



**Fiscal Year 2007**

**EMERGENCY MANAGEMENT PERFORMANCE GRANT :  
SUPPLEMENTAL**

**PROGRAM AND APPLICATION GUIDANCE**

**August 2007**



U.S. DEPARTMENT OF HOMELAND SECURITY

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# I. Introduction

## A. Overview

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

Emergency management must be able to coordinate in the context of natural and man-made hazards, as well as technological events, that threaten the security of the homeland and the safety and well-being of citizens. An all-hazards approach to preparedness, including the development of a comprehensive program of planning, training, and exercises, sets the stage for an effective and consistent response to any threatened or actual disaster or emergency, regardless of the cause. As authorized by the U.S. Troop Readiness, Veterans' Care, Katrina Recovery, and Iraq Accountability Appropriations Act, 2007 (P.L. 110-28), the FY 2007 Emergency Management Performance Grants (EMPG) supplemental provides an additional \$50 million to assist State and local governments to sustain and enhance all-hazards emergency management capabilities.

States have the opportunity to use additional EMPG funds provided through this supplemental to further strengthen their ability to support emergency management mission areas while simultaneously addressing issues of national concern as identified in the National Priorities of the interim National Preparedness Goal.

A comprehensive State emergency management system must be inclusive of local programs and input. Local emergency management organizations should remain informed and have the opportunity to provide input to state planning processes. Although DHS expects States to include support for their local jurisdictions in the EMPG programs, each Governor is responsible for determining the appropriate amount of funding to be passed through to support the development or enhancement of local emergency management capabilities.

An essential component in meeting emergency management capabilities involves establishing strong working relationships with neighboring jurisdictions. These relationships are essential for developing emergency management capabilities that leverage joint operations, effective mutual aid and support locally, regionally, State-to-State, and nationwide priorities, particularly when responding to a catastrophic event.

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

States have the flexibility leverage FY 2007 EMPG funds to develop intra-state and inter-state emergency management systems that encourage building partnerships across all levels of government and with non-governmental<sup>2</sup> organizations, including continued integration through the Senior Advisory Committee<sup>3</sup>.

## **B. Planning Priorities**

In spring 2007, FEMA initiated a pilot gap analysis program with 20 States and territories in the hurricane-prone regions with a focus on the following areas: debris removal, interim housing, sheltering, evacuation, commodity distribution, medical needs, fuel, and communications. With FEMA working in partnership with State and local jurisdictions to identify and address gaps, regional and national planning processes can be improved collaboratively to meet future events. Addressing the findings of the gap analysis, and similar capability assessment efforts, and assisting state and local jurisdictions to address national and regional catastrophic planning needs is the principal priority for the FY 2007 EMPG supplemental funds. Additionally, developing plans to prepare for the 15 National Planning Scenarios has similarly been designated as a priority for EMPG funding.

State and local jurisdictions should also continue to focus on addressing state-specific planning issues identified through the 2006 Nationwide Plan Review. In FY 2007, specific planning focus areas of evacuation planning, logistics and resource management, continuity of operations (COOP) / continuity of government (COG) planning, and recovery planning that have been identified as national planning focus areas. While these focus areas target large-scale or catastrophic incidents, they involve capabilities that will also support common scenarios described in local hazard mitigation plans.

Given the focus on planning in the FY07 guidance package, and in this FY07 Supplemental EMPG guidance, in FY08 (next year), FEMA intends to require award recipients to devote an increased and substantial percentage of their grant award toward operational planning activities.

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

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

## II. Funding Availability and Eligible Applicants

### A. Funding Availability

FY 2007 EMPG supplemental funds have been allocated consistent with previous EMPG fiscal years. Pursuant to the Compact of Free Association, funds are available for the Federated States of Micronesia and for the Republic of the Marshall Islands. Table 1 provides a breakdown by State of FY 2007 EMPG supplemental funding allocations.

**Table 1. FY 2007 EMPG Supplemental Funding Allocation**

State/Territory	Allocation	State/Territory	Allocation
Alabama	\$ 833,182	New Hampshire	\$ 504,643
Alaska	\$ 440,063	New Jersey	\$ 1,253,006
Arizona	\$ 932,370	New Mexico	\$ 563,972
Arkansas	\$ 651,444	New York	\$ 2,334,003
California	\$ 3,966,585	North Carolina	\$ 1,225,348
Colorado	\$ 835,200	North Dakota	\$ 439,068
Connecticut	\$ 728,231	Ohio	\$ 1,542,618
Delaware	\$ 456,787	Oklahoma	\$ 731,596
District of Columbia	\$ 432,564	Oregon	\$ 734,438
Florida	\$ 2,083,868	Pennsylvania	\$ 1,636,078
Georgia	\$ 1,249,888	Rhode Island	\$ 483,649
Hawaii	\$ 501,570	South Carolina	\$ 794,378
Idaho	\$ 511,394	South Dakota	\$ 452,037
Illinois	\$ 1,663,177	Tennessee	\$ 967,242
Indiana	\$ 1,004,250	Texas	\$ 2,602,195
Iowa	\$ 674,627	Utah	\$ 611,153
Kansas	\$ 652,025	Vermont	\$ 437,265
Kentucky	\$ 792,882	Virginia	\$ 1,120,326
Louisiana	\$ 832,785	Washington	\$ 995,027
Maine	\$ 506,633	West Virginia	\$ 558,507
Maryland	\$ 932,541	Wisconsin	\$ 930,817
Massachusetts	\$ 1,031,772	Wyoming	\$ 425,221
Michigan	\$ 1,402,366	Puerto Rico	\$ 768,927
Minnesota	\$ 887,696	U.S. Virgin Islands	\$ 182,293
Mississippi	\$ 667,978	American Samoa	\$ 130,598
Missouri	\$ 954,501	Guam	\$ 169,773
Montana	\$ 467,230	Northern Mariana Islands	\$ 135,778
Nebraska	\$ 551,095	Republic of the Marshall Islands	\$ 14,404
Nevada	\$ 596,532	Federated States of Micronesia	\$ 14,404
		<b>Total</b>	<b>\$50,000,000</b>

## **B. Eligible Applicants**

The governor of each State and territory has designated a State Administrative Agency (SAA) to apply for and administer DHS funds. Accordingly, the relevant SAA is the only agency eligible to apply for FY 2007 EMPG supplemental funds and is responsible for passing through those funds to the State emergency management agency (EMA), if that agency is not also the SAA, within 15 days of the award date.

## **C. Cost Share Requirements**

EMPG has a 50% Federal and 50% State cost-share cash or in-kind match requirement. Unless otherwise authorized by law, Federal funds can not be matched with other Federal funds. In accordance with Federal guidelines and DHS Office of General Counsel rulings, match requirements are waived for the U.S. Territories of American Samoa, Guam, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands. For further information on allowable sources and types of funds, timing of match contributions, and records for match, please consult the Office of Grant Programs (OGP) Financial Management Guide. DHS administers cost sharing requirements in accordance with 44 C.F.R. 13.24, which is located at [http://a257.g.akamaitech.net/7/257/2422/04nov20031500/edocket.access.gpo.gov/cfr\\_2003/octqtr/44cfr13.24.htm](http://a257.g.akamaitech.net/7/257/2422/04nov20031500/edocket.access.gpo.gov/cfr_2003/octqtr/44cfr13.24.htm).

## III. APPLICATION AND PROGRAM REQUIREMENTS

### A. Period of Performance

The period of performance for FY 2007 EMPG supplemental funds is 24 months from the award date. Although EMPG is an annual process, this period of performance will allow EMAs maximum flexibility to plan and coordinate the use of FY 2007 EMPG supplemental funds. Any unobligated funds will be deobligated by NPD at the end of this period. Extensions to the period of performance will be considered only through formal requests to NPD made before the expiration of the 24 month period and with specific and compelling justifications for an extension.

### B. Application Process

DHS is participating in the e-Government initiative, one of 25 initiatives included in the President's Management Agenda. Grants.gov, part of this initiative, is a "storefront" that provides a unified process for all customers of Federal grants to find funding opportunities and apply for funding. Applicants must apply for FY 2007 EMPG supplemental funding through the online Grants.gov system by the AOR (Authorized Organization Representative) to ensure a successful application. If applicants have previously used grants.gov, the same account may be used for the FY 2007 EMPG supplemental. Please note that this process also involves an updated and current registration by the SAA and the SAA Business Point of Contact through CCR (Central Contractor Registry). Please also note the Grants.gov technical support hours are Monday-Friday, 7 a.m. to 9 p.m., Eastern Standard Time. For more detail, see <http://www.grants.gov/contactus/contactus.jsp>.

*Eligible applicants must apply for FY 2007 EMPG supplemental funding through Grants.gov at <http://www.grants.gov>. **Completed applications must be submitted to Grants.gov no later than 11:59 p.m. Eastern Standard Time, August 29, 2007.***

These grants are through DHS/FEMA. The program title listed in the Catalog of Federal Domestic Assistance (CFDA) is "Emergency Management Performance Grants." The CFDA number is **97.042**.

### C. Required Application Submissions

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

#### **DUNS Number**

The SAA must provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number with the FY 2007 EMPG supplemental application. This number is a required field within Grants.gov and for CCR Registration. Organizations should verify having a DUNS number or take the steps necessary to obtain one as soon as possible.

Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-800-333-0505.

### **Valid Central Grantee Registry (CCR) Registration**

The EMPG supplemental application process also requires a current registration through CCR. Eligible applicants must confirm CCR registration at <http://www.ccr.gov>, as well as apply for FY 2007 EMPG supplemental funding through Grants.gov. Applicants that have not previously submitted an application through Grants.gov are strongly encouraged to initiate the registration process as soon as possible. Instructions are available on the Grants.gov website at [www.grants.gov](http://www.grants.gov).

### **Grants.gov online Application and Requirements**

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

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

When completing the online application, applicants should identify their submissions as new, non-construction applications. It is important to note that this is a procedural requirement within Grants.gov and does not prohibit the applicant from submitting construction projects. The project period will be for a period not to exceed **24 months**.

- **Non-Supplanting Certification:** This certification affirms that these grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Potential supplanting will be addressed in the application review, as well as in the pre-award review, post-award monitoring and any potential audits. Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.
- **Assurances:** Assurances forms (SF-424B and SF-424D) can be accessed at <http://apply.grants.gov/agency/FormLinks?family=7>. It is the responsibility of the recipient of the Federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. The applicant will be agreeing to these assurances upon the submission of the application.
- **Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement:** This

certification, which is a required component of the on-line application, commits the applicant to compliance with the certification requirements under 28 CFR part 67, *Government-wide Debarment and Suspension (Non-procurement)*; 28 CFR part 69, *New Restrictions on Lobbying*; and 28 CFR part 83 *Government-wide Requirements for Drug-Free Workplace (Grants)*. All of these can be referenced at: [http://www.access.gpo.gov/nara/cfr/waisidx\\_04/28cfrv2\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/28cfrv2_04.html).

The certification will be treated as a material representation of fact on which DHS will rely in awarding grants.

**Single Point of Contact (SPOC) Review** (if applicable)

Executive Order 12372, located at

[http://www.archives.gov/federal\\_register/codification/executive\\_order/12372.html](http://www.archives.gov/federal_register/codification/executive_order/12372.html),

requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State SPOC, if one exists and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. The date that the application was sent to the SPOC or the reason such submission is not required should be provided.

**EMPG Supplemental Work Plan (Program Narrative, Budget, and Project Outline)**

All EMPG applicants must submit a Supplemental Work Plan that outlines the State's emergency management sustainment and enhancement efforts, including projects, proposed for the FY 2007 EMPG supplemental period of performance.

In order to address national preparedness issues while also providing the flexibility to manage State and local preparedness issues, States are strongly encouraged to draw upon any of the following criteria as a basis for developing FY 2007 EMPG Supplemental Work Plans:

1. FEMA Gap Analysis Program
2. Nationwide Plan Review
3. Emergency Management Accreditation Program (EMAP) Standard (April 2006)
4. Interim National Preparedness Goal and the interim Target Capabilities List
5. 15 National Planning Scenarios

Specifically, States must focus FY 2007 EMPG supplemental program activities on addressing shortfalls and sustaining capabilities in their emergency management program, as identified through either the FEMA Gap Analysis Program, Nationwide Plan Review, the EMAP process, or other emergency management assessment process, with a specific focus on planning for catastrophic events. States can use the work plan to demonstrate how they have already addressed existing shortfalls and how they plan to further enhance or sustain those capabilities. Results from other assessments can also serve as a reference, and can include specific targeting of the EMPG funding to those areas identified as needing improvement or sustainment.

EMPG work plans should be prepared for dual-use reporting to the Federal government

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

## **1. FEMA Gap Analysis Program**

State and local jurisdictions are strongly encouraged to leverage EMPG funds to participate in the FEMA gap analysis program and related future efforts to help identify and address catastrophic planning needs.

## **2. Nationwide Plan Review**

States should focus on addressing State-specific issues identified through the 2006 Nationwide Plan Review. In FY 2007, specific planning focus areas of evacuation planning, logistics and resource management, continuity of operations, and recovery planning that have been identified as national planning focus areas. These focus areas target large-scale or catastrophic incidents, however they involve capabilities that will also support common scenarios described in local hazard mitigation plans.

### **Evacuation Planning**

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

- Access control planning, including security and reentry
- Traffic control activities, including contra-flow, monitoring, and contingencies
- Transport of evacuees through traditional and alternate means
- Support for schools, day cares, nursing homes, hospitals, and other facilities that have unique evacuation support needs, including support requirements for these special facilities such as transportation, infrastructure, etc.
- Support for special needs populations
- Special event evacuation considerations (major sporting events, concerts, etc.)
- Medical management of evacuees not yet at shelters, including decontamination and off-site triage, treatment and transport

- Worker safety considerations related to the implementation of the evacuation plan
- Animal and livestock issues during evacuation plans
- Procedure for identifying, coordinating, and operating shelters for the displaced population
- Coordination of activities for uniting family members and others post-event
- Medical treatment of affected population
- Transition of evacuees to long-term housing
- Legal authority to isolate and/or quarantine
- Quarantine activation and enforcement
- Medical monitoring of impacted populations
- Coordination with local hospitals, clinics, and private practitioners to review your isolation and quarantine plans and to clarify roles and communication expectations during emergencies
- Integration with other plan areas (i.e. public notification)

### **Logistics and Resource Management**

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

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

### **Continuity of Operations / Continuity of Government Planning**

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

but also an enduring constitutional government. Consistent with DHS COOP Planning Guidance plans should address the following issues:

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

### **Recovery Planning**

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

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

### **3. EMAP Standard**

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

States are not required to pursue accreditation under EMAP, but as an existing

national standard, it will be used with the interim National Preparedness Goal and its supporting materials as the basis for future national assessments.

The EMAP Standard covers:

- Program Management
- Program Elements Generally
- Laws and Authorities
- Hazard Identification and Risk Assessment
- Hazard Mitigation
- Resource Management
- Mutual Aid
- Planning
- Direction, Control and Coordination
- Communications and Warning
- Operations and Procedures
- Logistics and Facilities
- Training
- Exercises, Evaluations and Corrective Action
- Crisis Communications, Public Education and Information
- Finance and Administration

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

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

## **D. Application Evaluation**

NPD will evaluate and act on applications within 30 days of the submission deadline.

## E. Allowable and Unallowable Costs Guidance

The following pages outline general allowable and unallowable EMPG costs guidance. A crosswalk of allowable costs and historical costs can be found in Appendix D.

### Planning Costs Guidance

EMPG funds may be used for a range of emergency management planning activities, including activities and costs related to the FEMA Gap Analysis Program and EMAP accreditation process (State and/or local). Beginning in FY08, grantees must certify in writing to NPD that an increased and substantial percentage of their grant award will be applied toward operational planning activities.

- Developing strategic, operational, and tactical plans to ensure preparedness for the 15 National Planning Scenarios;
- Planning for NIMS implementation
- Modifying existing incident management and emergency operations plans to ensure proper alignment with the NIMS and NRP coordinating structures, processes, and protocols
- Developing/enhancing comprehensive emergency management plans
- Developing/enhancing all-hazards mitigation plans
- Developing/enhancing catastrophic incident plans
- Developing/enhancing COOP / COG plans
- Developing/enhancing logistics and resource management plans
- Developing/enhancing evacuation plans, including sheltering efforts
- Developing/enhancing mass casualty and mass fatality plans
- Developing/enhancing financial and administrative procedures for use before, during, and after disaster events in support of a comprehensive emergency management program
- Public education and awareness
- Developing/enhancing a crisis communications plan
- Updating the State and/or Urban Area Homeland Security Strategy to address all hazards
- Developing/enhancing other response and recovery plans
- Developing/enhancing emergency management and operations plans to integrate citizen/volunteer and other non-governmental organization resources and participation
- Conducting a hazard analysis and risk assessment
- Other EMPG-related planning activities

In support of efforts by State and local governments to improve their preparedness programs, program evaluations are now allowable planning costs. Program evaluations provide valuable information regarding a program's outcomes, efficiency, and effectiveness. Beyond financial audits and program monitoring, evaluations can help

managers track progress and demonstrate performance by quantitatively measuring the results of programs.

### **Organizational Costs Guidance**

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

Personnel costs, including salary, overtime, compensatory time off, and associated fringe benefits, are allowable costs with FY 2007 EMPG supplemental funds. These costs must comply with OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments*. Proposed personnel costs should still be linked to achieving objectives outlined in the EMPG work plan.

### **Equipment Costs Guidance**

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

The FY 2007 EMPG Authorized Equipment List is housed on the Responder Knowledge Base and relies heavily on the Standardized Equipment List developed by the InterAgency Board for Equipment Standardization and Interoperability. The Authorized Equipment List maintains the cross-referencing to the Standardized Equipment List in an effort to eliminate redundancy. Both of these tools are available on the Responder Knowledge Base, which also offers an interactive version that provides links to corresponding Standardized Equipment List items and commercial products.

In some cases, items on the SEL are not allowable under FY 2007 EMPG or will not be eligible for purchase unless specific conditions are met. In addition, some items eligible under this grant program are beyond the scope of the SEL and thus will only appear in the AEL.

The select allowable equipment includes equipment from the following AEL categories:

- Information Technology (Category 4)
- Cyber-Security Enhancement Equipment (Category 5)
- Interoperable Communications Equipment (Category 6)
- Detection Equipment (Category 7)
- Power Equipment (Category 10)
- CBRNE Reference Materials (Category 11)
- CBRNE Incident Response Vehicles (Category 12)
- Physical Security Enhancement Equipment (Category 14)
- CBRNE Logistical Support Equipment (Category 19)

- Other Authorized Equipment (Category 21)

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

States that are using EMPG funds to purchase Interoperable Communications Equipment (Category 6) must consult SAFECOM's coordinated grant guidance which outlines standards and equipment information to enhance interoperable communications. This guidance can be found at [www.safecomprogram.gov](http://www.safecomprogram.gov).

### Training Costs Guidance

EMPG funds may be used for a range of emergency management-related training activities to enhance the capabilities of State and local emergency management personnel through the establishment, support, conduct, and attendance of training. Types of training include, but are not limited to, the following:

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

Allowable training-related costs include the following:

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

### Exercise Costs Guidance

EMPG funds may be used to design, develop, conduct, and evaluate emergency management related exercises. Exercises must be consistent with the principles outlined in the Homeland Security Exercise and Evaluation Program (HSEEP), as well as applicable existing emergency management standards. HSEEP Volumes I-III contain guidance and recommendations for designing, developing, conducting, and evaluating exercises. HSEEP Volume IV provides sample exercise materials. All four volumes can be found at the HSEEP website (<http://hseep.dhs.gov>). Exercises conducted using EMPG funding must be NIMS compliant.

Types of exercises include, but are not limited to, the following:

- Developing/enhancing systems to monitor exercise programs
- Conducting all-hazards exercises, based on the likely hazards/scenarios a jurisdiction may encounter
- Conducting emergency management exercises, while incorporating NIMS FY 2007 exercise requirements
- Other EMPG-related exercise activities

Allowable exercise-related costs include:

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

- **Other Items** – These costs include the rental of space/locations for planning and conducting an exercise, rental of equipment (e.g., portable toilets, tents), and the procurement of food, refreshments, gasoline, exercise signs, badges, and other nondurable goods.

Unauthorized exercise-related costs include:

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

### **Management and Administrative Costs Guidance**

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

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

M&A costs include the following categories of activities:

- Hiring of full-time or part-time staff or contractors/consultants:
  - To assist with the management of FY 2007 EMPG funds
  - To assist with design, requirements, and implementation of FY 2007 EMPG
- Hiring of full-time or part-time staff or contractors/consultants and expenses related to:
  - FY 2007 EMPG pre-application submission management activities and application requirements
  - Meeting compliance with reporting/data collection requirements, including data calls
- Development of operating plans for information collection and processing necessary to respond to DHS/NPD data calls
- Travel expenses directly related to management and administration of EMPG grant funds
- Meeting-related expenses directly related to management and administration of EMPG grant funds

- Acquisition of authorized office equipment, including personal computers, laptop computers, printers, LCD projectors, and other equipment or software which are used primarily in support the implementation of EMPG-related activities
- The following are allowable only within the period of performance of the grant program:
  - Recurring fees/charges associated with certain equipment, such as cell phones, faxes, etc. which are directly related to management and administration of FY 2007 EMPG supplemental grant funds
  - Leasing and/or renting of space for newly hired personnel to administer FY 2007 EMPG supplemental grant funds

### **Construction and Renovation Guidance**

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

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

1. Grantee must provide to NPD:
  - a. Description of the EOC facility, location, and the scope of the construction or renovation project
  - b. Certification that an assessment has been conducted to identify EOC needs regarding such issues as the facility, communications capability, computer systems and network capabilities, survivability, and sustainability
  - c. How the construction or renovation project will address the needs identified from the assessment
  - d. Consequences of not implementing the construction or renovation project
  - e. NEPA Compliance Checklist
2. Written approval must be provided by NPD prior to the use of any EMPG funds for construction or renovation

**National Environmental Policy Act (NEPA).** EMPG grant funds may be used for limited construction and renovation activities for EOCs, subject to all applicable laws, regulations, and licensing requirements. Applicants must outline the full scope of the construction-based project.

Those agencies applying for construction-based projects (as delineated in the EMPG Work Plan must comply with additional provisions of federal law, including (but not limited to) NEPA, whose requirements apply to federal projects, decisions, or actions,

including grants, which might have a significant impact on the quality of the human environment.

NEPA requires all federal agencies to analyze the possible environmental impacts of each construction project. The purpose of a NEPA review is to weigh the impact of major federal actions or actions undertaken using federal funds on adjacent communities, water resources, endangered species, historical buildings, archaeological resources, or culturally sensitive areas prior to construction. This review also addresses the compliance requirements of other associated laws and executive orders like the Endangered Species Act, National Historic Preservation Act, Executive Order 11988 on floodplains, etc. Grantees may be required to provide additional detailed information on proposed activities such as: location, site description, special construction needs, possible alternatives, and any environmental concerns that may exist. The NEPA Compliance Review of a proposed project could result in: the project, being approved via a categorical exclusion, the need to modify or redesign the project, or the need to perform an Environmental Assessment (EA) and/or draft an Environmental Impact Statement (EIS).

Grantees receiving EMPG funding for renovation or construction costs are advised to design their projects to minimize adverse environmental impacts, also minimizing the time and cost associated with their review. It is important to understand that compliance with the requirements of NEPA or other associated laws must be achieved before the expenditure of grant funds takes place.

### **Unallowable Costs Guidance**

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

## **F. Administrative Requirements**

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

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

Infrastructure Information (6 CFR Part 29) and Sensitive Security Information (49 CFR Part 1520), as these designations may provide additional protection to certain classes of homeland security information.

### **Compliance with Federal Civil Rights Laws and Regulations**

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

- *Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000 et. seq.* – No person on the grounds of race, color or national origin will be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity receiving Federal financial assistance;
- *Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794* – No qualified individual with a disability in the United States, shall, by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity receiving Federal financial assistance;
- *Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et. seq.* – Discrimination on the basis of sex is eliminated in any education program or activity receiving Federal financial assistance;
- *The Age Discrimination Act of 1975, as amended, 20 U.S.C. 6101 et. seq.* – No person in the United States shall be, on the basis of age, excluded from participation in, denied the benefits of, or subjected to discrimination under any program or activity receiving Federal financial assistance.

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

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

Recipients of DHS financial assistance are required to comply with several Federal civil rights laws, including Title VI of the Civil Rights Act of 1964, as amended. These laws prohibit discrimination on the basis of race, color, religion, national origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of limited English proficiency. To ensure compliance with Title VI, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs. For additional information, please see <http://www.lep.gov>.

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

Executive Order #13347, entitled "Individuals with Disabilities in Emergency Preparedness" and signed in July 2004, requires the Federal Government to support safety and security for individuals with disabilities in situations involving disasters, including earthquakes, tornadoes, fires, floods, hurricanes, and acts of

terrorism. DHS has outlined several steps for States to consider in protecting individuals with disabilities. Further information on this issue can be found at the Disability and Emergency Preparedness Resource Center at <http://www.disabilitypreparedness.gov>.

### **Buy American Act Compliance**

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

## **G. Technology Requirements**

### **National Information Exchange Model**

DHS, the Department of Justice (DOJ), and their associated domains announced the first production release of the National Information Exchange Model or NIEM Version 1.0 in November 2006. The NIEM establishes a single standard Extensible Markup Language (XML) foundation for exchanging information between DHS, DOJ, and supporting domains, such as justice, emergency management, and intelligence. To support homeland security, public safety, and justice information sharing, NPD requires all grantees to use the latest NIEM specifications and guidelines regarding the use of XML for all EMPG awards.

NIEM enables information sharing by an exchange development methodology that results in common semantic understanding among participating organizations and data formatted in a semantically consistent manner.

Grantees must ensure that any products developed with EMPG funds shall be compliant with NIEM standards. Further information about the required use of NIEM specifications and guidelines is available at <http://www.niem.gov>. Questions or comments about the use of NIEM specifications and guidelines may be submitted to: <http://www.niem.gov/contactus.php>.

### **Geospatial Guidance**

NPD encourages grantees to align geospatial activities with the guidance available on the NPD website at [http://www.ojp.usdoj.gov/odp/grants\\_hsgp.htm](http://www.ojp.usdoj.gov/odp/grants_hsgp.htm).

## APPENDIX A. Award and Reporting Requirements

### A. Grant Award

Upon approval of the application, the grant will be awarded to the State Administrative Agency. This date will be known as the “award date.” The signed award document with special conditions must be returned to the following address:

**Department of Homeland Security  
Federal Emergency Management Agency  
Grant Programs Directorate  
245 Murray Lane Bldg. 410  
Washington, DC 20528-7000**

Questions regarding your grant can be addressed through the FEMA help line at 1-866-927-5646 or e-mail at [ask-ogo@dhs.gov](mailto:ask-ogo@dhs.gov).

*Important Note: If you have any questions about GMS, need to establish a GMS account, or require technical assistance with accessing your award, please contact the GMS Hotline at 1-888-549-9901.*

### B. Drawdown and Expenditure of Funds

Following acceptance of the grant award and release of any special conditions withholding funds, the grantee can draw down and expend grant funds through the Payment and Reporting System.

Questions regarding award payments and how to access this system should be addressed to the dedicated FEMA call center at 1-866-927-5646 or email at [ask-ogo@dhs.gov](mailto:ask-ogo@dhs.gov).

Grantees should request funds based upon immediate disbursement requirements. Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated. Recipients should time their drawdown requests to ensure that Federal cash on hand is the minimum needed for disbursements to be made immediately or within a few days.

### C. Reporting Requirements

#### **Financial Status Report (FSR)**

Obligations and expenditures must be reported to DHS on a quarterly basis through the FSR, which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, FSR is due on April 30). A report must be submitted for every quarter the award is active, including partial calendar quarters, as well as for periods

where no grant activity occurs. Future awards and fund draw downs will be withheld if these reports are delinquent.

FSRs **must be filed online** through Payment and Reporting System.

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

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

For FY 2007 awards, grant and subgrant recipients should refer to the *Office of Grant Operations (OGO) Financial Guide*. All previous awards are still governed by the OJP Financial Guide, available at <http://www.ojp.usdoj.gov/FinGuide>.

**Required Submission:** Financial Status Report (FSR) SF-269a (due quarterly)

### **Categorical Assistance Progress Report (CAPR)**

Following award of a grant, the State and its subgrantees will be responsible for providing updated obligation and expenditure information on a regular basis. The grantee is responsible for completing and submitting the CAPR reports.

The CAPR is due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and on January 30 with a reporting period of July 1 through December 31). Grantees will provide initial overall obligation and expenditure information with the CAPR submission due January 30, 2008. Future awards and fund drawdowns may be withheld if these reports are delinquent.

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

**Required Submission:** CAPR (biannually).

**Project Reports**

EMPG project reports must be submitted to DHS headquarters and regional program staff on a quarterly basis. The project reports should be based on the objectives, performance measures and evaluation, activities, and expected outcomes outlined by the recipient in the EMPG Supplemental Work Plan.

**Required Submission:** Project Report (quarterly).

**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. Government Accountability Office, *Government Auditing Standards*, located at <http://www.gao.gov/govaud/ybk01.htm>, and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*, located at <http://www.whitehouse.gov/omb/circulars/a133/a133.html>. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Secretary of Homeland Security and the Comptroller General of the United States shall have access to any books, documents, and records of recipients of FY 2007 preparedness assistance for A-3 audit and examination purposes, provided that, in the opinion of the Secretary of Homeland Security or the Comptroller General, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller General, through any authorized representative, access to, and the right to examine, all records, books, papers or documents related to the grant.

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

**Federal Funding Accountability and Transparency Act**

While there are no requirements in FY 2007, the Federal Funding Accountability and Transparency Act of 2006 may affect reporting requirements in later years. The Act requires the Federal government to create a publicly-searchable online database of Federal grant recipients by January 1, 2008 with an expansion to include subgrantee information by January 1, 2009.

**D. Monitoring**

Grant recipients will be monitored periodically by DHS headquarters and regional program staff and Grant Programs Directorate staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets and other related program criteria are being met. Monitoring will be accomplished through a combination of office-based and on-site monitoring visits. Monitoring will involve the review and analysis of the financial,

programmatic, performance and administrative issues relative to each program and will identify areas where technical assistance and other support may be needed.

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

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

***Within 90 days after the end of the award period, grantees must submit a Final FSR, Final CAPR, and Final Report detailing all accomplishments throughout the project.*** The Final Report must detail the outcomes of the target hardening activities accomplished with grant funds. After these reports have been reviewed and approved by DHS, a Grant Adjustment Notice (GAN) will be completed to close out the grant. The GAN will indicate the project as being closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FSR.

**Required Submissions:** 1) Final SF-269a, Final CAPR, and Final Report, due 90 days from the end of the grant period.

## APPENDIX B. Assistance Resources and Support

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

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

CSID is a non-emergency resource for use by emergency responders across the Nation. CSID is a comprehensive coordination, management, information, and scheduling tool developed by DHS through NPD for homeland security terrorism preparedness activities. CSID provides general information on all NPD programs and information on the characteristics and control of CBRNE, agriculture, cyber materials, defensive equipment, mitigation techniques, and available Federal assets and resources. CSID also maintains a comprehensive database containing key personnel contact information for homeland security terrorism preparedness programs and events. These contacts include personnel at the Federal, State, and local levels.

*The CSID can be contacted at 1-800-368-6498 or [askcsid@dhs.gov](mailto:askcsid@dhs.gov). CSID hours of operation are from 8:00 am–7:00 pm (EST), Monday-Friday.*

### B. Grant Programs Directorate (GPD)

The DHS Grant Programs Directorate (GPD) provides fiscal support, including pre- and post-award administration and technical assistance, for the grant programs included in this solicitation, with the exception of payment related issues. All grant and sub-grant recipients should refer to the *OGO Financial Management Guide*, which is available at <http://www.dhs.gov/xopnbiz/grants/>.

*OGO can be contacted by e-mail at [ask-OGO@dhs.gov](mailto:ask-OGO@dhs.gov).*

#### **Homeland Security Preparedness Technical Assistance Program**

NPD's technical assistance program is a capabilities-based program, in coordination with DHS components, that seeks to build capacity related to two primary functional areas: (1) overall homeland security program management; and, (2) priority preparedness activities (prevent, protect against, respond to, and recover from major events, including threats or acts of terrorism). This two-pronged approach ensures that technical assistance services measurably contribute to the enhancement of the homeland security architecture, including emergency management capabilities, within each State and local jurisdiction. The technical assistance services designed, developed, and delivered with DHS components to State and local homeland security personnel address the full spectrum of mission areas, priorities, and capabilities outlined in the interim National Preparedness Goal. All technical assistance services are available to eligible recipients at no charge. NPD will cover the cost of providing the technical expertise, travel, and related expenses. For additional information, please

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

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

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

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

Additional information on each of these programs can be found on the NPD website located at: <http://www.ojp.usdoj.gov/odp> or by contacting the State's assigned NPD Preparedness Officer.

## APPENDIX C. EMPG Supplemental Work Plans

The EMPG Supplemental Work Plan must provide a high-level description of the State's planned use for FY 2007 EMPG supplemental funds, including sustaining or enhancing emergency management capabilities through personnel and activities, and does not need to reiterate ongoing efforts previously identified in the FY 2007 EMPG Work Plan submitted to DHS in December 2006. EMPG Supplemental Work Plan must include a Narrative and Budget. In addition, EMPG projects must be outlined using the Project Outline template.

### Narrative

Provide a brief description of State emergency management priorities and initiatives that will be addressed with FY 2007 EMPG supplemental funds. In addition, the narrative must address, if applicable, *any changes* to the State's FY 2007 EMPG Work Plan submitted to DHS in December 2006 on the following:

- Overview of the State's risk profile (natural, technological, man-made)
- State emergency management priorities and planning focus for FY 2007
- Relationship of those priorities to the state's Homeland Security Strategy
- Relationship of those priorities to the four accepted Homeland Security mission areas
- Relationship of those priorities to targeted capabilities found within the target capabilities list (TCL)
- Areas of need identified through the FEMA Gap Analysis Program, Nationwide Plan Review, EMAP process, Tactical Interoperable Communications Plan<sup>4</sup>, or other emergency management assessment process
- Number of State and/or local emergency management personnel either fully or partially supported by FY 2007 EMPG supplemental funds
- State and/or local equipment acquisition
- Type and number of State and/or local training sessions to be conducted or developed, including the estimated number of emergency responders to be trained in each training
- Type and number of State and/or local exercises, including the number of emergency responders to participate in each exercise

Consistent with the emergency management function chosen, the State may propose activities at a local level, as well as activities that have statewide application. For example, a State's program objective for exercises may include those conducted by counties or municipalities, as well as those conducted by the State.

### Budget

Provide a high-level budget and description breakdown of projected expenditures with FY 2007 funds. In addition, the State must outline it intends to match Federal EMPG funds.

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

## EMPG Project Outline

To facilitate performance measures and focus on outcomes, a Project Outline (see template on page C-3) must be completed for each project supported with FY 2007 EMPG supplemental funds. "Project" is defined here, for example, as updating an EOC, developing or updating a plan, or implementing an interoperable communications network. Although a Project Outline can be completed for describing staffing for day-to-day operations, it is not necessary.

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

- **EMF:** Identify how the project relates to the Emergency Management Functions identified through the EMAP Standard (e.g., Resource Management, Communications and Warning, etc.)
- **EMPG Objective:** Briefly explain the major objective of the project.
- **Preparedness Strategy Objective:** Please identify the objective in the State Homeland Security Strategy and/or the State's all-hazard strategic plan that this project will support.
- **National Priority/Target Capability:** Identify the National Priority this project supports (if applicable) and the Target Capability (as published September 2006) this project supports (if applicable).
- **Area of Need Addressed:** Identify the emergency management shortfall that this project will address and whether this shortfall was identified through the FEMA Gap Analysis Program, Nationwide Plan Review, EMAP process, or other relevant emergency management assessment; or, whether this project addresses the NRP or NIMS implementation.
- **Performance Measure and Basis of Evaluation:** Indicate the performance measure(s) that will be used to evaluate this project and the basis for developing the measure(s).
- **Challenges/Risks:** Identify any challenges to implementing this project.
- **Budget:** This section must outline: (1) explain how the costs were estimated; (2) justify the need for the costs; and, (3) outline how the match requirement of the grant program will be met. For clarification purposes, the narrative must include tables describing cost and expense elements (e.g. equipment list with unit costs/quantity).
- **Quarterly Activity:** For each quarter, briefly identify the expected outcome. *Note: The results section should not be filled out for the EMPG application, but instead should be set aside for recording progress and monitoring purposes during the period of performance.*

**FY 2007 EMPG Supplemental, Project #[x]**

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

## APPENDIX D. Allowable Cost Matrix

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

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

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

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

\*Only select sub-categories within AEL Category 3 are eligible for FY 2006 BZPP funding. These sections include: 3.1.6, 3.2.2, 3.2.3, and 3.2.4.

\*\* Not eligible under FY 2005 LETPP