U.S. Department of Transportation
Pipeline and Hazardous Materials Safety Administration

Hazardous Materials Emergency Preparedness (HMEP) Grant Program Application Kit and Program Reporting Guidance

Hazardous Materials Public Sector
Training and Planning Grants for Native American Tribes

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HMEP Grant Guidance for Native American Tribes

Preparation of Application for Assistance
Hazardous Materials Emergency Preparedness (HMEP) Grant

Application Kit

This document is intended to guide Native American Tribes in applying for training and planning grants under the Hazardous Materials Emergency Preparedness (HMEP) program (49 CFR Part 110).

For further information, contact Charles Rogoff, Manager, HMEP Grants Program of the U.S. Department of Transportation (USDOT) Pipeline and Hazardous Materials Safety Administration (PHMSA) at (202) 366-0001.

Purpose of this Grant Program

The Hazardous Materials Transportation Safety and Security Reauthorization Act of 2005 authorizes the U.S. DOT to provide assistance to public sector employees through training and planning grants to States, Territories, and Native American tribes for emergency response. The purpose of this grant program is to increase State, Territorial, Tribal, and local effectiveness in safely and efficiently handling hazardous materials accidents and incidents, enhance implementation of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA), and encourage a comprehensive approach to emergency training and planning by incorporating the unique challenges of responses to transportation situations.

Sizes of grant awards will be dependent on the number of applications. There will be a set-aside, to be used solely of Tribal grants. This amount is 3 percent of the annual HMEP grant funds

Proposal Development

Training and planning are two parts of the comprehensive national grant program. Native American Tribe applicants are encouraged to request funds to conduct one or both parts in a single application package (if both are included in one package, separate budgets for training and planning must be included). DOT/PHMSA will simplify the grant process by awarding funds for both parts in one grant document.

Because training and planning components for the grant program are funded separately by a special national registration fee program, DOT/PHMSA has a fiduciary responsibility to obligate and account for training and planning funds separately. Therefore, separate accounts for costs must be established for each in the application and grantee records.

Training and Planning
Application Requirements

A grant application from a Tribe must be accompanied by a letter from the Tribal authority designating an entity to receive Federal funds. The required written certification (located in the application package) should be provided. DOT encourages the designated entity to obtain substantive knowledge of the status of planning or training under EPCRA, familiarity with local emergency preparedness and response capabilities, and training needs and an understanding of the intent and mandate of HMEP.

To be approved for a planning grant, a Native American Tribe must agree that it is complying with Sections 301 and 303 of EPCRA and the National Incident Management System (NIMS). With respect to Section 301, the Native American Tribe must state that a Tribal Emergency Response Committee (TERC) has been established. In addition, the Native American Tribe must agree that the aggregate expenditure of funds (as defined by the Native American Tribe), exclusive of Federal funding, for planning activities will not fall below its average expenditure for its last 5 fiscal years. The Native American Tribe also must agree to make available to TERCs at least 75 % of the Federal planning grant funds provided.

To be eligible for a training grant, a Native American Tribe must agree that it is complying with Sections 301 and 303 of EPCRA**.** With respect to Section 301, the Native American Tribe must state that a TERC has been established. The Native American Tribe also must describe the status of their compliance with Section 303. In addition, the Native American Tribe must agree to make at least 75 % of the awarded Federal funds available for the purpose of training public sector emergency response employees. The Native American Tribe also must agree that it will maintain a 2-fiscal-year average of its own aggregate level of expenditures (as defined by the Native American Tribe) for training public sector employees and volunteers to respond to accidents and incidents involving hazardous materials and agree to use courses consistent with the National Curriculum Guidelines developed under HMEP**.**

HMEP Funding Priorities

Due to limited funding, PHMSA encourages grantees to use HMEP funds on activities that maximize transportation safety benefits to the community. The HMEP grant program prioritizes efforts that lead to the prevention of serious hazmat transportation related incidents, principally those of high consequence to people and the environment. The HMEP Grant Program distributes fees collected from shippers and carriers of hazardous materials to emergency responders for hazmat training and to Local Emergency Planning Committees (LEPCs) for hazmat planning.

1. Training conducted IAW NFPA 472 core competencies.

2. Training conducted IAW NFPA 472 mission specific training based on assessed hazmat transportation safety risks.

3. Increase availability of hazmat training to accommodate volunteer organizations.

4. Conduct drills and exercises to test State and County emergency response capabilities and to identify gaps in training and planning needs.

5. Ensure State, Federal, and local emergency planning and preparedness is established, integrated, and mutually supportive.

6. Community, industry, State and Federal disaster plans are integrated under a single unified Incident Command System (ICS). Plans are reviewed and updated as necessary annually.

7. Conduct appropriate hazard assessments and gap analysis to determine the level of hazmat safety risks within a jurisdiction, state, or region.

8. Improve interagency inoperability to better respond and mitigate hazmat incidents.

Examples of Ineligible Grant Expenses

Unallowable expenses are listed below, they are not inclusive of all unallowable expenses using HMEP grant funds.

1. Expenses not related to hazardous materials

2. Expenses claimed and or reimbursed by another program

3. Expenses counted as match funds toward another program

4. Expenses that supplant existing funds/programs

5. Entertainment costs/ food provided during exercises

6. Any costs disallowed or stated as ineligible in 49 CFR part 110 Final Rule

7. Software with the exception of Cameo

8. Software to manage Title III materials

9. Excessive costs for general office supplies, equipment, computer software, printing and copying

10. Operational equipment

11. National Incident Management Systems (NIMS) courses

12. Weapons of Mass Destruction (WMD) courses

Project and Budget Periods

Funding will be provided on the basis of approximately one-year budget periods. Each budget period will be funded according to a specifically defined budget and statement of work.

Matching Funds

Native American tribes must contribute a minimum of 20 percent matching share to the total cost of the grant project. Thus, if the total cost of the project is $5,000, the Tribe must provide at least $1,000, and DOT will provide no more than $4,000. The matching requirement must be satisfied by costs incurred by the grantee or by the value of in-kind contributions. Funds or costs used for matching purposes under any other Federal grant or cooperative agreement may not be used for matching proposes. Federal funds received through other sources cannot be used for matching unless specifically authorized by statute, as is the case with the Native American Self-Determination and Education Assistance Act. The funds or cost expended by a recipient to qualify for the grant may not be used for cost-sharing purposes

Review Process

DOT will consider all proposals submitted and will assess submissions based on the following factors:

- Potential Benefit 30 points: The criterion addresses the potential benefit to the total population in Tribal areas and any special population (such as high numbers of tourists during particular periods).

- Priority Need 40 points: This criterion addresses the presence of chemicals and hazardous materials on Tribal land. The need for training and planning can be measured by considering the number of facilities reporting extremely hazardous chemicals and the number of highway and railroad miles.

- Number of Persons Trained 10 points: This criterion addresses the total number of persons receiving training through this proposal and the total number of public sector employees (including volunteers) employed by the Tribe.

- Long-Term Benefit to Tribe 20 points: the applicant should show what, if any, long-term benefit will be derived as a result of funding this proposal.

Application Submission Requirements

PHMSA is posting grant opportunities and collecting application packages through the grant store-front system called Grants.gov. Separate specific instructions on completing the application package will be provided with the grant package in Grants.gov.

1. A complete application package must be submitted electronically in Grants.gov by June 1 to assure funding on or before October 1.

2. A signed hard copy package (one original, one copy) must be mailed within seven business days of the electronic submittal to:

HMEP Grants Manager
USDOT
Pipeline and Hazardous Materials Safety Administration
East Building Second Floor PHH-50
1200 New Jersey Ave SE
Washington, DC 20590

Grant Specialists Contacts

Grant Content and Program Inquiries:

Charles Rogoff – DOT (202)366-0001
Windy Hamilton - DOT (202) 366-8007

Kyra Stewart - DOT (202) 366-8752
FAX (202) 366-3753

Grants.gov Application Processing:

Carrie Brown – DOT (617) 494-3318
FAX 617-494-3770

Progress Reporting

The HMEP grant program, supporting State, Territorial and Tribal planning and training to enhance the response procedures for emergencies involving transportation of hazardous materials has relied heavily on recipient organizations to operate the best possible program for their jurisdiction. The latitude given grant recipients has resulted in a rapid increase, by all accounts received to date, in both planning and training.

It is important that we assess at all jurisdictional levels what has been accomplished just as you are continuing your assessments of planning and training needs.

Your insight and cooperation would be appreciated in developing a relatively concise and easy reporting scheme that will provide data that can be used to support all hazardous materials projects.

For example, planning should at least reflect the following:

1. Quantitative and qualitative assessment of development, improvement and implementation of emergency plans
2. Systems to determine and maintain information on flow patterns of hazardous materials
3. Need for regional response teams
4. Local response capabilities
5. Plans for conducting drills and exercises
6. Description of progress made toward meeting planning objectives as stated in your application
7. Description of unmet planning objectives and proposed approach to meet the objectives

Examples of training should at least reflect the following:

1. Number of public sector employees needing training
2. Training delivered to public sector employees
3. Training drills and exercises completed and planned
4. Description of progress made toward meeting training objectives as stated in your application
5. Description of unmet training objectives and proposed approach to meet the objectives

Checklist for Grant Application Preparation

ITEMS TO BE SUBMITTED VIA GRANTS.GOV BY TRIBAL GOVERNMENTS FOR HMEP GRANTS

- Application for Federal Assistance (SF-424)
- Budget Information for Non-Construction Programs (SF-424A)
- Assurances for Non-Construction Programs (SF-424B)
- Combined Assurances (ED-80-0013)
- Written narrative in electronic format following the outline in the next section

Narrative Outline

Your written narrative in electronic format must follow the following outline:

All Grant Applications – Items Required:

1. Organization Identification *{Please indicate the organization name and address, and Director's name}*

2. Transportation Fees *{Explain whether the Tribe assesses and collects fees on the transportation of hazardous materials and whether such assessments or fees are used solely to carry out purposes related to the transportation of hazardous materials}.*

3. Contact Information *{State the designated project manager including the name, position, address, email address, and telephone number of that individual who will be responsible for coordinating the funded activities with other agencies and organizations}.*

4. Report of Progress

    - Planning Grant – *{Report progress made toward achieving the project objectives stated in the preceding budget periods for the Planning Grant.}.*

    - Training Grant – *{Report progress made toward achieving the project objectives stated in the preceding budget periods for the Training Grant.}*

5. Report of Changes in Program Goals and Objectives. *{Report any proposed changes to the previously approved project goals and objectives.}*

6. Statement of Work for upcoming budget period

    - Planning Grant - *{Provide a statement of work for the upcoming budget period that describes and sets priorities for the activities and tasks to be conducted, the costs associated with each activity, the number and types of deliverables and products to be completed, and a schedule for implementation.}*

    - Training Grant - *{Provide a statement of work for the upcoming budget period that describes and sets priorities for the activities and tasks to be conducted, the costs associated with each activity, the number and types of deliverables and products to be completed, and a schedule for implementation.}*

7. TERC Involvement. *{Provide a statement detailing appropriate TERC involvement}*

8. Supplies and Equipment. *{Provide a description of supplies and equipment needed to implement the statement of work and justification for these needs.}*

Planning Grant – Items Required (Items below may be referenced above or attached as a separate document (such as spreadsheets, scanned images, etc.))

1. Tribe compliance with the EPCRA, Sections 301 and 303. *{Provide an explanation of how the Native American Tribe is complying with Sections 301 and 303 of EPCRA.}*

2. Tribe compliance agreement with NIMS. *{Provide an explanation of how the Native American Tribe is complying with NIMS.}*

3. TERC review of grant application. *{Provide a statement indicating that all members or the TERC were provided the opportunity to review the grant application.}*

4. Emergency planning activities being conducted by adjacent States and Native American Tribes. *{Provide a description of the coordination with emergency planning activities being conducted by adjacent States and Native American Tribes.}*

5. Statement of aggregate expenditures. *{Provide a written statement specifying the aggregate expenditure of funds by the Native American Tribe, exclusive of Federal funds, for each of its last 2 fiscal years (as defined by the Native American Tribe) for developing, improving, and implementing emergency plans under EPCRA. A written certification that the applicant's aggregate expenditure of funds for this purpose, exclusive of Federal funds, will not fall below the average level of its expenditures for its last 2 fiscal years.}*

6. Statement of at least 75% of funds for TERCs. *{Provide a statement agreeing to provide at least 75% of funds granted to the Native American TERCs.}*

7. Goals and Objectives. *{Provide a project narrative statement describing the goals and objectives of the proposed project, see page 17 for details to include.}*

8. Long-term goals and objectives. *{Provide a statement describing the applicant's long-term goals and objectives with respect to:*

   The current abilities and authorities of the applicant's program for preparedness planning;
   The need to sustain or increase program capability;
   The current degree of participation in or intention to assess the need for a regional hazardous materials emergency response team;
   The impact that the grant will have on the program;
   A discussion of whether the applicant knows, or intends to assess, transportation flow patterns of hazardous materials within the State and between the State and another State;
   A schedule for implementing the proposed grant activities; and
   A statement describing the ways in which planning will be monitored by the recipient.}

Training Grant – Items Required (Items below may be referenced above or attached as a separate document (such as spreadsheets, scanned images, etc.))

1. Letter from the Tribal government. *{Provide a letter from the Tribal Government, governing body, or Tribal council designating the Tribal agency authorized to apply for the grant.}*

2. Tribe compliance with the EPCRA, Sections 301 and 303. *{Provide an explanation of how the Native American Tribe is complying with Sections 301 and 303 of EPCRA.*

3. Tribe compliance agreement with NIMS. *{Provide an explanation of how the Native American Tribe is complying with NIMS.}*

4. Statement: TERC review of grant application. *{Provide a statement indicating that all members or the TERC were provided the opportunity to review the grant application.}*

5. Statement of aggregate expenditures. *{Provide a written statement specifying the aggregate expenditure of funds by the Native American Tribe, exclusive of Federal funds, for each of its last 2 fiscal years (as defined by the Native American Tribe) for developing, improving, and implementing emergency plans under EPCRA. A written certification that the applicant's aggregate expenditure of funds for this purpose, exclusive of Federal funds, will not fall below the average level of its expenditures for its last 2 fiscal years.}*

6. Statement of at least 75% of funds for training of public sector employees. *{Provide a statement agreeing to provide at least 75% of funds for training of public sector employees.}*

7. Point of Contact for coordinated training, and designation of location for course materials. *{Provide the designation of a primary point of contact for coordinating training funded under this program, and identify a single repository for copies of course materials delivered under this grant.}*

8. Project Narrative. *{ please provide the project narrative statement of the long-range goals and objectives of each proposed project, including a statement addressing the criteria established in this guidance, specifically:*

    Potential benefit:

    i. Total population of the Tribal lands; and

    ii. Total special population at risk (such as high tourism during particular periods).

    b. Priority need:

    i. The number of facilities reporting extremely hazardous substances on Tribal lands; and

    ii. The number of highway miles.

    c. Benefit to public sector employees:

i. *Training audience, including numbers and levels of training and accreditation program for each level or criteria required to advance to the next level; and*
ii. *Estimated total number to be trained under this grant program.*

d. *Long-term benefit:*
   i. *The impact that the grant and the National Curriculum Guidelines (when developed) or DOT'S interim curriculum guidance will have on the program; and*
   ii. *The ways in which training will be monitored by the recipient, including but not limited to random examinations in inspections, and audits of training.*

9. Size and scope of training need. *{please provide a statement describing the size and scope of the overall Tribal training need, using categories in the Needs Assessment Form (in the National Curriculum Guidance) or other categories appropriate to the existing program data. This information should include:*

   a. *The size and scope of training need in terms of numbers of persons involved in response and planning for response;*

   b. *The number of persons currently trained;*

   c. *The number still needing training;*

   d. *Other relevant factors such as the estimated turnover rate;*

   e. *An explanation of measures by which training will be monitored by the recipient, including but not limited to random examinations, inspections, and audits of training, to maximize the cost-effectiveness and qualitative impact of the program.*

10. Project Narrative Statement. *{To ensure that proposed training activities are part of a broader and coordinated training effort for a Tribe, please provide a project narrative statement describing the Tribe's overall training plan. The following information should be included:*
    a. *Short- and long-range goals and objectives of each proposed project and of overall program;*
    b. *A description of the overall training needs of the jurisdiction, quantified in terms of number of persons needing training and the number of persons currently trained in the different disciplines and planning and response functions (i.e., number firefighters, EMTs, EMSs to be trained with grant funds during the current budget period) ;*
    c. *An explanation of the ways in which the training grant will support the diversity of needs in the jurisdiction, such as decentralized delivery of training to meet the needs and time considerations of local responders or how the grant program will accommodate the different training needs for rural versus urban environments; and An explanation of quality control measures, including but not limited to random examinations, inspections, and audits of training, to maximize the cost effectiveness and impact of the program.}*

11. Course Information. *{Provide information on the individual courses for which funding is being requested in the grant application, including confirmation that the course is compliant with the guidelines.}*

12. Training activities Schedule. *{Provide a schedule for implementing the proposed training grant activities in the upcoming budget period.}*

13. Estimate of levels of training and funds. *{Provide a general estimate of the levels of training and funds that might be needed to fully address the State's or Territory's training requirements during the project period. This estimate will probably involve projected annual expenditures and grant requests that are greater than the amount allocated for a jurisdiction in the previous budget period of the grant program.}*

Planning Grant Guidance

The purpose of this planning grant guidance is to help you make better informed decisions regarding your grant application. In addition to providing an outline of the information needed in your application, it identifies technical assistance materials that can provide useful information for selecting grant-eligible activities. Examples of transportation-related projects undertaken by SERCs and LEPCs across the country also are included.

The primary objective of the planning grants program is to develop, improve, and implement emergency plans under EFCRA as well as determine the need for regional hazardous materials emergency response teams. To accomplish these objectives, specific activities that will improve planning have been identified by Congress as those that are eligible for funding. Among these are conducting commodity flow assessments, hazards analysis, drills and exercises; assessing local response capabilities; and enhancing emergency plans.

The general guidance document suggests the development of a multiyear program strategy. If you did not set out a clear multiyear strategy in your previous application, you should consider doing so as part of your continuation application. To implement a multiyear application strategy, you should know where your State currently stands in the planning process and how HMEP funds will be prioritized and made available for use by LEPCs. You can then build a revised program mission, chart the priority activities for the coming years, and begin your continuation application project narrative statement. What are your broad program objectives? How can you supplement the previous activities? For example, if you focused attention on certain LEPCs during the previous years, do you plan to continue with that strategy, or will you pinpoint a different group during each budget period?

Beginning the Process

Several questions should be considered to determine where the State is in the planning process. What percentage of the population is covered by emergency plans? Are these emergency plans based on technically-sound hazards analyses? To what degree is transportation-related risk considered in these plans? Have the plans been tested by conducting exercises?

Establishing Priorities

HMEP funds will be provided to the Native American Tribe, but according to the statute, at least 75 % of those funds must be passed through to TERCs. Because each Tribe has unique risks and unique planning organizations associated with it, each Tribe should consider prioritizing the uses of its HMEP allocation. Depending on the circumstances in your State, it might make the most sense to allocate an equal amount of money to each TERC. Another option is to provide larger sums to specific areas with the greatest need. Questions to consider when making this determination include: Are there certain geographical areas that are of particular concern, especially considering transportation-related concerns? Is there a way to distribute HMEP funds based on the presence of specific high-risk, high-priority chemicals?

What Should the Planning Project Narrative Include?

The project narrative required sets out the goals and objectives of your HMEP program. You should update and include changes to the following elements for each major activity you are proposing:

- *Background Statement.* This is the long-term goals and objectives for the program and should include:
  - *Current Authorities.* Describe your Tribal Authority and the funding mechanism(s) that provide the structure to your program.

  - *Increasing Program Capability.* What are your Tribe's primary planning needs? By linking your needs with the grant-eligible activities, you will justify your proposal..

  -*Regional Hazardous Materials Teams.* Does your jurisdication presently participate in regional hazardous materials emergency response teams? Do you see a need for such involvement in the future??

- *Impact on the Program.* What impact will HMEP have in your area? How will it fit into your overall plan to implement EPCRA?

- *Transportation-Related Work.* What is the potential for problems associated with transportation flow patterns of hazardous materials within your boundaries and between your Treibe and others? If commodity flow information is not available, do you plan to assess these patterns? This type of study can provide you with valuable information on potential transportation accidents within your area.

- *Time Line.* Include a realistic schedule for implementing the activities you have proposed. This could include a single-year or multiyear plan.

- *Monitoring Efforts.* How do you intend to monitor the program? Describe the types of mechanisms required by your Tribe and within your agency for financial and programmatic monitoring.

- *Coordination of Planning.* Include a description of how planning under the grant will be coordinated with emergency planning conducted by adjacent States and Indian Tribes.

Eligible Project Activities for Continuation Planning

Planning grants may be made to reimburse Native American Tribes for (1) developing, improving, and implementing emergency plan under the EPCRA; (2) determining the flow patterns of hazardous materials within tribal lands; (3) determining the need for regional hazardous materials emergency response teams; and (4) ensuring that planning under is coordinated with emergency planning conduction by adjacent States and Native American Tribes. Refer to page 31 for more detailed planning grant guidance.

The following specific activities are eligible for planning grants:

- Development, improvement, and implementation of emergency plans required under EPCRA as well as exercised that test the emergency plan. Enhancement of emergency plans to include hazards analysis as well as response procedures for emergencies involving transportation of hazardous materials, including radioactive materials;

- An assessment to determine flow patterns of hazardous materials within Native American country; also development and maintenance of a system of keep such information current;

- An assessment of the need for regional hazardous materials emergency response teams;

- An assessment of local response capabilities;

- Conducting emergency response drill and exercises associated with emergency preparedness plans;

- Technical staff to support the planning effort (staff funded planning grants cannot be diverted to support other requirements of EPCRA); and;

- Additional activities that the DOT Associated Administration for Hazardous Materials Safety deems appropriate to implant the scope of work for proposed project.

Training Grant Guidance

Eligible Project Activities for Continuation Training

Training grants will be made available to Native American Tribes for training public sector employees to respond safely and efficiently to accidents, including those involving transportation of hazardous materials. Training may be designed for public officials who are not responders but who perform activities associated with emergency response plan developed under EPCRA (for example, members of the TERC). Operation equipment to be used in response is excluded from consideration for funding under this grant program.

The following are some options for the delivery of training:

- Develop and deliver training to public sector employees according to the priority need and requests of the Tribal LEPCs of the TERC;

- Distribute training grant Funds directly to LEPCs to support public sector employee training delivered either by the Tribal LEPC, tribe, or other-than-tribe providers; or

- Distribute training grant funds directly to public sector employees to enable them to attend approved training courses. Approved expenses will be distributed to trainees on a reimbursement basis.

The following activities are also eligible for HMEP training grant support:

- Training audience assessment to determine the number of public sector employees who need training and to select courses consistent with the National Curriculum Guidelines;

- Delivery of comprehensive preparedness and response training to public sector employees to include design and delivery of training to meet special needs; students and instructor course materials and manual; student tuition, travel, per diem costs; instructor cost; training facility rental; and equipment rental necessary to deliver an approved course;

- Training by a person (including a department, agency , or instrumentality of a Native American Tribe) and activities necessary to monitor such training including random examination, inspections, and audits of training;

- Management of the training effort to achieve increased benefits, proficiency , and rapid deployment of local and regional responders; and

- Additional activities that the DOT Associate Administrator for Hazardous Materials Safety deems appropriate to implement the scope of work for the proposed project and that are approved in the grant.
-

Examples of Allowable Training Grant Expenses

- Native American tribes may award sub-grants or contracts to another entity such as an institution of higher education or a private contractor. Supporting documentation should be included in the application package attesting to the need for this outside assistance.

- A change for student tuition is allowable as long as proceeds from the training are used for HMEP training activities.

- On Request, participation Federal agencies will provide Native Americans tribes “camera-ready” copies of Federal course materials needed for training, which the Tribes can duplicate. Such duplication cost will be allowable expenses under HMEP. Materials purchases from the private sector also will be allowable expenses.

- For participation in exercises, personnel expenses, and response drill associates with emergency response plans, overtime will *not* be an allowable expense. Limited equipment rental and purchase of supplies are allowed, depending on reasonableness of the proposal a determined by the DOT project Officer.

Non-allowable Training Grant Expense

Overtime for participation in exercises is not an allowable personnel expense.

CURRICULUM GUIDANCE

Background

In 1994**,** DOT first provided the Guidelines for Public Sector Hazardous Materials Training to HMEP grantees to assist in the curriculum management of the training programs funded by the HMEP grant program.

In addition, in an ongoing effort, DOT coordinated with the HMEP grantees the self-assessment of response training courses for public sector employees. The list of courses that have been assessed for compatibility with the HMEP curriculum guidelines includes the State, Federal and professional association programs used by the HMEP grantees in their respective training curriculums. The results of the response course self-assessment program are provided to the HMEP grantees in the document HMEP List of Assessed Response Courses, which is enclosed with this grant guidance. The HMEP assessment of response training courses will be an on-going process, and new or updated courses will continuously be assessed and added to the *HMEP List of Assessed Response Courses*. Therefore, this catalog will be regularly updated and updates provided to HMEP grantees as additional course assessments are made available.

Current Training Grant Curriculum Directions

Planning and Prevention Training

For planning and prevention training to be reimbursed under the HMEP training grant program, grantees should review the current edition of the Guidelines for Public Sector Hazardous Materials Training and should ensure that proposed training courses are within the scope and focus of the curriculum guidance for these training areas.

Response Training

For response training to be reimbursed under the HMEP training grant program, the courses used should be assessed using the HMEP response course self-assessment materials. The HMEP grant program maintains the policy of supporting each grantee's independent authority over their respective training curriculums. To both continue this policy and ensure that response courses assessed, grantees are asked to either:

1. **Use response courses that have been assessed** for compliance with guidelines and are so indicated in the enclosed HMEP List of Assessed Response Courses. Later editions of courses on the list are acceptable if the grantee judges that the updated edition does not significantly alter the substance and scope of the training course. The list of assessed hazmat courses is available from FEMA/USFA, 301-447-1009.

OR

2. **Provide a completed self-assessment** to FEMA/USFA, 301-447-1009 for courses not in the current *HMEP List of Assessed Response Courses*.

HMEP curriculum guidance materials

- Current Guidelines for Public Sector Hazardous Materials Training
- HMEP List of Assessed Response Courses
- HMEP Hazardous Materials Response Course Self-Assessment Kit

Closeout, Payment Reporting Guidance

CLOSEOUT OF GRANT AWARD

Background

When PHMSA awards an HMEP grant, the agreement defines a specific "budget period" during which the funds are available to the grantee. For HMEP grants each budget period will be approximately 1 year. A financial status report and a progress report are required at the end of each budget period

The recipient uses the award agreement as its authority to enter into its own obligations for internal expenses, contracts, etc., to carry out agreed-on activities during the approved budget period. The grant agreement serves as the document that obligates DOT funds for purposes of accomplishing project objectives during an approved budget period. At the end of each quarter the recipient must provide to PHMSA a Financial Status Report (Form 269) (see page 30). If the fourth quarter report is not a “final” report, then the recipient must provide a final report showing obligations and liquidations for the covered grant period.

Native American Tribal recipients of HMEP training and planning grants should be aware of grant policy regarding closeout of each grant award and disposition of any unused funds awarded to carry out projects authorized by HMEP. Often, particularly in the early stages of a project, expenditures of grant funds do not proceed as planned. This situation may occur for many reasons; for example, inability to hire a staff person, inability to conduct or schedule training sessions prior to the end of a budget period, changing priorities, or modifications to the initially proposed scope of work. For whatever reason, there are many instances when a recipient has not obligated significant amounts of its Federal grant funds at the conclusion of a budget period. This section clarifies procedures for disposing of unobligated balances and closing out the financial accounting for each grant award.

One aspect of financial closeout is the payment of grantee outlays. All recipients are encouraged to request reimbursement for the Federal share of outlays as needed or as soon as possible after completion of each budget period. Standard Form 270, Request for Advance or Reimbursement, (see page 28) is to be used for requesting payments. If balances are not drawn down, they may be deobligated and will no longer be available for grantee use.

GENERAL FINANCIAL CLOSEOUT PROCEDURES

Closeout Reporting Requirements

Both program progress and financial status reports must be submitted for each budget period. The progress report must be submitted to the HMEP Grants Manager no later than 90 days after the budget period is completed. See page 9 for guidance on progress reporting.

The Financial Status Report (FSR), Standard Form 269 (see page 30), must be used to complete financial reporting for each grant period funded. Copies of the FSR may be made or may be requested from the HMEP Grants Manager. A final FSR should be submitted to the HMEP Grants Manager within 90 days of the completion of each budget period.

Zero Balance Closeout

When all Federal funds and all required matching non-Federal funds have been used for purposes approved in the grant, line 10.m. of the FSR will be zero. This zero unobligated balance of Federal funds authorizes DOT to close out the funding period identified by the FSR, subject only to a future audit.

Decreases in Obligation Amounts

Unobligated balances of funds may exist at the end of a grant period and a determination must be made by the grantee that the unused funds should be decreased from the grant funds available. Usually these situations involve relatively small amounts of grant funds; however, decreases may be needed for many reasons, and thus the amount of the decrease, if any, will vary from grant to grant. The amount of the decrease will be identified on line 10.m. of the final FSR. Any recovery of grant unobligated balances will be considered a recovery to the registration fee fund and will be used to accomplish HMEP objectives.

SF-270 – Request for Advance or Reimbursement

This form may be obtained online here: http://www.whitehouse.gov/omb/grants/sf270.pdf

REQUEST FOR ADVANCE OR REIMBURSEMENT (See instructions on back)	OMB APPROVAL NO. 0348-0004	PAGE 1 OF PAGES
	1. TYPE OF PAYMENT REQUESTED: a. "X" one or both boxes ☐ ADVANCE ☐ REIMBURSEMENT; b. "X" the applicable box ☐ FINAL ☐ PARTIAL	2. BASIS OF REQUEST ☐ CASH ☐ ACCRUAL
3. FEDERAL SPONSORING AGENCY AND ORGANIZATION ELEMENT TO WHICH THIS REPORT IS SUBMITTED	4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY	5. PARTIAL PAYMENT REQUEST NUMBER FOR THIS REQUEST
6. EMPLOYER IDENTIFICATION NUMBER / 7. RECIPIENT ACCOUNT NUMBER OR INDENTIFYING NUMBER	8. PERIOD COVERED BY THIS REQUEST: FROM (month, day, year)	TO (month, day, year)
9. RECIPIENT ORGANIZATION Name Number and Street City, State and ZIP Code	10. PAYEE (Where check is to be sent if different than item 9) Name Number and Street City, State and ZIP Code	

11. COMPUTATION OF AMOUNT OF REIMBURSEMENTS/ADVANCES REQUESTED

PROGRAMS/FUNCTIONS/ACTIVITIES ▶	(a) Planning	(b) Training	(c)	(d) TOTAL
a. Total program outlays to date *(As of date)*				
b. Less: Cumulative program income				
c. Net program outlays *(Line a minus line b)*				
d. Estimated net cash outlays for advance period				
e. Total *(Sum of lines c & d)*				
f. Non-Federal share of amount on line e				
g. Federal share of amount on line e				
h. Federal payments previously requested				
i. Federal share now requested *(Line g minus line h)*				
j. Advances required by month, when requested by Federal grantor agency for use in making prescheduled advances — 1st month				
2nd month				
3rd month				

12. ALTERNATE COMPUTATION FOR ADVANCES ONLY

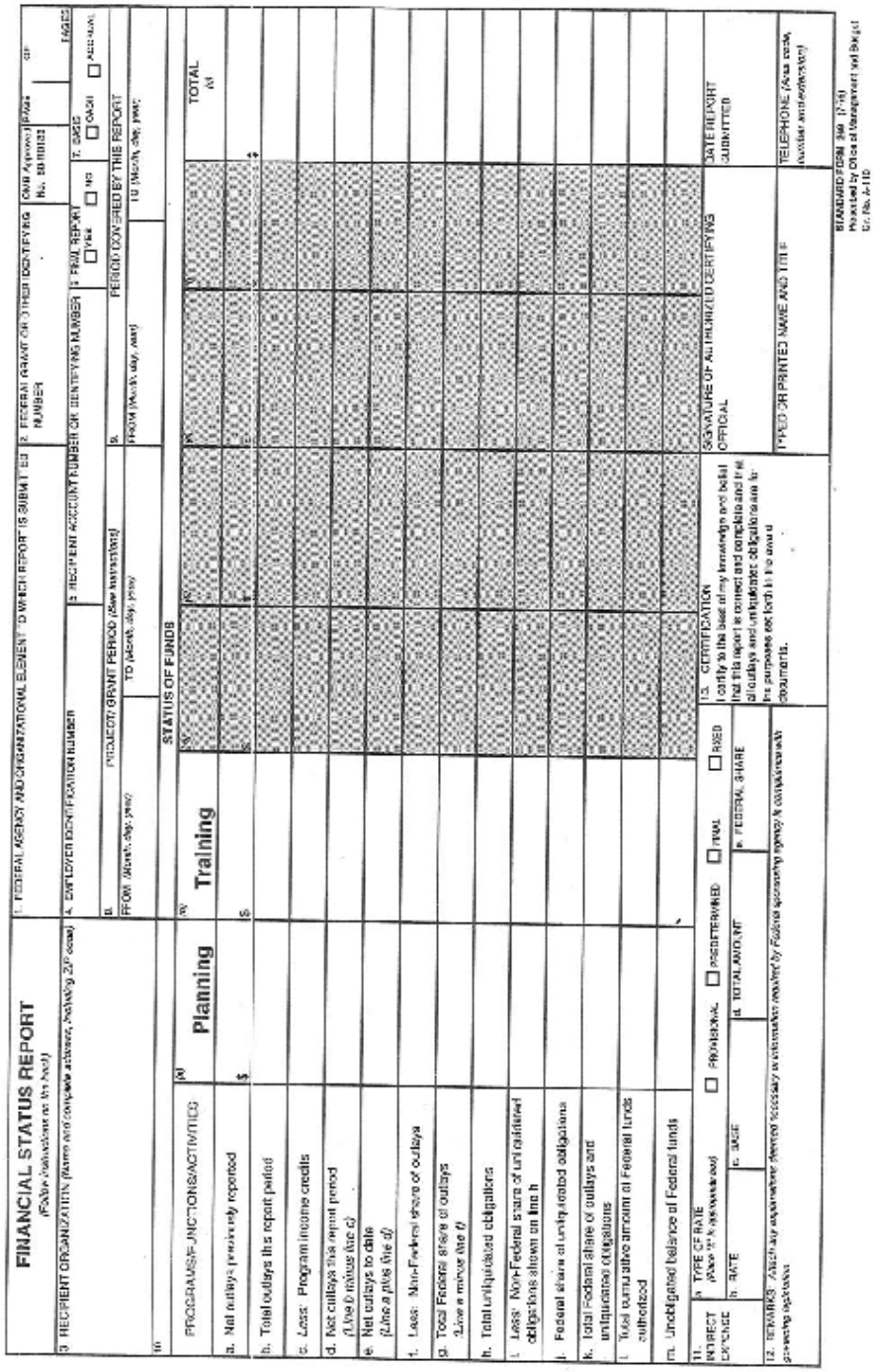
a. Estimated Federal cash outlays that will be made during period covered by the advance	
b. Less: Estimated balance of Federal cash on hand as of beginning of advance period	
c. Amount requested *(Line a minus line b)*	

AUTHORIZED FOR LOCAL REPRODUCTION *(Continued on Reverse)* STANDARD FORM 270 (Rev. 7-97)
Prescribed by OMB Circulars A-102 and A-110

13. CERTIFICATION

I certify that to the best of my knowledge and belief the data on the reverse are correct and that all outlays were made in accordance with the grant conditions or other agreement and that payment is due and has not been previously requested.	SIGNATURE OF AUTHORIZED CERTIFYING	DATE REQUEST SUBMITTED
	TYPED OR PRINTED NAME AND TITLE	TELEPHONE (AREA CODE, NUMBER, EXTENSION)

SF-269 – Financial Status Report



FINANCIAL STATUS REPORT
(Follow instructions on the back)

1. FEDERAL AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH REPORT IS SUBMITTED

2. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER

OMB Approval No. 0348-0039

Page | of | Pages

3. RECIPIENT ORGANIZATION (Name and complete address, including ZIP code)

4. EMPLOYER IDENTIFICATION NUMBER

5. RECIPIENT ACCOUNT NUMBER OR IDENTIFYING NUMBER

6. FINAL REPORT ☐ Yes ☐ No

7. BASIS ☐ Cash ☐ Accrual

8. PROJECT/GRANT PERIOD (See instructions)
FROM (Month, day, year) TO (Month, day, year)

9. PERIOD COVERED BY THIS REPORT
FROM (Month, day, year) TO (Month, day, year)

10. STATUS OF FUNDS

PROGRAMS/FUNCTIONS/ACTIVITIES	(a) Planning	(b) Training	(c)	(d)	(e) TOTAL
a. Net outlays previously reported	$	$			$
b. Total outlays this report period					
c. Less: Program income credits					
d. Net outlays this report period (Line b minus line c)					
e. Net outlays to date (Line a plus line d)					
f. Less: Non-Federal share of outlays					
g. Total Federal share of outlays (Line e minus line f)					
h. Total unliquidated obligations					
i. Less: Non-Federal share of unliquidated obligations shown on line h					
j. Federal share of unliquidated obligations					
k. Total Federal share of outlays and unliquidated obligations					
l. Total cumulative amount of Federal funds authorized					
m. Unobligated balance of Federal funds					

11. INDIRECT EXPENSE
a. TYPE OF RATE (Place an "X" in appropriate box) ☐ PROVISIONAL ☐ PREDETERMINED ☐ FINAL ☐ FIXED
b. RATE c. BASE d. TOTAL AMOUNT e. FEDERAL SHARE

12. REMARKS (Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation)

13. CERTIFICATION
I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

DATE REPORT SUBMITTED

TYPED OR PRINTED NAME AND TITLE

TELEPHONE (Area code, number and extension)

STANDARD FORM 269 (7-76)
Prescribed by Office of Management and Budget
Circ. No. A-110

Sample 269 showing zero balance

SAMPLE FINAL FINANCIAL STATUS REPORT

SHOWING ZERO BALANCE OF FEDERAL FUNDS
(SEE 10.m.)

FINANCIAL STATUS REPORT

1. FEDERAL AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH REPORT IS SUBMITTED: DOT, RSPA, Hazardous Materials Transportation Grants Office
2. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER: Your Grant No.
3. FOR OMB USE ONLY
4. PAGE 1 OF 1 PAGES

5. RECIPIENT ORGANIZATION (Name and complete address, including ZIP code):
Your State Agency
Your Street Address
Your City, State Zip Code

6. EMPLOYER/TAXPAYER IDENTIFICATION NUMBER: Your EIN
7. RECIPIENT ACCOUNT NUMBER OR IDENTIFYING NUMBER: Your Accounting Info
8. FINAL REPORT: ☐ ☒
9. BASIS: ☐ ☒

6.1 PROJECT/GRANT PERIOD (See instructions)
FROM (Month, day, year): 04/01/93
TO (Month, day, year): 07/01/99

9. REPORTING PERIOD COVERED BY THIS REPORT
FROM (Month, day, year): 07/01/94
TO (Month, day, year): 09/30/95

10. STATUS OF FUNDS

(Use lines a-o for cumulative entries)	Unliquidated Grant	Unliquidated Grant	(c)	(d)	(e)	(f)	(g) TOTAL
a. Net outlays previously reported	$ 0	$ 0	$	$	$	$	$ 0
b. Total outlays this report period	100,000	200,000					300,000
c. Less: Program income credits	0	0					0
d. Net outlays this report period (Line b minus line c)	100,000	200,000					300,000
e. Net outlays to date (Line a plus line d)	100,000	200,000					300,000
f. Less: Non-Federal share of outlays	20,000	40,000					60,000
g. Total Federal share of outlays (Line e minus line f)	80,000	160,000					240,000
h. Total unliquidated obligations	0	0					0
i. Less: Non-Federal share of unliquidated obligations shown on line h	0	0					0
j. Federal share of unliquidated obligations	0	0					0
k. Total Federal share of outlays and unliquidated obligations	80,000	160,000					240,000
l. Total cumulative amount of Federal funds authorized	80,000	160,000					240,000
m. Unobligated balance of Federal funds	0	0					0

11. INDIRECT EXPENSE
a. TYPE OF RATE (Place "X" in appropriate box) ☐ PROVISIONAL ☐ PREDETERMINED ☐ FINAL ☐ FIXED

b. RATE	c. BASE	d. TOTAL AMOUNT	e. FEDERAL SHARE
15%	MTDC	16,000	28,800

12. REMARKS: Attach any explanation deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation.

13. CERTIFICATION
I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL: 151

DATE REPORT SUBMITTED: 11/1/95

TYPED OR PRINTED NAME AND TITLE

TELEPHONE (Area code, number and extension)

269-102

STANDARD FORM 269 (7-76)
Prescribed by Office of Management and Budget
Cir. No. A-110

HMEP Grant Accountability Questions

Beginning with the application for FY 2008 funds, applicants will be asked to respond to the following additional questions:

Part 1
Reporting of Authorized Expenditures

Please complete the table on the funds spent on planning and training grants. The totals should account for 100 percent of the funds granted to a State, Territory, or Tribal government.

ACCOUNTING OF HMEP GRANT FUNDS EXPENDED IN THE REPORTED GRANT YEAR			
Section of 49 CFR	**Authorized Activity**	**Expenditures (Dollars)**	**Percent of Total Grant**
§110.40 (a)	***Planning***	//////////////////	//////////////////
§110.40 (a)(1)	Provide total dollar amount expended to develop, improve, and implement emergency plans, as well as exercises which test the plan and enhancements to the plan to include hazard analysis & response procedures to hazmat transportation		
§110.40 (a)(2)	Provide total dollar amount expended to assess flow patterns of hazardous materials within a state and between states		
§110.40 (a)(3)	Provide total dollar amount expended to assess the need for regional hazardous materials emergency response teams		
§110.40 (a)(4)	Provide total dollar amount expended to assess local response capabilities		
§110.40 (a)(5)	Provide total dollar amount expended to conduct emergency response drills and exercises		
§110.40 (a)(6)	Provide total dollar expended for the use of technical staff to support the planning effort		
§110.40 (a)(7)	Provide total dollar amount expended for additional activities the Associate Administrator deems appropriate to implement the scope of work for the proposed project and approved in the grant		
	Provide the total dollar amount expended by grantees to administer the HMEP planning grant to include improvement to emergency response planning; update or complete assessments; conduct exercises; and other authorized planning activities by the grantee to include other authorized expenditures allowed under the law		
	SubTotal Planning Expenditures		

§110.40 (b)	***Training***	//////////////////	//////////////////
§110.40 (b)(1)	Provide total dollar amount expended to assess the number of public sector employees who need proposed training in accordance with the local emergency response plan		
§110.40 (b)(2)	Provide total dollar amount expended on delivery of preparedness and response training to include tuition, travel expenses, room & board		
§110.40 (b)(3)	Provide total dollar amount expended for emergency response drills and exercises, course of study, tests and evaluations of emergency response plans		
§110.40 (b)(4)	Provide total dollar amount expended for expenses associated with giving training and monitoring training to include, but not limited to examinations, critiques and instructor evaluations		
§110.40 (b)(5)	Provide total dollar amount expended for staff to manage the training effort designed to result in increased benefits, proficiency, and rapid deployment of local and regional responders		
§110.40 (b)(6)	Provide total dollar amount expended for additional activities the Associate Administrator deems appropriate to implement the scope of work for the proposed project and approved in the grant		
	SubTotal Training Expenditures		
	Total Planning and Training Expenditures		100%

Part 2
Report of HMEP Grant Accomplishments

The questions below are to be used by grantees to report the accomplishments and successes the HMEP grant program has achieved through the year. These questions address both the planning and training categories of the grant program. Please answer each question to the best of your ability.

Questions Pertaining to Planning

1. Provide the total number of LEPC's and break out the total number of active and inactive LEPC's. Provide the number of LEPCs that received funding and the amount received by each.

2. Provide the number of LEPCs that have identified or further evaluated risks in their communities. Provide a brief description of the methods used by the LEPCs to identify these risks, such as: community meetings; review of Tier 2 reports; commodity flow study; written or windshield surveys; hazard analysis; and vulnerability assessment as part of the emergency operations plan (EOP) process. Provide the number of commodity flow studies and hazard risk analyses accomplished.

3. Provide the methods used to update the emergency plan such as: LEPC meetings; types of infrastructure update information; point of contact lists; location of vulnerable populations; updates of maps; and response capabilities. Provide the number of LEPCs that have updated or written their emergency plan in the past year to be consistent with the changing conditions of the community and the identified risks.

4. Provide the number of LEPCs that exercised their emergency operations plan in the past year. Explain the type and total number of exercises conducted, for example: table top, real world simulation, or multiple jurisdictional drill; the agencies involved; and the number of people who participated. Provide information on whether the exercise involved a fixed facility, a mode of transportation, or a combination of both. If a mode of transportation was involved, indicate whether it was rail, water, road, or air; and whether a hazardous material(s) was used as part of the exercise scenario. If a hazardous material(s) was used, indicate the type(s) of material exercised. How many total exercises were accomplished?

5. Were lessons learned from the exercise incorporated into response planning and the community emergency plan?

6. Provide the number of LEPC members who attend meetings, conferences, or other opportunities for preparedness and response education.

7. Provide the number of LEPCs with the different types of preparedness projects and outreach initiatives they conducted to improve community awareness and safety.

8. For those LEPCs that retained HMEP, funding describe the type of projects that were funded and the cost associated with each along with a description of the process used to award the project (risk analysis, needs assessment, etc.).

9. Provide the total number of hazardous materials response teams located in each of the states/tribe/territory to include industry teams.

Questions Pertaining to Training

10. Did state grantees provide training directly? Did they go through an outside contracted organization to provide training, or a combination of both?

11. If state grantees provided training, how many people (fire, police, EMS, other*) received hazmat training in the past year in accordance with OSHA 1910.120; and to what level of training did they receive: Awareness, Operation, Specialist, Technician and refresher training of these levels. Was the training fully funded or funded in part** by HMEP grant funds?

12. Did people receive ICS or other types of response related training? Examples of other type of training events would be TRANSCAER, regional or national hazmat training conferences etc.

13. Were there classes offered other than those in accordance with NFPA or OSHA standards? If so, how was the offering of the course determined, the number of people trained, and the type of training conducted.

14. For those states that provided funding to LEPCs for training, provide the number of LEPCs to receive funding for training with the amount received for each. Provide the number of people (fire, police, EMS, other) in each level who received hazmat training in the past year in accordance with OSHA 1910.120. Break down the number of people trained in each hazmat level: Awareness, Operation, Specialist, Technician, and annual refresher training by level in accordance with OSHA 1910.120. Provide information on who provided the training, the number trained for each, and the type of training delivered. Was the training fully funded or funded in part** by HMEP grant funds?

15. For those states that provided funding to LEPCs, were classes offered other than those in accordance with NFPA or OSHA standards? If so, how was the offering of the course determined, the number of people trained, and the type of training conducted.

16. Was the training provided based on a change in the emergency plan or lessons learned through exercises? If so, explain.

_____

Name of your State, Territory, or Native American Tribe:_____

Provide your E-mail and Fax number:_____

Please fill in the numbers on the lines provided and fax this form back to the HMEP grant Manager at 202-366-3753. If you have any questions or need assistance, please contact 202-366-0001.

Thank you,
Charles G. Rogoff
HMEP Grant Manager

* “Other” may include Public Works, EOC, emergency support functions, liaison officer, safety officer personnel, etc..

** If HMEP funds are used in any way, it counts as in part (e.g. books, prerequisite training, training equipment etc.).