook will automatically update and assign appropriate staffing ratios to State, Management and Service Provider agencies.

Enter the **Estimated Number of Approved FEMA Applicants** number generated by FEMA to determine the **Potential Number of DCMP Clients** the State Grant will serve.

### **State, Management and Provider Budget Workbooks:**

- A. Personnel: All potential positions identified in these budget workbooks are authorized for the Disaster Case Management Program.
  - 1. Personnel Units have been automatically populated when a projected PDA number is entered into the Staffing Budget Workbook. A unit may be reduced to reflect the program's need, e.g., a program director may commit only 10% of his available time because he has other programs to manage. However, assigned units cannot be increased without FEMA's approval.
  - 2. Enter the Cost per Unit for the identified position. For example, an average cost of a program director according a local customarily rate may be \$50 an hour. The spreadsheet will calculate the projected cost for this position for the grant award period. Average salary costs may be obtained from the Bureau of Labor Statistics Quarterly Census of Employment and Wages: <http://www.bls.gov/cew/home.htm#reporting>
  - 3. The **Duration** is the expected performance award period for the funded DCMP. The program Duration period may last up to 24 months from the date of declaration. If Immediate DCM services are implemented, both Immediate DCM Services and the State DCM Grant cannot exceed 24 months total.
  - 4. The total personnel cost will be calculated once **Unit, Cost per Unit** and **Duration** columns are completed.
- B. Fringe Benefits: Rates vary from State to State. The State must provide current rates for fringe benefit category.

C. Travel: There are three categories for DCM related travel: Mileage, Training and a Conference.

1. Mileage: The State will need to provide a projected number of miles that disaster case managers, program managers, finance manager, etc. will travel per month to perform their work. FEMA does not allow mileage for office-based positions like administrative assistant and data entry. Use the projected number of miles that personnel will need times the number of personnel to determine the **Unit Amount**.

Enter the current mileage rate into the Cost per Unit cell; this rate depends on the State's travel policy, if the State does not have one, it may use GSA's mileage rate (GSA.gov). Consultant or trainer travel costs must be included in the consultants/trainers sub-category as part of the daily rate approved by FEMA.

2. Training: The total **Unit** is the total number of personnel for the program. Enter the Cost per unit of training and the number of trainings planned. The sub-total will be automatically calculated when all information is entered.

The sub-total line item will be automatically calculated when all information is entered.

D. Equipment is defined an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of the capitalization level established by the governmental unit for financial statement purposes, or \$5000.

1. Equipment purchases must be pre-approved. The sub-total line item will be automatically calculated when all information is entered.

E. Supplies:

1. One Time Purchase: Computers and Mobile Devices (cell phone) are approved purchases. One unit will be allowed for each approved position. Admin Assistant and Data Entry are not authorized to receive Mobile Devices because they are office based positions. These sub-total line items will be automatically calculated when all cost information is entered.

2. Re-occurring Purchase: Miscellaneous office supplies can be purchased on a monthly basis. The total unit is the number of personnel working on the DCMP grant. There is no set **Cost per Unit**, for supplies. Duration is determined by the program's performance period. The sub-total line item will be automatically calculated when all information is entered.

F. Contractual:

1. There should be only one **Unit** for each line item. Enter known **Cost per Unit**; the *Duration* each unit is one. The sub-total line item will be automatically calculated when all information is entered. (Consultant fees are capped at \$750/day inclusive of all salary, benefits, travel, supplies).

G. Construction: This line item is an unallowable cost.

H. Other:

If there are known costs that do not fit under any budget categories, they can be entered here. Other costs must be pre-approved by FEMA and should be allowable pursuant to the cost principles outlined in OMB Circular A-87/Cost Principles for State, Local, and Indian Governments. To determine subtotal cost for this line item, enter numbers for **Unit, Cost per Unit, and Duration**. The sub-total line item will be automatically calculated when all information is entered.

I. Total Program Cost:

The total program cost will be automatically generated by combining all sub-totals of budget categories. This is the estimated amount that the program will need to operate.

**Preliminary Budget Workbook:**

This workbook will be automatically generated to provide a preliminary budget for the program. Be certain to enter the disaster-impacted State, disaster declaration number and the date this budget workbook was prepared.

The information obtained from this workbook will be used to populate FEMA Form 112-0-8. Note that each subtotal has a corresponding line item in the form 112-0-8; follow the template's instructions when preparing the form.

## B.4: Budget Change Request

**This section includes documents that provide guidance for requesting budget changes within the Federal Emergency Management Agency (FEMA) Disaster Case Management Program.**

- 1. Budget Adjustment Request Letter** – The grantee must submit a letter from the Project Director requesting a budget adjustment including a brief rationale explaining the necessity for the proposed budget adjustment.
  - The grantee has the authority to move funds, up to a cumulative 10 percent of the total budget, from one line item to another without requesting approval. However, the grantee is required to discuss any proposed budget amendments with FEMA DCM staff prior to any changes to the approved budget.
  - Any budget adjustment exceeding 10 percent of the total budget must receive prior approval from FEMA DCM staff.
- 2. Budget Change Request Table** – The Budget Change Request Letter must include a revised SF 424a. The budget total must equal the amount approved by FEMA.

## B.5: Sample Budget Change Letter

Name  
Position  
Organization  
Address

Dear {Name},

As the Program Manager for the FEMA ##### Disaster Case Management Program grant (DR#####), I am writing to request a budget adjustment. The State received approval for up to {\$\$\$} to provide disaster case management to disaster survivors.

### **Requested Budget Adjustment**

We are requesting to reduce the current budget line item for {State, management agency or service provider name} in {budget category} by \$\_\_\_\_\_.

We are requesting to increase the budget line-item for {State, management agency or service provider name} in {budget category} by \$\_\_\_\_\_.

### **Rationale**

{Include a brief rationale explaining the necessity of the proposed budget adjustment.}

Attach a revised copy of SF 424a. Please contact me at ###-###-#### if you have any questions.

Sincerely,

{Name of Project Director}

cc: Governor's Authorized Representative

## B.6: Sample Budget Change Request Table

Disaster Declaration number: \_\_\_\_\_

<b>Object Class</b>	<b>Approved Budget</b>	<b>Adjusted Budget</b>	<b>Differences Between Approved and Changed Budget</b>
<b>Personnel</b>	1,363,127	-327,909	1,035,218
<b>Fringe Benefits</b>	350,316	-71,094	279,222
<b>Travel</b>	389,613	0	389,613
<b>Supplies</b>	\$155,176	-22,000	133,176
<b>Contractual</b>	5,485,052	+421,003	5,906,055
<b>Other</b>	224,000	0	224,000
<b>Total Direct Costs</b>	7,967,284		7,967,284
<b>Total Project Costs</b>	8,420,497	0	8,420,497



## APPENDIX C

## C.1: Program Staff Checklist for Grant Application

<b>Background/ History</b>	Disaster Number:			
	Disaster Declaration Date:			
	IA Disaster Declaration Date:			
	IA Types of Assistance Requested:			
	State:			
	Counties:			
	Date IDCM Initiated:			
	Date IDCM End:			
	Other Types of Immediate Services Provided:			Case Worker, Invitational Travel, Mission Assignment, Contract, IAA
Program Assessment Conducted:				
Date Program Assessment Completed:				
TOTAL ESTIMATED DCM GRANT COST:				
<b>JFO Review</b>	PROGRAM REVIEW:			FCO, IABD, VAL, DCM Coordinator
	PROGRAM REVIEW COMPLETION DATE:			
<b>Regional Concurrence</b>	IA PROGRAM CONCURRENCE:			Regional IA and/or Recovery Director
	PROGRAM CONCURRENCE COMPLETION:			
	FINANCIAL REVIEW:			Regional GPD
<b>HQ Review</b>	PROGRAM REVIEW:			Project Officer
	PROGRAM REVIEW COMPLETION DATE:			Include checking budget math
<b>Approvals</b>	FCO:			
	Region Administrator:			
	Region Div Director			
	Regional GPD			
	HQ Program Office:			
	HQ IA Division Director:			
	HQ Recovery Directorate Director:			
Other:				
<b>GENERAL COMMENTS</b>				

Application Review GENERAL FACTORS			JFO Review	Links/Examples
Section III State Program Application	Is the applicant eligible? (Required)			<a href="#">DCM Program Manual</a>
Section III	Was point-of-contact information provided for the Applicant? (Required)			<a href="#">Application Contact Page</a>
Section III	Is the proposed activity eligible under the requested program? (Required)			<a href="#">DCM Program Manual</a>
Section III	DCM Assessment Completed? (Required)			<a href="#">DCM Program Manual</a>
Section III	<b>Required Forms</b> <input type="checkbox"/> Application Signature page signed? <input type="checkbox"/> Preparer and Point of Contact Information complete? <input type="checkbox"/> Standard Form 424, Application for Federal Assistance <input type="checkbox"/> Standard Form 112-0 3, Assurances and Certification <input type="checkbox"/> Standard Form 112-0 8, Budget Information (Non-construction Programs) <input type="checkbox"/> The program title as listed in the CFDA			<a href="#">DCM Program Manual</a>
Section III	<input type="checkbox"/> Executive Summary included? Should be one-two pages only – Must demonstrate that disaster survivors have disaster caused unmet needs that will not be met by government programs, must indicate the State's capacity for oversight, identify any potential gaps in resources, and describe how DCM services will be provided.			<a href="#">DCM Program Manual</a>

Application Review GENERAL FACTORS			JFO Review	Links/Examples
Section III	<p><b>Disaster Description</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Copy of relevant portions of the State's request for declaration.</li> <li><input type="checkbox"/> DCM Program Assessment Documentation</li> <li><input type="checkbox"/> Estimated Eligible Population: Does the narrative identify the impacted population and its status toward recovery? Are potential disaster caused unmet needs identified?</li> <li><input type="checkbox"/> Expected Resources and Services: are resources available? Does the area have functional Long Term Recovery Committees? How will resources be identified?</li> </ul>			<a href="#">DCM Program Manual</a>
Section III	<p>Strategies:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Mobilization:</b> Must provide for staff recruitment, office space, contracting</li> <li><input type="checkbox"/> <b>Outreach:</b> Must detail how outreach will be implemented, methods to be used, how outcomes will be shared, and what information will be distributed to clients during outreach.</li> <li><input type="checkbox"/> <b>Unmet Needs:</b> Does the application describe how needs will be</li> </ul>			<a href="#">DCM Program Manual</a>
	<p><b>DCM Program Work Plan</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Are program deliverables clearly stated?</li> <li><input type="checkbox"/> Deliverables are Specific, Measurable, Realistic, Achievable and Time bound?</li> <li><input type="checkbox"/> Are activities clearly defined within the quarters?</li> <li><input type="checkbox"/> Supported by documentation?</li> </ul>			<a href="#">DCM Program Manual</a>

Application Review GENERAL FACTORS			JFO Review	Links/Examples
Section III	<p><b>Program Management Plan</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Does applicant describe the plans for oversight, operations, reporting, and information sharing from the State with the DCM providers?</li> <li><input type="checkbox"/> Is DCM service provider's history of disaster work described? Fiscal accountability systems? Expected period of performance?</li> <li><input type="checkbox"/> Is the State's procurement process clearly outlined? Will they contract or sub-grant? Will there be a Request for Proposals? What is the RFP</li> </ul>			<a href="#">DCM Program Manual</a>
Section III	<p><b>DCM Training Plan:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Provider Agency Training: hiring, supervision, budgeting and reporting for DCM Providers according to State requirements</li> <li><input type="checkbox"/> Disaster Case</li> </ul>			
Section III	<p><b>Budget</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Budget Review: Reviewed by Regional grants office?</li> <li><input type="checkbox"/> Is the State aware of Smart Link and have they completed required forms?</li> <li><input type="checkbox"/> Budget</li> </ul>			<a href="#">DCM Program Manual</a>
Section IV Monitoring and Quality Control	<p><b>Monitoring</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Quality Control: Does monitoring plan describe consistent services across DCM Providers?</li> <li><input type="checkbox"/> Does plan address periodic site visits to monitor Privacy Act compliance, client progress toward recovery, communication flow</li> </ul>			<a href="#">DCM Program Manual</a>
Section IV	<p><b>Grant Closeout</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Is reduction in staff based on reduction in case load?</li> <li><input type="checkbox"/> Does plan address the disposition of the remaining open cases?</li> <li><input type="checkbox"/> Is information included about case file storage and available access to stored files?</li> </ul>			<a href="#">DCM Program Manual</a>

Regional Concurrence				
Section V Application Review Process	<input type="checkbox"/> Has Regional IA BC and/or Recovery Division Director reviewed DCM Application? <input type="checkbox"/> Has written concurrence been provided?			
	All budget items and categories are appropriate and justified in the application. Financial checklist provided by Regional Grants office (Required)			
FEMA HQ Review				
Section V	<input type="checkbox"/> Is the period of performance 24 months or less? Specific to disaster caused unmet needs?			
Section V	<input type="checkbox"/> Do the staffing ratios align with the estimated number to be served for each geographical			
Section V	<input type="checkbox"/> Has a math check been completed on all budget items?			
Section V	<input type="checkbox"/> Is there consistency regarding salaries and wages across providers or justification for variation? (Required)			
Section V	<input type="checkbox"/> Is the application complete, well-described, and include all required forms and signatures (Required)			
Section V	<input type="checkbox"/> Has the State clearly explained how they will share information to and from FEMA with service providers? (Required)			
Section V	<input type="checkbox"/> Does the state have the proper funding process established to pay providers efficiently?			

FEMA HQ Review				
Section V	<input type="checkbox"/> Are effective referral mechanisms in place and proper procedures to document follow-up of services provided to client/applicant			
Section V	<input type="checkbox"/> Is the State aware of FEMA Routine Use procedures and the proper mechanisms to share information with			
Section V	<input type="checkbox"/> Does the applicant have an effective media/marketing strategy?			
Section V	<input type="checkbox"/> Is there a Housing Mission for this disaster? Has the THU population been included in the planning?			
Section V	<input type="checkbox"/> Have prior audits identified significant weaknesses in grant awards? <input type="checkbox"/> Is applicant in good standing with no probation or negative evaluations?			
HQ Comments				

## C.2: Sample Monthly Update Template

Program Title:								Period of Performance:									
Reporting Period:	Start:	Provider(s)						Grantee									
	End:	Provider	Provider	Provider				(MONTH)	Cumulative								
Performance Metric	<i>Total Client Contacts</i>																
	<i>Number of Case Managers</i>																
	<i>Number of Case Manager Supervisors</i>																
	<i>Case Managers Supervisors / Case Managers</i>		/	/	/			/			/			/			
	<i>Case Managers / Clients</i>		/	/	/			/			/			/			
	<i>Number of Cases Opened</i>																
	<i>Number of Clients completing Intake</i>																
	<i>Number of Clients completing Needs Assessment</i>																
	<i>Closed <b>with</b> Completed Recovery Plan</i>																
	<i>Number of Cases Closed <b>without</b> Completed Recovery Plan</i>																
	<i>Clients in Temporary Housing</i>																
	<i>Number of Referrals</i>																
	<i>Top 3 Client needs</i>		1			1			1			1			1		
			2			2			2			2			2		
			3			3			3			3			3		
	<i>Client's Identified Tier</i>		Tier 1			Tier 1			Tier 1			Tier 1			Tier 1		
			Tier 2			Tier 2			Tier 2			Tier 2			Tier 2		
Tier 3					Tier 3			Tier 3			Tier 3			Tier 3			
Tier 4					Tier 4			Tier 4			Tier 4			Tier 4			
Not Assessed					Not Assessed			Not Assessed			Not Assessed			Not Assessed			



## C.3: FEMA Disaster Case Management Program (DCMP) Quarterly Reporting

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DR Name and Number	Period of Performance
Name and Contact Preparer(s)	
Reporting Period	
Date of Submission (e.g., June 1, 2010)	

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**Executive Summary:** *In three paragraphs or less, provide a summary of the quarterly report, highlighting the key facts, issues and events for this quarter.*

**Example:** *During this quarter, xxxx and Affiliate agencies worked together...*

### **Program Objectives**

*List the program goals and objectives as stated in the proposal submitted to FEMA.*

*The goal is to serve xxxx families and connect them to long-term sustainable housing resources.*

### **Status of Planned Activities from Previous Reporting Period(s) – Follow Up**

*Describe the progress and resolution undertaken for the stated challenges from the last reporting period. Leave blank if this is the first reporting period for the program.*

### **Last quarter we planned the following:**

#### **Section 1 – Primary Activities**

*Describe the primary activities for this quarter. Topics addressed in this section are successes, staffing issues, challenges, communication, coordination, or collaboration events or issues.*

#### **Section 2 – Have any changes been made to the Objective Work Plan**

*If yes, did you request and receive approval from FEMA prior to these changes?*

#### **Section 3 – Budget Narrative**

*Were budget expenditures in line with planned activities? What was the total spent in period?*

#### **Section 4 – Data Summary**

*Provide quantitative data from the IT tracking platform. Refer to monthly update form. Do not exceed one page.*

#### **Section 5 – Barriers to Success**

*What barriers/challenges prevented the program from achieving its planned activities? How were they solved?*

#### **Section 6 – Planned Activities for Next Quarter**

*Provide a plan of activities within the next quarter for the cases and disaster survivors within the program.*

#### **Section 7 – Other**

*Have any significant changes, accomplishments, opportunities, and shortfalls happened during this reporting period not mentioned above? They may include program activities such as: staffing, training, outreach, conferences.*

## C.4: Sample Program Closeout Report and Checklist

When the DCMP has closed at the State level, submit the following documents to FEMA in the closeout package:

Program Closeout Check List		
Required Documents	Received	
	Yes	No
Closure and Transfer Plan	<input type="checkbox"/>	<input type="checkbox"/>
All Programmatic Reports	<input type="checkbox"/>	<input type="checkbox"/>
Final Program Report	<input type="checkbox"/>	<input type="checkbox"/>
All Financial Reports	<input type="checkbox"/>	<input type="checkbox"/>
Final Program Audit Report	<input type="checkbox"/>	<input type="checkbox"/>

Other key items to check include:

- Reports are marked as “final.”
- The dates reported accurately match the designated program period.
- All reported expenditures are allowable and reconciled with the budget narrative.
- The Final Financial reports for the benefits and administrative expenditures should match what is reported in the Program Narrative.

The appropriate HQ DCMP staff reviews the documentation to ensure that all required paperwork is in the file and programmatically closes the DCMP. Should you have any questions regarding the program closeout process, please email: [FEMA-DCMP@dhs.gov](mailto:FEMA-DCMP@dhs.gov)

## APPENDIX D

## D.1: Roles and Responsibilities

This section identifies the basic roles and responsibilities of the DCMP partners within and external to FEMA. Roles and responsibilities are described by position or group function where applicable. Where needed for clarification, sections of the DCMP Guidance document are referenced.

**ACF** – The Administration of Children and Families is a Federal partner, which is an operating division of the Department of Health and Human Service that FEMA mission assigned to perform a DCM needs assessment and one of the options to provide Immediate DCM services.

**ACF Liaison** – the ACF staff person assigned to monitor and oversee the Immediate DCM.

**Clients** – disaster survivors enrolled in the DCMP

**Community Relations** – CR is a field element of the External Affairs office assigned to make contact with individual survivors to ensure everyone is aware of the services and processes available for disaster assistance.

**Comptroller** – works with the IABD or DCM Coordinator to ensure money has been allocated and obligated to ensure that funds are available for management of the DCMP.

**Construction Cost Analyst** – Works closely with disaster case manager to review and analyze cost estimates for repairs and/or rebuilds of the primary residence of a disaster survivor. Provides coordination of volunteer labor groups to ensure the appropriate sequence of repairs.

**Congressional Affairs** is the congressional arm of External Affairs and responsible for keeping congressional offices informed about the DCMP.

**Congressional Finance Component of FEMA HQ**- is responsible for notifying and obtaining Congressional approval on State DCM grants over \$1,000,000.00.

**Contracting Officer**- in support of the DCM Specialist, reviews, coordinates, and provides guidance on all contracts developed in support of the DCMP.

**Disaster Case Management Specialist** – works in the FEMA JFO to facilitate and monitor the Federal IDCM and/or State DCM Grant Program. Collaborates with IA, VALs, State, FEMA HQ and others to ensure that the Federal DCM Program is appropriate for the disaster unmet needs of the survivors.

**Disaster Case Management Assessment Team (A-Team)** – when requested and within 5 days of the declaration, conducts a quick and comprehensive assessment of the case management needs of the disaster and the capability of the State and Local officials.

**External Affairs**- promotes general public awareness through the promotion of standard messaging, fact sheets and communication/ notification of the DCMP.

**Federal Coordinating Officer-** works with the State Coordinating Officer to provide the overall management and coordination of the disaster response. Approves and/concurs with contractual and financial obligations of the DCMP.

**FEMA DCMP Project Officer** –the staff person at FEMA HQ assigned to monitor a DCMP grant to a specific State.

**Disability Integration Advisor** – provides guidance and technical support to the Individual Assistance Branch Director at the JFO and DCM Coordinator to ensure functional needs of clients are identified and addressed. Responsible for reviewing all documentation related to Functional Needs.

**Grants Manager** – works with the IABD, DCM Coordinator and State Grant staff by providing technical guidance and interpretation as defined by grant regulations and the DCMP Guidance document.

**Mission Assignment Coordinator** - works with the ARF Coordinator and ACF to create and implement the MOU for ACF DCM Services.

**National Team Leader** – an organization or agency contracted by ACF to implement and manage the day to day activities of the IDCM services.

**State Coordinating Officer/Governor’s Authorized Representative-** works with the Federal Coordinating Officer (FCO) to provide the overall management and coordination of the disaster response. Approves and concurs with contractual and financial obligations of the State in a DCMP.

**Training Coordinator-** supports the DCMP partners with the identification, development, coordination, and implementation of DCM training for DCM supervisors, managers, and service providers.

**VAL Group Supervisor** - coordinates the FEMA VAL staff and volunteer agency operations by providing technical assistance and guidance in the building and expanding of faith-based and voluntary agency strength and capabilities.