



Bulletin

INTERNATIONAL ASSOCIATION OF EMERGENCY MANAGERS

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**Call for Articles
Special Focus Issue:**

"Public Health and Disaster Response"
Copy deadline: Apr. 10, 2006
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Special Focus Issue: EM Funding and Grant Writing

Implementing the National Preparedness Goal

*By Timothy L. Beres, Director, Preparedness Programs Division,
Office of Grants and Training, Preparedness Directorate,
U.S. Department of Homeland Security*

The Preparedness Directorate's Office of Grants and Training (G&T), formerly known as the Office for Domestic Preparedness, administers several Department of Homeland Security (DHS) preparedness assistance programs that provide essential guidance, funding, and support to the emergency management community. Recent national disasters, including Hurricanes Katrina and Rita, reinforce the need for robust emergency management capabilities and a coordinated national preparedness effort. The release of the National Preparedness Goal provides an opportunity to discuss how emergency management supports its implementation, the role of the Fiscal Year (FY) 2006 Emergency Management Performance Grants (EMPG) program in that effort, and the transition to risk-based allocation of grant funding.

National Preparedness and Emergency Management

Issued in March 2005, the National Preparedness Goal represents a major evolution in the approach to preparedness and homeland security, presenting a collective vision for national preparedness and establishing national priorities to address the most urgent needs. The Goal and the target capabilities are all-hazards in nature, addressing major events, including terrorism and the capabilities required to address them.

Fundamentally, the Goal establishes a vision for national preparedness and calls for the creation of a national system to realize that vision and measure progress. In addition, the Goal has created a common planning framework that defines the range of homeland security mission areas: prevent, protect, respond, and recover. An effective homeland security program must address all four mission areas and engage the spectrum of disciplines that support them.

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IAEM: Working for You

■ IAEM and National Homeland Security Consortium Make Recommendations for Enhanced National Preparedness. On Jan. 16, the National Homeland Security Consortium, of which IAEM is a member, sent recommendations to DHS Secretary Michael Chertoff that included a series of principles that the consortium believes DHS should adopt through the Preparedness Directorate. These principles include the adoption of an all-hazards approach, reflecting all threats and risks, natural, manmade and technological alike, including acts of terrorism. The consortium also stressed that state, territorial, local, tribal and private sector

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Many Thanks For Your Positive Feedback

I received tremendous feedback regarding the Presidential Communiqué from many of you. I appreciate you taking the time to let me know your thoughts.

Our Strategic Plan

As I have stated before, the ultimate goal is to improve member service. I believe that by updating our Strategic Plan, I will be able to share with you what the benefits will be over the next three to four years. Our current plan, located in the *Members Only* section of our Web site, is outdated (2002).

While the Board is accountable to you for the Strategic Plan, I am convinced that we should be taking greater ownership for it and – at minimum – review it annually. Over the years, we have enhanced our ongoing strategic thinking and strategy development, but there is more work to be done. Our new Five-Year Work Plan ensures operational efficiency, and the Strategic Plan provides an effective strategy.

About one year ago, the Strategic Planning Committee conducted a Members Survey, and observed that the Strategic Plan required no major changes. This committee has done great work in recent years, and it's time our association leadership makes it a priority to refine and adopt a plan for a three to five year period. The upcoming Board "strategic planning retreat" will enable your leaders to focus our efforts in achieving this goal.

Obviously, a good Strategic Plan requires long range conceptual goals, pragmatic strategies and

From the President

Strategic Plan Update Time

*By Marg Verbeek, CEM, MCIP, IAEM President,
Manager of Emergency Measures, Regional Municipality of Waterloo,
Kitchener, Ontario, Canada*

action plans. In updating our plan, we want to move our governance strategy to a more knowledge-based approach, by responding to issues, based upon a particular set of goals that seek optimal benefits to our members. We want to build on our strengths and build up our weaknesses in order to pursue the greatest possible advantage of opportunities that distinguish us from other organizations. We are growing, and so is the participation and satisfaction of the membership. Therefore, we have an opportunity to develop new programs and grow the market for our existing programs.

Pondering Strategic Questions

Do we have a process for planning strategically? How can we engage our leadership to develop strategies to implement and manage change as per the Strategic Plan? What do we know about the current realities and evolving dynamics of the emergency management profession that is relevant to the decisions we make? Are we being successful in achieving our strategic goals, and what is it costing us? How can we track the cost of the plan?

Planning Strategically

What we know is "what you measure, gets done." Therefore, we need to consider "strategic program analysis," which involves assessing the likely future of each program on the basis of attractiveness, position and alternatives, and determine the desired future, key challenges and what actions to take. Maintaining our value to

members places a premium on planning strategically. While the budget and the Strategic Plan are two critical planning documents approved by the Board and provide staff with goals, neither measures goal accomplishment with any regularity and neither is integrated with the other. They should not operate in mutually exclusive universes!

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Implementing National Preparedness Goal

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Emergency management plays a critical role addressing those mission areas and more fundamentally in the implementation of the goal itself. As coordinators for disaster response operations, emergency management personnel are essential partners in the all-hazards planning, training and exercises that ensure a seamless response when disasters occur. Emergency management as a discipline remains a core element of homeland security and efforts to enhance national preparedness.

FY 2006 EMPG Program

No single grant program can support all the activities required to build and sustain the capabilities required to achieve the Goal. Rather, states and local jurisdictions must look to leverage multiple funding streams from a variety of sources to address the entire scope of homeland security capabilities. The FY 2006 EMPG program is a key element of that approach, providing approximately \$179.5 million to support the emergency management community. DHS is proud to have developed the FY 2006 EMPG program in close coordination with the National Emergency Management Association, the emergency management community, and other state and local homeland security representatives.

EMPG assists state and local emergency management agencies in achieving target levels of capabilities to enhance and sustain the effectiveness of their programs through planning, training, equipment and exercises. To ensure that EMPG supports both state and local as well as national needs, the EMPG work plans and performance evaluations can be developed using the Emergency Man-

agement Accreditation Program (EMAP) Standard, the National Incident Management System (NIMS), the National Response Plan (NRP) and/or the National Emergency Management Baseline Capability Assessment Program (NEMB-CAP).

Allocating Grant Funding Based on Risk and Need

In FY 2006, DHS has also adopted a risk- and needs-based approach to allocating funding for certain preparedness programs. The threats confronting the nation respect neither jurisdictional nor geographical boundaries, and resources are not limitless. Funding must be applied effectively to generate the highest return on investment by addressing the greatest risks and needs.

In keeping with the risk-based focus of the Goal, DHS is allocating funds in FY 2006 for several preparedness programs – including the State Homeland Security

Program, the Law Enforcement Terrorism Prevention Program and the Urban Areas Security Initiative – based on risk and need. This approach will help ensure that capabilities are built and sustained, while achieving the greatest return on national homeland security investment. Risk will be determined at the federal level using a risk formula developed by G&T in conjunction with other DHS and

federal entities. Need will be evaluated based on the effectiveness of grant proposals to address identified needs and thereby reduce overall risk.

Conclusion

DHS recognizes the fundamental role that the emergency management community plays in enhancing national preparedness. Indeed, several national priorities outlined in the Goal, such as enhancing regional collaboration and implementing the NIMS and the NRP, are core competencies of the emergency management discipline. DHS remains committed to the emergency management community and recognizes that preparedness programs, including EMPG, provide a foundation for supporting state and local personnel, all-hazards emergency preparedness planning, equipment, training, exercises and public education.



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NIMS Compliance for Fiscal Year 2007 Grants

By Frank J. Kriz, MS, CEM, CPM, Program Coordinator, Arizona Division of Emergency Management

In today's world of emergency/disaster grants, none is larger than those administered by the U.S. Department of Homeland Security (DHS). Few realize that the FY 2007 National Incident Management System (NIMS) compliance requirements also impact nearly 50 other federal preparedness grants from a total of 10 other federal agencies and/or departments. Many of these grants have a direct or indirect impact on jurisdictions ranging from the smallest to the largest. Impacted agencies and departments include: the Environmental Protection Agency (EPA); the Nuclear Regulatory Agency (NRA); the Departments of Agriculture (USDA), Energy (DOE), Justice (DOJ), Health and Human Services (HHS), Education, Interior (DOI) and Transportation (DOT); and even the Tennessee Valley Authority (TVA).

If you are in the emergency/disaster business, your first ques-

tion should be: "How do I ensure that we are NIMS compliant?" The answer is simple – complete a NIMCAST baseline.

The National Integration Center (NIC) has developed a 75-question on-line survey. Each jurisdiction or government entity that has a role in preparedness, response and/or recovery should complete this survey. Currently, no jurisdiction can be NIMS compliant, because some of the specific requirements in certain areas have yet to be announced by DHS. Jurisdictions should contact their state agencies, if they have not already done so, to obtain access to the secured NIMCAST site. However, anyone can do a NIMCAST on the public side of the site. To access the site, go to: www.fema.gov/nims; then click on *NIMCAST* on the left-side navigation bar.

There are currently 18 action items that a jurisdiction must complete or embrace in order to be NIMS compliant for 2007. These

include, but are not limited to:

- Complete a baseline NIMCAST.
- Issue an order or resolution to follow NIMS.
- Ensure that your emergency operations plans and standard operating procedures are NIMS compliant.
- Institutionalize ICS for your operations.
- Ensure that you will meet NIMS training requirements for all current and future personnel.
- Use NIMS in all exercises.
- Complete resource typing of your assets and required credentialing of personnel.

Detailed information is available on the NIMS Web site.

Probably one of the biggest concerns expressed by many involves the NIMS training requirements for personnel. There have been many misconceptions about how difficult it will be to meet these requirements. In most cases, the training will not be as difficult as the related documentation will be should you be audited. The vast majority of individuals who are first responders will probably only have to complete two on-line courses at the most. These courses – IS 700 “Introduction to NIMS” and ICS 100 “Basic Incident Command” – can be completed either on-line or via classroom delivery. In addition, many first responders probably already meet the ICS component.

In closing, I would encourage everyone to visit the NIMS Web site at www.fema.gov/nims and talk to those in your state who are responsible for ensuring NIMS compliance.

From the President

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The Board is leading by power of policy and strategy, and our strategy is the overall vision of the organization. We need to put in place an annual Strategic Plan Review, which includes priority setting, program planning and action planning.

Our Rewards

■ We will gain the ability to decide where IAEM wants to spend money, based upon its longer term goals, before it creates the annual budget – thus enabling us to link the long- and short-term goals.

■ By developing the strategic budget prior to the regular budget,

we can make clear how much funding is required to meet our strategic goals.

■ By tracking funding of goals, objectives and activities, it will be relatively easy to go from the Strategic Plan's activities directly into our related programs. We then can link that portion of the financial budget directly to the Strategic Plan.

■ The remaining funds can then be allocated among current non-strategic programs, governance and administration.

Among many Board obligations, functions and roles, implementing a current Strategic Plan is crucial, as it ensures that the resources necessary for achievement are available and that our desired outcomes are on target.

PLAN NOW TO ATTEND

IAEM 2006 Mid-Year Meeting

June 2-4, 2006

National Emergency Training Center
Emmitsburg, Maryland

The Art of Successful Grant Writing

By David Burns, Emergency Services Coordinator, City of El Segundo, California

The art of grant writing is simple. Successful grant writers find a good base recipe and stick to it. Most grant writing is undertaken to seek funding for critical equipment and resources that cannot be funded through "general" budget funds or municipal dollars. I started my grant career like most non-professional grant writers – I taught myself.

In 1999, when our city's communications center was being constructed, cost overruns occurred. I lost funding for a community low power AM radio station, and the city administrators told me, "If you want it, you'd better find funding for it – but not from the city." I searched funding sources across the country, and on a parallel track began looking for examples for good grant recipes. Why reinvent the wheel?

After reviewing many grant proposals and speaking with successful grant applicants, I submitted my first formal grant proposal in 2000. The grant was ultimately accepted by the State of California Office of Traffic Safety as a pilot project. The AM radio station project was completed in May 2003.

From 2001 to 2004, I have submitted numerous grants with a 90 percent success rate. I am now managing more than 10 concurrent grants, asset management, and tracking and training programs for our city. I have acquired just over \$2 million dollars from a variety of grant funding programs over the past four years.

Essential Elements

There are three essential elements in grant writing that I learned early as a grant administrator: (1) follow the rules, guidelines and requested format, (2) establish a concise and compelling narrative statement, and (3) clearly

state your budget and purchase needs.

Follow the Rules

The one key element in successful grant writing is to follow the rules – this one element cannot be overlooked. Read and understand the grant rules, and then follow the proposal submission format. If ignored, this element will sink most grant proposals in the initial review phase. Remember, the grant reviewers are reviewing thousands of grant proposals – don't waste their time. Hundreds of otherwise good proposals are rejected because grant writers don't follow the rules.

Make Your Case

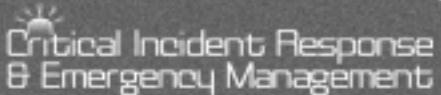
Once the initial grant review confirms your proposal is complete in format and accepted, the next phase is the second most essential part – can you compel the reviewer in a matter of seconds to accept your request over thousands of other proposals? Does the grant clearly state the problem? Why do you need the grant money? Have you exhausted local resources? If you read the rules, and a point rating system is being used to rate grant proposals, does your grant proposal hit the key points or is

your grant going to only rate in the lower scales because it does not meet the priorities of the grant program? Your proposal should rate high in all areas or you're likely to be rejected.

It is critical that you understand your audience. Who is reading your proposal? If those reviewing your grant are not technical experts, putting a bunch of technical terms, jargon and other foreign language in your grant narrative does not bode well for success. Contact the grant program if possible, and ask questions. Do not guess or make assumptions. Your narrative should have these essential elements:

- What is your problem? (problem "needs" statement)
- What do you want, what concern will be addressed, and why is it important?

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EM Funding and Grant Writing: An ICS Approach

By Michael A. Kleiner, Bioterrorism HRSA Coordinator for Amador and Calaveras Counties, California, Former State EMS Director for Connecticut, Former Chief Paramedic for City and County of San Francisco

Despite the increased government funding that has been made available in recent years to assist emergency managers in their efforts to strengthen preparedness and response capabilities at the state and local levels, much work remains to be done. Recent criticism of the manner in which federal homeland security money has been distributed¹ will likely lead to even more stringent requirements for demonstrating the need for grant funds as well as greater specificity regarding benchmarks for the use of this money.

With that in mind, it behooves all emergency managers to examine how to ensure that this important source of funding will continue to be available for their respective jurisdictions. Equally important will be the responsibility of making certain that this money is spent wisely and advances the goals of better preparedness, mitigation and enhanced response and recovery capabilities.

Using ICS Structure As a Template

Using the Incident Command System (ICS) structure, with which we are all familiar, as a template, the following are important factors to consider when planning, preparing, submitting and monitoring a grant.

■ Command. For grant purposes, this refers to the lead individual or organization with direct control of the proposed project and the responsibility to make certain that the objectives of the grant are met. Much like an Incident Commander, this person

or organization meets the objectives by orchestrating the work of others. For grant projects, this often includes coordinating the work of various departments, committees and disciplines to produce a cohesive effort and a final product. Granting agencies look closely to ensure that the identified lead individual or agency has the authority and capability to assume this role for the project under consideration. A complete description of the agency, its track record with respect to previous grants and examples of past successful grant programs are important elements to consider for inclusion in any proposal.

■ Planning. More often than not, successful projects begin with a comprehensive planning effort. Granting agencies want to see that there has been some forethought and coordination between the affected parties before money is requested. Most significant projects require the coordination of numerous entities. A granting agency will look at whether there have been discussions between these parties and if there is preliminary agreement about what the needs are and how the proposed grant objectives would effectively meet those needs. In essence, this section becomes the statement of need that should clearly indicate why you are applying and the issue or problem you are seeking to address. Planning also includes the description of the actual steps that are proposed under the project to achieve the desired end point. These steps should have a logical flow; they should be tied to the fiscal needs supported by the grant; and they must be realistic and achievable. As with any good plan, there should also be some contingencies to deal with possible

variables as the project unfolds.

■ Operations. Just like an emergency incident, this is where the rubber meets the road. A complete and concise description of who will actually complete each task and how that task will be accomplished should be included in the proposal. This narrative should connect those tasks to the specific objectives you intend to achieve. It is the description of the actual work that will be done and the resources you intend to use to carry out tasks.

■ Logistics. This includes administrative functions in support of grant activities, such as arrangement of facilities for meetings or drills, scheduling of these events, development of agendas and minutes, photocopying, mailing, etc. Your proposal should clearly indicate who is responsible for these activities. Often, these tasks are carried out by the lead agency and are frequently accounted for in the budget under "overhead." This area may also include a description of anticipated supplies or equipment acquisitions related to the project. If so, the description should include why these acquisitions are necessary, how the purchases will be made, and where the money is coming from if other funding sources are being used.

■ Finance/Administration. Just as the title suggests, this component deals with the budget for the project and the direct administrative tasks associated with the grant, such as attendance at grantor's conferences and responsibility for the completion and submission of progress reports. Future funding estimates should be included in this section if the project is under a multi-year grant. Be sure to include all matching sources of funds, and

¹ Final Report on 9/11 Commission Recommendations (12/5/05)

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Focus on Outcome Goals in Grant Applications

By Eric Griffin, MPA, Emergency Management Specialist,
Orange County Emergency Management, North Carolina

As many are probably aware, every project consists of inputs, processes and outcomes. Inputs are the resources we put toward a project; processes are the interactions and work done through consuming or utilizing the resources; and the outcomes are the end result of the processes. The desired result for agencies should be to make sure that the outcomes actually achieve or surpass the goals that are set, especially when grant funding is used to provide inputs to the program.

What Grant Reviewers Want To Fund

Too often we are focused on inputs and processes, which are merely the means to an end. An example of this is attempting to assess the effectiveness of an emergency medical services program based on the number of paramedics on staff. While the number of paramedics can have influence on the actual outcome, which is the quality of care patients receive before they reach the hospital, the staffing level is not an outcome in and of itself. A patient could have five paramedics working on him/her, and if those medics are not properly trained, the patient could have an adverse outcome. Grant reviewers are interested in inputs and process measures, but their primary interest lies in what will be accomplished with the grant. These are known as outcome goals.

To a grant reviewer, the proposed outcome goals are what they want to fund. Grant reviewers want to know how the money will be spent, how it will benefit the proposed program and what impact it will make on the community. The focus is not on what you buy but rather on the *effectiveness* the project will achieve through what

you purchase. An example outcome goal for a fire department would be "to provide timely and effective fire suppression to the community by increasing the potential for rescue of trapped victims by 10 percent, reducing the spread of fire to nearby dwellings by 50 percent and increasing safety for firefighters during suppression activities by 50 percent within the next year." The grant request would be "to achieve the outcome goal through the acquisition of an additional fire pumper truck, which will reduce the response time in the target area by two minutes and is expected to achieve the outcome goal."

Explore Best Options for Accomplishing Goals

Once the goal is identified, the next step is to research how best to accomplish the goal. The best grant applications are those that have identified a general outcome goal, identified potential ways to achieve the goal, and then identified and explained the best and most cost efficient option. In most cases, there are many ways to accomplish a particular goal, so work with a team to determine different ways to achieve your goal, while researching each option fully. The grant reviewer will want to see many avenues have been explored, so present several options to solving the problem and then explain why your suggested project is the best and most cost effective.

Case Example

An example is that of a fire chief who determines that the fire department should have an outcome goal of increasing the number of property saves by 15 percent and reducing the rate of

incidences of fire spread to nearby structures by 50 percent during the next year. In determining how to implement the outcome goal, the chief initially hypothesizes that an additional pumper truck is necessary to properly serve the community. The chief decides to research other options to determine if the acquisition of an additional truck is the most cost efficient and logical endeavor.

The research shows him that there is enough apparatus; however, the computer mapping software utilized during dispatch does not have the capability to assign the best available unit in that area. Therefore, the chief decides to write a grant request for new computerized mapping technology that dispatches the nearest available unit. The chief is sure to mention in the grant application that if the grant were approved, the department would measure the effectiveness of the project and then report back to the grant making agency on that research, both positive and negative.

What does using this format say to the grant making agency to which the chief is applying?

■ First, it shows that the chief is focused on looking at the outcome goal (reducing fire spread and increasing property saves in the newly annexed area within the first year) rather than appearing to just want to buy "toys."

■ Second, it demonstrates that the department is willing to determine the best and most cost effective option by conducting proper research across multiple options.

■ Third, it assures that the department is interested in the effectiveness of its and others' projects because the department is evaluating the effectiveness of the project to determine whether the

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Art of Successful Grant Writing

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- Who will benefit and how?
- What specific objectives can be accomplished and how?
- How will results be measured?
- How does this funding request relate to the grant program's purpose, objectives and priorities?
- Who are you (as an organization), and how do you qualify to meet this need?

Clearly State Budget Needs

These statements should be concise and hook (compel) the reviewer to positively consider your needs:

- State clear and measurable goals and objectives.
- Establish a project timeline, including how you will manage the grant, a list of related activities and the projected outcome.
- What are your budget needs, and can the job be accomplished within the proposed budget? Keep it real; adjust for inflation between review and implementation. Is the grant fully funded or is there a cost share – and where will your share come from? Are your proposed costs reasonable for the market? Does your proposal include contingency costs or other prob-

lems if encountered? Is the budget consistent with proposed activities, and does it provide sufficient detail and explanation?

Final Touches

Lastly, find a reliable, objective person not associated with you or the project and have them read your proposal. Can you compel them to accept your proposal? Do they get it? Can you hook someone and articulate a clear, concise and compelling story? Check the grammar, spelling and budget data – and submit your proposal.

Focus on Outcome Goals

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department's goal was actually met.

Grant writing is a delicate business, but if the focus of the application remains directed on what will be achieved and less on what will be purchased, there is a greater probability that the grant will be funded.

Editor's Note: Since 2002, the author has applied for and received more than \$4 million in federal, state and foundation grants. Readers may contact the author with questions or concerns at egriffin@co.orange.nc.us or 919-968-2050.

ICS Approach

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remember to include the fiscal value of any services in-kind. The budget should be as precise as possible for a projection. Most granting agencies will allow some flexibility in cost-shifting as actual expenditures become more concrete.

Summary

Those who have previously developed grant proposals know that most granting agencies provide very specific instructions to assist in the application process. While it is important to closely follow these guidelines in preparing your document, remembering to apply ICS principles as you develop your proposal will strengthen your submission and may make the difference between being funded or denied.

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I can't join now, but I would like to receive more information on the benefits of IAEM membership.

The View From the Other Side of the Fence

A Grant Reviewer's Point of View

By Lisa Gibney, CEM, Senior Emergency Preparedness Coordinator,
Duane Arnold Energy Center, Palo, Iowa

After spending more than a dozen years serving on the board of a local children's charity, I'd like to share some ideas from the grant reviewer's side of the fence.

I've had the enormous responsibility of allocating nearly \$5 million dollars to worthy projects to benefit the needs of children in our community. I take this stewardship extremely seriously. I personally worked to raise this money, and therefore, I guard it as if it were in fact "my money."

Coming from nearly 20 years in the nuclear power industry, I also have a high expectation for what we call "attention to detail." I will respond most favorably to a "professional" application. Keep in mind that doesn't mean you have to have it done by a professional grant writer. On the contrary, some of the most persuasive applications I've ever read were written by organization volunteers who let their passion for the project shine through in their application.

I am *not* impressed with slick packaging and DVDs playing to my emotions by showing me sick kids. I *am* impressed with sufficient facts, statistics and details to show me that your project is achievable, all packaged in a neat, readable format. Even with my small charity, I would review at least 100 applications each year. I appreciate at least 12pt font in a readable font like Arial or Tahoma, with a controlled use of color and graphics.

In addition to these thoughts, here are some other things that I consider when making grant allocation decisions.

- Did they read and follow the directions? Submitting the requested number of copies and other documentation tells me that they are deliberate, follow the rules

and will respect our guidelines.

- Are we the right kind of funder? Are you asking for a building? Then be sure that the group funds "bricks and mortar" projects.

- Does the proposal seem realistic? Put the Superman cape away.

- Does this duplicate existing services? If so, then explain why your project is different and worth funding.

- What other sources of funding are available? For example, I would likely turn down a proposal for equipment for an after-school program for a fee-based service who could obtain funding from participating families to fund some playground equipment for a shelter for domestic violence victims.

- What's the "bang for the buck" potential? How many children will be served by this project? Obviously, the more the better!

- Is the packet "professional"? Remember the importance of attention to detail. Neatness, spelling and grammar *do* matter. Use facts & statistics presented in at least 12pt readable font with controlled use of color and graphics to demonstrate your project is achievable.

- Did they "do their homework"?

- ◆ Do they know we only fund programs and services that directly aid children?

- ◆ Do they know how much we typically have to grant?

- ◆ Did they show me who else they partner with that we also fund?

- Who supports this project? If it hinges on further support from the city, then is a city official publicly supportive?

- Who else is funding a portion

of this? This shows me that others believe in this project and that this group is truly committed to their project and are beating the bushes to get support.

- Have they thought about sustainability? I'm not inclined to fund a project that will wither and die after just a year.

- Did they "sweat the details"?

- ◆ Check the math, because I will.

- ◆ Limit use of acronyms, even ones that "everybody knows."

- ◆ Neatness, grammar and spelling *do* count.

- ◆ Write an application concise and straightforward enough that my mother would be able to understand what you want and what you'll do with *my money*...

and one more time....

Read the application requirements, and follow them all!

Grants are a competition for limited dollars. *Keep that in mind if your proposal isn't selected.* It's truly not personal to you or your organization. There is just always so much more need than there are resources.

Don't give up if you are not successful. Contact the granting organization, and ask for feedback on why you weren't funded. Ask for suggestions on things that you can do to improve your presentation. Be persistent! No good emergency plan is written in one draft, and neither is a successful grant application.

Editor's Note: Look for the author's related article, "[Getting Started: Grant Writing Tips](#)," in the extended electronic edition of the February 2006 *IAEM Bulletin*.

Hazard Mitigation and Its Place Within Comprehensive Emergency Management and the National Response Plan

An Executive Summary

By Thomas L. Carr III, MS-IST, MSM, Associate Instructor at the Emergency Management Institute, National Emergency Training Center, Emmitsburg, Maryland, and Core Trainer for the 2005 National Capital Regional Emergency Preparedness Campaign

Editor's Note: This is an executive summary of a longer article, with footnotes and references, that appears in the extended electronic edition of the February 2006 *IAEM Bulletin*, posted at www.iaem.com. The extended electronic edition of the *Bulletin* provides us with the opportunity to share additional material of interest to IAEM members.

Five years after the enactment of the Disaster Mitigation Act (DMA) of 2000, the list of FEMA-Approved Multi-Hazard Mitigation Plans, which is part of the Pre-Disaster Mitigation (PDM) program, would appear to be an excellent publicly available barometer for both hazard mitigation and comprehensive emergency management, relevant to hazard mitigation at the state and local government level. To take part in the PDM program and other FEMA programs, states and local governments need FEMA-Approved Multi-Hazard Mitigation Plans. That means that local jurisdictions in the United States must have a local hazard mitigation plan or be part of a multi-jurisdictional plan. Before we review some FEMA-Approved Multi-Hazard Mitigation Plans, we should define the term "mitigation" and why we should care.

Mitigation Defined

Mitigation is the sustained activity that saves human lives, averts injuries and reduces damage and destruction of property by eliminating or reducing vulnerabilities and exposure to long-term risks. Mitigation, however, is not limited to the built or "brick and

mortar" environment or natural hazards. During the hazard mitigation planning process that is part of a FEMA-Approved Multi-Hazard Mitigation Plan, the hazards, risks (probability of occurring and severity), exposures and vulnerabilities of a community are determined, and at least a pre-disaster mitigation strategy should be the result. This process is part of what FEMA defines as comprehensive emergency management: "...four interrelated actions: mitigation, preparedness, response and recovery."

Why Should We Care?

■ **NIMS.** Mitigation does not stop at the prevention/preparedness phase. Mitigation should be integrated into prevention/preparedness, response and recovery activities. This is also known as the all-hazards approach. The National Incident Management System (NIMS) reinforces this thinking by repositioning mitigation and stating that mitigation activities are "a critical foundation across the incident management spectrum from prevention through response and recovery." NIMS further calls for the identification of mitigation activities "... taken prior to, during or after an incident."

■ **NRP.** This will affect state and local governments' level of NIMS compliance, mandated by Homeland Security Presidential Directive (HSPD)-5, and their access to federal funding. The National Response Plan (NRP) institutionalized the Community Recovery and Mitigation Branch in the Operations Section of the Joint Field Office (JFO), and created the Emergency Support Function

(ESF) #14 (Long-Term Community Recovery and Mitigation) and the ESF #14 Long-Term Community Recovery and Mitigation Annex. However, there is an assumption that congressionally mandated and locally developed hazard mitigation plans are in place. These plans are known as the FEMA-Approved Multi-Hazard Mitigation Plans.

State Approved Multi-Hazard Mitigation Plans

Four states with standard hazard mitigation plans were selected (Alabama, Indiana, Ohio and Texas) arbitrarily and unscientifically because the plans were posted on their Web sites. Some were easily searchable; others had unique characteristics or were selected due to personal knowledge and responses to personal communications.

Both the Alabama and Texas state plans only address natural hazards. The Ohio state plan, like the Alabama and Texas state plans, only addresses natural hazards; however, Ohio has a plan in place to transition to an all-hazards mitigation plan over time. All four states indicated they plan to pursue and submit enhanced state plans to FEMA.

New Program Guidance

DMA 2000 has no limit on sub-applications since the goal was to place a greater emphasis on the awareness of the risks and vulnerabilities to the natural disasters that threaten communities. However, the FY 2006 Pre-Disaster Mitiga-

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Emergency Management Agencies Must Be Creative in Seeking Outside Funding

By Charles E.G. Kmet, BS, CEP, Emergency Management Administrator,
Tohono O'odham Nation, Sells, Arizona

In these times of doing more with less – or at least the same with less – funding from sources other than fiscal budgets is essential to emergency management. Even in a post-9/11 and post-Katrina world, some municipalities and government entities are hesitant to provide money specifically for emergency management, as officials do not always understand the need to properly and appropriately fund emergency management agencies (EMA). All too often, EMA is treated as a secondary job function of the fire department or police department and is subject to the budget of either of these agencies, with no appropriate increase to support the EMA.

Regardless of fiscal funding status, the director of an EMA has the duty to seek out or provide direction to his/her staff to actively seek out funding from outside sources. Agencies must become creative and dynamic in their search for funding sources.

Federal Funding Sources

Besides the typical funding channels, do not forget about grants from the Department of Health and Human Services, the Centers for Disease Control, the Department of Transportation or the Department of Agriculture. Granted, a USDA grant will not be buying equipment for your SWAT team or EOC any time soon. However, it is possible to provide appropriate projects and funding requests that are “outside the norm,” so long as the requests are well thought out, well prepared, and most importantly, well expressed.

For quick reference on federal government sources, I have found www.firstgov.gov and www.cfda.gov.

[gov](#) to be very useful Web sites. Firstgov.gov will provide a complete list of federal agencies and offices, and the Catalog of Federal Domestic Assistance (CFDA) provides a user-friendly database of all federal programs available to various governments, public, profit and non-profit organizations.

Other Public or Private Sources of Funding

Beyond the federal government, an EMA cannot overlook other public or private entities that might assist with funding needs. With collaboration and regionalization becoming key words these days, it is imperative to develop or build on community relationships. Funding sources can include businesses of all sizes, non-profit groups, and specific organizations such as the local Lion's Club chapter or Rotary Club. You will not be able to meet all of your funding needs. However, this is where creativity and prioritization become important.

While this strategy may not be beneficial to a larger EMA, it may be just what is needed for a smaller agency. As important, by reaching out to groups, organizations and businesses within your community, you begin to build on those relationships that will be helpful down the road.

Award-Winning Proposals Needed

Finally, once you have decided to apply for grants, the obvious next step is to write an award-winning project proposal. The agency will need to utilize the person within the organization who is known for writing both thorough and appropriate memos, letters and/or reports that are not only grammatically correct but easy to

understand. By this, I mean not simple but easy; do not use vernacular that is local and may not be understood by a group of diverse individuals who are not from your area. This point can be further expanded – when possible, know your target audience. If you are writing a narrative that will be judged by common peers within the EM community, you can be a little more specific than you can when writing a narrative that will be reviewed by a police chief, a mayor and a health care supervisor.

While it is certainly important to include facts and figures, do not include these if they do not directly pertain to the subject unless you are able to adequately put it all together. Explain and exploit your strengths and weaknesses as they apply to the project, and always “paint the bigger picture” that shows the impact (positive or negative) on your area, the region, the state and, when possible, the nation. Never take for granted that a funding review panel of three to five people know where your town, city or agency is located or the problems that plague your area – as opposed to the other 1,500 or 15,000 applicants for the one grant.

My Narrative-Writing Credo

After reviewing the narrative of my first grant, my fire chief inadvertently said something to me that has since become my narrative-writing credo. He commented, “You know, while I was reading this, I felt like the American flag was flying behind me with music playing and I had the urge to salute!” Since then, in the last 18 months of writing grants, I have secured nearly \$1.3 million dollars, which isn’t too bad for a small, rural agency.

IAEM: Working for You

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emergency response professionals must be involved in the full life cycle of any policy, strategy and guidance development related to national preparedness efforts.

The consortium further addressed the problem of a lack of internal coordination within DHS regarding document review and comment periods, resulting in tight deadlines that hinder effective local, state, federal and private sector collaboration. The consortium recommended that there should be more formalized standard operating procedures, through the Preparedness Directorate, for stakeholders to develop, review and comment on national plans, strategies and other key policy documents. Also, the letter stated that all appropriate disciplines should be included in policy development, noting that often our partners in public health, emergency medical services and agriculture are not consulted.

The consortium addressed the need for a reasonable amount of time to review and comment on documents, and asked that summaries for state, local and private sector officials be developed by DHS as part of the document review process. The consortium offered to serve as a vetting mechanism and sounding board for DHS and the federal government, as a supplementary means to help ensure the fullest involvement of public safety partners in national plans and strategies development. The letter is posted on the IAEM Web site at www.iaem.com/resources/advocacy/intro.htm.

■ IAEM and AT&T Release Report About Disaster Planning in the Private Sector. AT&T Corp. and IAEM have released a report on "Disaster Planning in the Private Sector: A Look at the State of Business Continuity in the U.S." A survey

was conducted of more than 1,200 businesses from January to August 2005, with nearly 40 percent of respondents stating that business continuity planning was not a priority. The study found that nearly one-third of U.S. businesses surveyed do not have business continuity plans in place. Despite recent events and although much is at stake, the study found that nearly one-fourth of the companies that had suffered a disaster had not taken action to prevent or minimize business interruptions in the future.

Markets surveyed in 2005 included: Houston, New Jersey, Florida, Washington, D.C., Kansas City/St. Louis, Ohio, Pacific Rim (Hawaii, Alaska, California coast), Georgia, Washington, Arizona/New Mexico/Utah/Nevada, Wisconsin, Chicago and Michigan. Planning has begun for 2006 activities. Learn more at www.att.com/presskit/business_continuity/.

■ IAEM President To Speak at TIEMS Annual Conference. IAEM President Marg Verbeek, CEM, will be a keynote speaker at the Annual Conference of The International Emergency Management Society (TIEMS), set for May 23-26 in Seoul, Korea. She will speak on "Training and Certification for Emergency Management Professionals." For information on the conference, visit www.tiems.org.

■ IAEM Provides Comments on StormReady Program. Bob Goldhammer, CEM, assisted IAEM with gathering comments from members about potential changes to the requirements for StormReady recognition for larger communities. Goldhammer was recently named by the Board as our new Membership & Marketing Committee chairman.

■ IAEM Member To Speak at National Guard Workshop. Col. Robert L. Ditch, CEM, will speak at the Air National Guard's Feb. 12-17 workshop, where he

will share information about IAEM and the Certified Emergency Manager® program with attendees.

■ IAEM Represented at USDA Meeting.

Michael J. Fagel, Ph.D., CEM, represented IAEM at a meeting at the U.S. Department of Agriculture (USDA) headquarters, where the topics of discussion were bio-terrorism, pandemic flu and avian influenza issues. Topics also included bio security issues at food

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Hazard Mitigation

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tion Program guidance now limits each applicant to five sub-applications for planning and/or projects.

Research has proven that pre-disaster planning and mitigation – which is promoted by DMA 2000 – saves human lives, averts injuries, reduces damage and destruction of property by eliminating or reducing vulnerabilities and exposure to risks, and is more cost-effective than post-disaster activities. Instead of being an incentive, the new Pre-Disaster Mitigation (PDM) program guidance change will most likely stifle state and local programs.

Guidance Changes Needed

In a pre-disaster environment, not all mitigation strategies are cost-effective or feasible. They may not be implemented for other reasons, including lack of funding. However, those mitigation strategies that are not implemented might be applied during the event or a post-emergency/disaster environment and should be added to pre-disaster response, recovery and reconstruction plans. This would aid decision-makers, at a time of crisis, by providing options and alternatives.

IAEM: Working for You

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processing facilities, as well as the potential need to involve the emergency management community. A discussion was held about the importance of HSPD-9 with relation to food processing security. Fagel was asked to prepare a report for USDA review on the capabilities of the emergency management community in times of agricultural crisis. He will collaborate with the Board and other selected committees to establish talking points. Fagel has asked the Board to consider the formation of a committee within IAEM to support further work on this project as a joint effort. Fagel is the IAEM liaison to USDA.

■ IAEM Represented on New NIMS Advisory Group. Billy Zworschke, CEM, IAEM Past President, will represent IAEM on the new NIMS Practitioner Advisory Group. The new group will evaluate candidate

standards and help develop a logic modeling process for metrics. Jim Raymond, CEM, represents IAEM on the NIMS/NRP State and Local Working Group established by the U.S. Dept. of Homeland Security.

■ IAEM Provides Input on DHS Survey. IAEM provided input on the recent survey from DHS, "State/Local Fusion Center Capability Assessment." Steve Detwiler, CEM, compiled IAEM comments on the survey.

■ IAEM Invited To Join Hazards Caucus Alliance. IAEM has been invited to join the newly formed Hazards Caucus Alliance, a working group associated with the re-constituted Congressional Hazards Caucus. The Congressional Hazards Caucus has been inactive since 2003, but a small subgroup of the former working group is working to restart the caucus, which will be broadened to function as a bicameral caucus that has members from the U.S. House and Senate.

■ Regional Forum Planned With Help of IAEM Region 3.

IAEM and IAEM Region 3 are working with the *Washington Times* to host a regional forum on emergency management in the National Capitol area. IAEM Region 3 President Kathleen Henning, CEM, will take the lead in helping to identify program content and speakers.

■ IAEM Represented at PTC/Global VSAT Forum Workshop.

Toby Clairmont represented IAEM as a speaker in a special workshop on disaster management at the Pacific Telecommunications Council and Global VSAT Forum workshop in Honolulu. Clairmont spoke on IAEM's perspective on disaster management. His presentation was followed by an open-forum discussion. The workshop was part of PTC'06, "Shift Happens: Transition to IP." PTC promotes the develop-

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(continued from page 13)

ment and use of telecommunications and ICT (information and communications technologies) to enhance communications in the Pacific hemisphere. Learn more at www.ptc.org.

■ IAEM Scholarship Applications for 2006-2007 Are Online. IAEM scholarships are awarded to full-time students pursuing an associate or diploma, baccalaureate or graduate degree in emergency management or a related field. The application form for the 2006-2007 school year has been posted online at www.iaem.com. The deadline for IAEM scholarship applications is **Mar. 31, 2006**. The International Association of Emergency Managers established the IAEM Scholarship Program to further the education of students studying the field of emergency management. The mission of the program is to assist the profession by developing students with the intellect and technical skills to advance and enhance emergency management. The program seeks to identify, secure and encourage the commitment of invaluable human resources of the future, by providing assistance through scholarship awards.



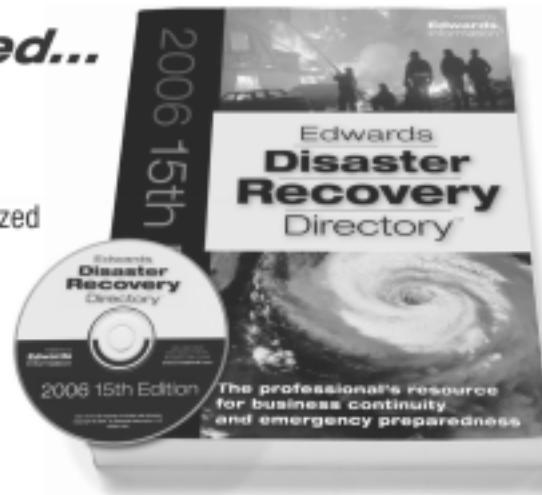
George Foresman Is Sworn in as DHS Under Secretary for Preparedness on Jan. 20. From left: Beth Armstrong, CAE, Executive Director, International Association of Emergency Managers; George Foresman, Under Secretary for Preparedness, U.S. Dept. of Homeland Security; and Kristin Robinson, Government Relations Director, National Emergency Management Association.

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E.M. Calendar

- Jan. 31-
Feb 1 5th Annual Conference on Government Emergency Response, "Security, Crisis Management & Continuity Planning," Infonex, Inc., Ottawa, Ontario, Canada, <http://www.infonex.ca/inx/698/overview.html>. IAEM is an association partner for this conference.
- Feb. 8-10 International Safety & Security Conference 2006: Integrating Preparedness Across the Organization, New York, NY, www.emergencycorps.org/issc.php.
- Mar. 1-2 GOVSEC Asia, Asia Law Enforcement & Asia Ready, Hong Kong, www.infoexws.com. This conference is endorsed by IAEM and will assemble leaders in government security, law enforcement and EM to focus on solutions to current issues crucial to national security.
- Mar. 7-8 NENA's 4th Annual 9-1-1 Goes to Washington, Arlington, VA, www.nena.org.
- Apr. 18-19 Southwest Homeland Security Conference, "Securing the Southwest Together," Phoenix, AZ, sponsored by State of Arizona and DHS, www.swhomelandsecurity.com.
- Apr. 18-19 2006 Partners in Emergency Preparedness Conference, presented by the Washington State Emergency Management Division and the American Red Cross, Tacoma, WA, www.capps.wsu.edu/emergencyprep.
- Apr. 26-28 Disaster Preparedness & Business Continuity Executive Forum, "Build Robust Disaster Avoidance Strategies to Serve Employees, Customers, Stakeholders and Community," Atlanta, GA, www.acius.net.
- May 14-17 ISCRAM 2006, 3rd International Conference on Information Systems for Crisis Response and Management, New Jersey Institute of Technology, Newark, N.J., www.isram.org.
- May 23-26 TIEMS Annual Conference, "Advances in Global Emergency & Crisis Management," Seoul, Korea, www.tiems.org.
- June 2-4 **IAEM 2006 Mid-Year Meeting**, National Emergency Training Center, Emmitsburg, MD.
- June 18-21 16th World Conference on Disaster Management, "The Changing Face of Disaster Management: A Global Perspective," Toronto, Canada, www.wcdm.org. This event is jointly presented by the Canadian Centre for Emergency Preparedness, IAEM, DRI International and DRI Canada.
- Sept. 10-16 International Conference on Infrastructure Development and the Environment, Abuja, Nigeria, www.iseg.giees.uncc.edu/abuja2006/callabstracts.cfm. Deadline for abstracts: Feb. 25, 2006.
- Nov. 12-15 **IAEM 2006 Annual Conference & EMEX Exhibit**, Orange County Convention Center, Orlando, FL.

Call for Articles: Public Health and Disaster Response"

The IAEM Editorial Committee is issuing a Call for Articles for our next Special Focus Issue of the *IAEM Bulletin* on the topic of **Public Health and Disaster Response**. The deadline for article submissions is **Apr. 10, 2006**. Please keep your articles under 750 words, and submit them to *Bulletin* Editor Karen Thompson at thompson@iaem.com.

IAEM Bulletin Online

There's more to this month's *IAEM Bulletin* than what arrives in your mailbox. Download your copy of the **extended electronic version** of this issue on the *IAEM Bulletin* page in the Members Only area at www.iaem.com.

Extra material in the online version includes:

- ["Getting Started: Grant Writing Tips,"](#) by Lisa Gibney, CEM. (Related article appears on [Page 9](#) in the print edition.)
- ["Hazard Mitigation and Its Place Within Comprehensive Emergency Management,"](#) by Thomas L. Carr, III, MS-IST, MSM. (Executive summary appears on [Page 10](#) in the print edition.)
- [IAEM New Member Listing, Dec. 16, 2005-Jan. 15, 2006.](#)
- [E.M. News.](#)

Mass Casualty Terror Workshop in Israel
 This extensive on site training provides attendees the vision into the facilities and protected environments that Israel has developed over the years to deal with terror related incidents and adversarial threats. The ITRR workshop combines the principles of Disaster Management, Terror Medicine with on-hand training and subject matter expertise.



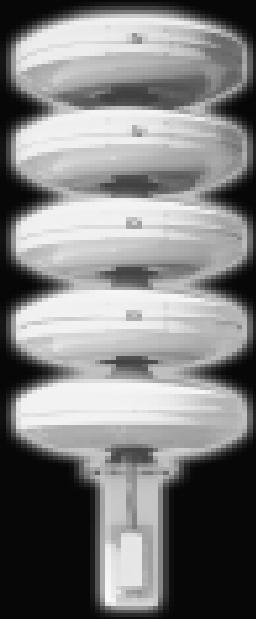
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- Representation on federal level working groups addressing vital issues such as terrorism preparedness, emergency management, program standards, communications, disaster assistance delivery, and others.
- A unified voice at the federal, state and local levels to educate decision makers about the impact of policies and legislation on emergency management services.
- The *IAEM Bulletin*, a monthly newsletter that is the definitive source for emergency management news and information.
- Conferences and workshops to enhance networking and inform members about legislative issues. Our Annual Conference and EMEX Exhibit offers

networking and information on current emergency management issues. Our Mid-Year Workshop, held in the Washington, D.C., area, focuses on committee work and federal legislative issues. Regional conferences give members the chance to exchange information with colleagues closer to home.

- WWW.IAEM.COM is the portal to the world of emergency management. The IAEM Web site offers discussion groups and a wealth of other professional tools, including the popular career center.
- Alliances with a network of related associations and organizations to further the profession and its members.
- Professional recognition of individuals through an annual awards program.
- Scholarship opportunities and funds for students enrolled in emergency management courses of study.
- Professional development through in-person meetings, networking and training opportunities.
- Discounts on certification program fees, selected publications, conference registration, and more.

E.M. News

■ BC Management Announces Business Continuity Compensation Survey. BC Management has announced its fifth annual global business continuity compensation survey, with a special emphasis on Asia. All business continuity, disaster recovery, emergency management, crisis management, risk management and information security professionals are eligible to take this confidential survey. Survey deadline is **Feb. 17, 2006**. In addition to compensation, the study covers program benchmarking and education and training. The survey accommodates full-time employees, independent consultants and unemployed professionals. You will receive a free copy of the survey results to compare yourself and your company to others. Visit www.bcmangement.com to take the survey and see reports on past surveys.

More than 1,200 people from 30 countries completed the 2004 BC Management compensation survey, which gathered data on 2003 and 2004 compensations. Results showed that "salaries have continued to rise in the business continuity field as corporations strive to understand and abide by the changing scope of regulations. Also, many professionals enjoyed a boost in compensation upon being certified, as well as being recognized for their efforts with a larger bonus payout."

■ Emergency Preparedness and Response for Individuals With Disabilities Act of 2005 Is Introduced. Sen. Tom Harkin (D-IA) has introduced the Emergency Preparedness and Response for Individuals with Disabilities Act of 2005. This legislation addresses the needs of individuals with disabilities in emergency planning and relief efforts. "Hurricane Katrina's aftermath has shown us that we need to have a better emergency response plan, especially one that includes preparations for assisting

people with disabilities," said Harkin. "This bill is an important step to ensure that the needs of disabled Americans will be addressed in case of an emergency." Under this legislation, a Disability Coordinator would be created in the U.S. Department of Homeland Security, who will report directly to the Secretary. The Emergency Preparedness and Response for Individuals with Disabilities Act of 2005 will also require that 30 percent of temporary housing for disaster victims be accessible to individuals with disabilities, and would provide incentives to create more accessible housing during reconstruction efforts.

■ Federal Coordinator Outlines Progress Made Post-Katrina. Federal Coordinator for Gulf Coast Rebuilding Donald E. Powell on Jan. 16 outlined the progress made to date in Mississippi since Hurricane Katrina struck. In remarks delivered at a Senate Committee on Homeland Security and Governmental Affairs field hearing convened at Mississippi Gulf Coast Community College, Powell reiterated President Bush's commitment to do "whatever it takes" to support the recovery and rebuilding efforts of Mississippi and the entire Gulf Coast."

Powell also stressed the role of the local leadership and community in the overall rebuilding effort while also ensuring that those plans for which Federal investments are made "are conducive to the prudent, effective and appropriate investment of taxpayer dollars. We understand the importance of being good stewards of the substantial amounts of money that have been, and will continue to be, spent on this effort." Powell discussed two key "critical path" issues that he is working to resolve in order to move into the next stage of rebuilding in Mississippi: debris removal and housing. Powell pointed out the scope of the debris

problem by noting that in just the three Mississippi counties of Hancock, Harrison and Jackson, Katrina left more debris than 1992's Hurricane Andrew and the World Trade Center attack combined. He noted the progress made to date on debris removal, with some two-thirds of total debris already removed. "There is still a great deal of work to be done, but Mississippi is on the right track with the goal of completion sometime this spring."

On housing, Powell noted the progress made with less than 2,000 households remaining in Mississippi hotel and motel rooms. FEMA is providing more than 31,000 travel trailers to hurricane victims that are residing in the state. Of the 450,000 Mississippi residents who received disaster assistance following Hurricane Katrina, 280,000 were approved for direct or transitional housing assistance totaling \$745 million. Another \$300 million went to some 115,000 Mississippians for assistance for other needs to help with unemployment, relocation services, reuniting victims with their families and other aid programs. Finally, more than 100,000 Mississippians received rental assistance, totaling approximately \$230 million, which is going to pay for rent at apartments across the region. Powell's complete testimony will be posted at www.dhs.gov.

■ USDA Continues Efforts To Safeguard Food Supply. On Jan. 17, the U.S. Dept. of Agriculture announced additional efforts in collaboration with states and private industry to protect the U.S. food supply from terrorist threats. USDA's Food Safety and Inspection Service will conduct five critical food defense exercises this year. The exercises are designed to practice reporting a non-routine incident while coordinating with all levels of government, non-governmental agencies and the private

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Getting Started: Grant Writing Tips

By Lisa Gibney, CEM, Senior Emergency Preparedness Coordinator,
Duane Arnold Energy Center, Palo, Iowa

Crafting the Proposal for a Competitive Grant: A Systematic Process

The foundation of the grant application is the proposal. A proposal has some specific requirements. Before we get to the proposal itself, there is a crucial first step in any grant application process: **Read the entire grant application completely.**

There is no sense dedicating the time and effort needed to produce a quality grant application if you won't meet the requirements. If you need money to build a new fire station, then don't waste your time (and the foundation's time) submitting an application to a grant program that doesn't fund "bricks and mortar" projects.

Once you've read the application completely, then ask yourself: "Do we fit? Does our project meet the basic requirements to receive funds from this specific group? Can we meet the deadlines for applications and reporting?"

If not, then look for another source for funding. There are many, many sources out there for those willing to look.

If, after a careful review of the application, you believe you meet the criterion specified, then there are some items to get started on, such as:

Getting Organized

- What is your vision or goal for this project?
- Who shares your vision? Is there community support for the project?
- What is the scope of your project? Is it a long-term project or a one-time request?
- What resources (people, materials, etc.) do you already have?
- What have you done to

cultivate funding sources?

- What makes this project special? Does it provide a critical service or fill a severe need in the community? Is it particularly innovative? Will it serve large numbers of citizens or just a few?
- Do you have "buy-in" from needed support organizations and/or the public?
- Do you "match" the grant requirements? (See "Do Your Homework" below.)
- Is your group a non-profit, often referred to as a 501(c)3 organization? "Tax free" is not the same as "tax exempt." Businesses will need to know what your status is before they will donate or award grant funding.
- What ideas do you have for sustainability if this is not a one-time project?

Identifying the Right Type of Funding Source

- **Government Grants.** Government grants use taxpayer dollars and typically have narrow guidelines and very specific guidance for what is allowable.
- **General Foundations or Community Foundations.** Many of these foundations are established to fulfill a will or trust bequest and may be more flexible in their criteria. They may be more subjective and may be more swayed by personal contacts and long-term relationships in the community.

- **Corporate Foundations.** Corporate grants may be used to meet a company's mission to be a "good neighbor." They may participate in a "match" program for employee donations as well as larger community-based contributions. These foundations often have a prescribed time period when applications will be reviewed and awards granted. Each foundation will have different guidelines.

Do Your Homework

Take time to learn about the organization.

- What types of projects have they funded in the past?
- Find out about the philosophy, history and mission of the funding organization.
- Is technical assistance available from the funding organization? Are workshops available to assist people in completing their application?
- Will they provide feedback on why your project was not selected?
- Ask questions. Are there limits to the amount you can request? Can you make multiple year requests for the same project? Is there a time frame when the money must be spent? Will they fund "bricks & mortar," "programming and operations" or both? Are there requirements for multi-sources for funding, or would they consider funding the cost of the entire project? Are there specific due dates? Are there requirements for award recipients, such as publicity events or future fund-raising assistance at the funding organization's events? If you get an award, are there follow-up reports due? By when?

The Proposal

If the thought of a "proposal" makes you think of "marriage," then you aren't far off base. A successful marriage requires a thoughtful plan and should not be done hastily. The goals and missions of the grant funding agency need to be compatible with the goals and mission of your project. A grant proposal requires similar thoughtful pre-planning. Here are some of the basic elements for a proposal:

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Needs or Problem Statement

■ What is it that you are hoping to change or create? This is your chance to paint a picture of what you want to do and why it is needed. It sets the stage for why your project deserves the dollars that you are asking for with your request.

■ There may be several applications for projects very similar to yours. What will make your project different or successful? If your needs statement doesn't demonstrate clearly what you are trying to accomplish, your application will be promptly slid aside.

■ Don't assume that everyone is familiar with your issue. Use facts and statistics wherever possible. True stories and case studies (where privacy can be protected) are also a persuasive appeal.

■ Be narrow and realistic in your scope. Much as we'd like to, we can't save the world. You want to show that your project is achievable in the time period specified by the grant if resources are granted.

■ Is this a critical need? What will happen if you do get this money? What will happen if you don't get this money? Try to make your case as compelling as possible, yet be sure to balance the need that exists with a sense of hope. A successful application requires a careful and well-articulated approach to illustrate that the need, while critical, can be met.

Goals and Objectives

Many people interchange the two terms since in general, they both refer to desired outcomes. **Goals** are broad-based statements

that express what you want to achieve. They are usually easy to verbalize but often hard to measure. They are the "what" in our idea. **Objectives** are "how" we plan to make this happen. Objectives are tangible and measurable and should be tied to a specific time frame. For example:

■ *Goal* – We want to improve our interoperability for radio communications between police and fire.

■ *Objective* – By the end of the calendar year, we will purchase and install the base dispatching console radio units in 10 police cars and two fire trucks on the 800 mHz frequency.

■ *Goal* – We want to improve the reading scores of all fourth graders.

■ *Objective* – We will pair a "lunch buddy" adult reading partner with each fourth grade student, who will meet with the student at lunch one day a week to read together during the school year.

Goals and objectives lead to the project description or project plan.

Project Plan

The project description sets out the "how" in your plan – how you will meet your goals and objectives. Each grant program will ask for certain specific elements to be addressed, which you want to follow explicitly. In general, most project descriptions include global segments that address: objectives, methods, staffing/administration, evaluation and sustainability.

■ **Objectives.** Objectives will describe what you want to change/accomplish. They are tied to the overall goals of your project and will help set the time frame for the project. It is important to determine whether the grant rules will require a finished project at the end of the grant period (typically one to two years) or whether this can be a long-term project. For example, if you are seeking funding for a new building, does the building have to be completed and ready for

occupancy at the end of the grant period – or can this be a long-term project? These answers will greatly impact the methods that you choose to implement your ideas.

■ **Method.** Method is the specific actions that will occur to achieve your objectives. This is also a chance for you to lay out your "roadmap" of how you plan to get to the end result. A well-constructed "road map" will also eliminate reviewers having to draw their own conclusions about how this all fits together. Again, remember that reviewers have a gigantic stack to read through. The less "work" they have to do to understand your concept, the better your chances for success. This is also a chance for you to explain why you chose your proposed activities, especially if they are innovative or unorthodox. Imagine the first reviewer who saw a grant application that asked for funding "to put a computer terminal in every police car in our jurisdiction." At the time, that was an extremely innovative idea and it no doubt met with considerable resistance. But someone persevered and, because of these efforts, today it's common to have some type of on-board computer link in larger metro departments.

■ **Staffing/Administration.** The staffing/administration section allows you to expand on how you expect to have the personnel to accomplish what you outlined in the methods section. This section will vary greatly depending on whether or not your project relies primarily on volunteers. If this project will be completed using volunteers primarily, then it is helpful to define the tasks that they will perform and to acknowledge that they are volunteers. Length of existence is also important. Is this a new, unproven organization, or has your group been in the community for years? The fact that people are willing to donate their time to this project helps under-

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score its credibility as a worthy idea and will also help demonstrate the cost-effectiveness of the project. Being able to demonstrate that your project has widespread community support, especially through volunteers, is essential for a successful project. If your project will primarily use paid staff, then a mention of the number of staff and a listing of their credentials is helpful. Be sure to outline how the paid staff will be assigned. How will you free up someone who already has full-time duties? Will a part-time staffer become full-time to work on this project? The staffing/administration section should also name the project leader, and clearly establish who has responsibility for managing the finances, the overall project outcomes and a reporting "chain of command." Make it obvious where "the buck stops."

Evaluation. The evaluation is not just for the end of the project, but also should be a built-in "report card" of how the project is progressing. Are you on time? Are you over budget? Have you encountered unexpected problems? Quarterly reviews are an industry standard and an overall good practice. Each funding agency will have different requirements regarding evaluation. Some may ask for an independent review of your progress, while others may just allow a quarterly report from the project manager.

Sustainability. Funding organizations face the same universal challenge that we all face: more worthy projects than there are dollars to fund. Make no mistake – despite their mission to empower good ideas and be an agent for improving our communities, grant funding organizations are a *business*. If they don't apply good business practices, they will

have no money to distribute. They cannot afford to be the sole support of a multi-year project. Therefore, it is going to be important that you are able to convince the grant reviewer(s) that you will be able to either finish the project with this bequest or that you will have in place a more permanent or continual source of revenue.

No grant allocation body is going to fund a project that has little chance of continuing no matter how great the idea behind it might be. If you don't have a ready source of long-term funding, then this is the time to promote your community support. What other "community partners" does your project have? Who else is contributing time and money to this project? Be sure to take credit for "in-kind" donations also. The donated printing from your neighborhood copy store has value, as does the time of the marketing professional who designed your project brochure. Those "costs" are essential to the success of your project, and by taking "credit" for them, you again show you will be prudent with the dollars given to you by the funding organization.

The Budget

Budgets may or may not be part of the project description. Often they are a separate segment of a grant application. They may be just a simple one-page statement of your projected expenses, or you may be asked to provide a more complex breakdown of current revenue sources and outstanding obligations, other projects for the agency, and documentation of non-profit 501(c)3 or other IRS tax code status.

When you build your budget, it will be helpful to the reviewer if you establish a clear link to each of the objectives that you described and the methods that you intend to use to implement them. This is your chance to tell your story, but with numbers this time. Be sure to distinguish and fully explain any costs that you will be using the

grant funds to cover. As stated earlier, donations of volunteer labor, goods or services have "value." It is important to calculate that value and include it in your budget statement.

Don't forget to calculate the "value" of the time to prepare the application! A well-prepared application may easily take 20 hours or more to develop, depending on the scope of the project and whether this is a new proposal.

If the grant requires a "match" portion, this is the segment where you need to detail how you will meet that proposal. Determine if the "match" must be cash or whether it can be an "in-kind" or "soft" match of goods and services.

It's also a good practice to address contingency funding if possible. Most grant funding organizations really don't want to be your only source of revenue. Demonstrate that this idea is sound and has additional sources of funding.

Here are a few of the global segments that most budgets need to address:

Personnel. This segment is limited to the salary and benefit costs of paid staff, not volunteers or contractors. This is generally laid out in a format that shows hourly wage x number of hours per week x number of weeks worked = salary.

Subcontracts or Outside Services. This details the costs of any outside consultants or specialists hired to assist with the project. A contract for a graphic designer to create a brochure for your public education campaign would be an example of this type of expense.

Printing/Reproduction Costs. If these services are purchased and not donated, outline them here. If you use your agency's copy machine, you can submit estimates of the cost based on a lease-purchase or maintenance agreement for a similar model machine.

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■ Communication. Be careful to submit only the amount of local phone service or long distance charges that apply to this project. Other generally accepted practices include the costs associated with postage expense, fax fees and overnight delivery services.

■ Rental Services. Again, as with the communication segments, be sure that any items that you list here (such as office space or equipment) are being used only for this project or are clearly prorated.

■ Materials and Supplies.

This category is often under-budgeted. Office supplies can be expensive, and it is easy to mis-judge. Will you need copy paper? Specialty paper for flyers? Film? A digital camera? Blank CDs or disks? Have a good peer check of your estimates for this section from someone who deals with supplies on a frequent basis.

■ Travel. It should be spelled out within the grant provisions whether or not travel expenses are allowable.

For example, the original guidance for a prominent national community-based program run by FEMA awarded funds to communities and specifically stated “no travel” with any of the funds. There was a national annual meeting for grant recipients, but they couldn’t use any of that funding to travel to Washington to attend the meeting, which unfortunately not everyone realized until they were actually in D.C. Don’t assume – read the grant rules.

■ Other Goods and Services. This is the “catch all” category for miscellaneous expenses. Did you need to hire a GIS expert to assist you with developing a map? Did you need to attend a workshop or other training to be able to implement this project?

This category is very broad and is subject to interpretation. It’s wise to check with the grant funding organization to see if the anticipated expense is allowable.

For example, the recent Homeland Security grants allowed purchases of computers, but not general use, everyday computers. The units had to be dedicated for “emergency purposes” such as in a mobile command center.

Resist the urge to “beef up” the expenses here to give your project additional funds. What you gain isn’t worth the damage to your organization’s reputation and loss of future funding.

■ Grant Administration (sometimes referred to as “indirect costs”). This varies widely, but it is definitely worth checking out, as in some cases it can be lucrative.

Some grants will allow you to “bill back” time for an accountant or the project manager to complete grant-related reports. Other funding organizations may allow a small, specific percentage of the total grant to be devoted to the “overhead” of administering the grant. On a grant of \$50,000, a three percent administration fee equals \$1,500.

■ “In-Kind” or “Soft”

Match. If allowable, be sure to take “credit” for donated goods and services you have secured for your project. This is an easy way to meet your match requirements with little or no extra expense if allowable.

■ Sustainability. Plans that you have to sustain your project can also be addressed in your budget submittal. Be sure to include plans that you have for contingency funding or future funding sources that you have identified.

Once you’re finished, take the time and “do the math.” Is your proposed budget adequate and logical to meet the scope of your project? Have you been realistic in estimations of your volunteer resources and other forms of support?

The Executive Summary

Now that you’re finished your proposal and your budget, you need to put together a summary of what your project wants to accomplish, including what steps you will take to implement the project and how you’ve budgeted to pay for the project. Even though it is usually the first page of the grant application packet, it’s often most helpful to compose the executive summary *after* you’ve completed the rest of your package.

The executive summary can best be thought of as a marketing tool. It is a quick snapshot of your overall presentation of your project. This is the time to “hook” the reviewers, pique their interest and make them want to keep reading. Remember, for a competitive grant, there will be a very large stack of applications for the reviewers to read. This is where you have the first opportunity to stand out as a viable project. You need to generate enough interest in your idea to make the reviewers want to turn the page and keep reading. The needs or problem statement in your proposal will get into the details of the issue, but in the executive summary you need to grab the attention of the reviewers. Give them a reason to want to keep reading.

Basic items to address in the executive summary include:

■ The Problem. Include a brief description of the problem that you’ve identified and are trying to address (one or two paragraphs).

■ The Solution. The “big pieces” of the puzzle should be outlined here. Include what you plan to do, how many people will be served or benefit, how and where you will do this, and the length of time (finite duration or a long-term project) you expect for this project (one or two paragraphs).

■ The Budget. Give an explanation of what the grant

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monies will be used for and your plan for future funding if the project is expected to last past the time period for the grant (one paragraph).

■ **The “Who.”** Who is sponsoring this project? What is the history of your organization? What other projects have you successfully implemented? Can you do what you are promising to do? (one paragraph)

Keep in mind that the executive summary is the first contact that the reviewer(s) will have with your project. The image you present and the tone you set on this first page sets the stage for the review of your project. Basic rules of grammar and spelling *do* count! Don't be afraid to get expert help from someone with expertise in writing. The executive summary can also be used for other promotional situations as well with just a few minor adjustments, so it should be viewed as a major “tool” to be used for your project. It is well worth the investment in time and effort to craft the right image.

In Summary

Despite our best efforts, there are always more quality projects than there is money to go around. Don't be discouraged if your project isn't funded. Send a short letter to the funding agency thanking them for their consideration and asking for a critique of your application. Most agencies are willing to provide feedback on applications that aren't funded. While presentation is certainly important, it is rarely a lack of “bells and whistles” that keeps a project from being funded. Most reviewer(s) are experienced and look beyond the “packaging” to see what's in the proposal. A lack of clear definition in a critical ele-

ment, such as who will benefit, can derail a request. Learn from the experience and incorporate the feedback into future applications. Also, remember that grant organizations are made up of people – despite good intentions, their decisions are subjective. The same application may be turned down by one agency only to be fully funded by another agency. Here are some common mistakes:

Common Reasons Why a Proposal Is Denied

- The proposal didn't meet the grant requirements. (“Sorry, we don't fund bricks and mortar.”)
 - You had a great idea, but you were short on the details.
 - Your proposal was too ambitious.
 - You contracted the Superman Syndrome. (“We will save the world.”)
 - You failed to show how it was relevant.
 - The proposal was poorly written and hard to understand.
 - You did not present facts or statistics to show a need or that your plan would be successful.
 - The proposal was unclear as to who would benefit.
 - You offered no indication that the “key players” are actually on board and committed to your project.
 - The proposal duplicates an already existing project/service, and you offered no indication of how this project would be different.
 - You asked for funds beyond the level of funding available.
 - You did not follow the format or details. (“Send us three copies, plus your original submittal.”)
 - And one more time....*Read the application requirements and follow them all.*

Final Thoughts

Now that you have invested lots of time and energy into developing your grant application, here are a few final thoughts to consider.

■ Recognize that developing a successful grant application is a mammoth undertaking. Be prepared to dedicate significant time and energy if you want to be successful. This is not a project to throw together Sunday night after dinner for a Monday deadline. Your competition understands and will prepare accordingly.

■ Use a team approach in drafting the application, but only one person should actually prepare the final draft. We all have our own “voice” in the way we put down our thoughts on paper. It can be difficult to follow a proposal when more than one “voice” appears in the writing style of the application.

■ Apply a self imposed “acronym bounty.” Be aware of our tendency to overuse acronyms. Be sure to define any acronym at least the first three times you use it. Also, be aware of jargon that can be easily confused or misinterpreted. (*For example*, for years DHS stood for Department of Human Services at the federal level. Now it stands for Department of Homeland Security. It would be easy to cause confusion...) The Department of Human Services is elevating *what* threat level?”)

■ Don't confuse “quantity” with “quality.” Eight pages of a carefully thought out, well-documented outline of a proposal and its budgetary needs will be much better received than 20 pages of fluff. Don't assume you can “fake it.”

■ Take the time to “do the math.” If you don't, someone somewhere will. You need to be accurate in your proposal and your budget projections. Your credibility depends on your willingness to “sweat the details,” such as taking the time to check your calculations.

■ Consider an independent review of the application. Seek out someone who can review both for grammar and for glaring omissions. If possible, try to find someone who is *not* intimately involved with

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New Members: Dec. 16, 2005-Jan. 15, 2006

A monthly listing of new IAEM members appears in each issue of the *IAEM Bulletin*.

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your project. This person can provide valuable insight as to whether you've been clear in your explanations. Sometimes when we are too close to a subject, we assume a level of understanding by our "audience" and we don't go into enough detail for those less familiar with the subject matter. Ask for honest feedback from your independent review.

Good luck on your application process. Don't be discouraged if it takes a couple of attempts to be successful. Obtaining grant funding, especially for competitive grants, is not an easy undertaking. Grant writing and fund raising is such a challenging process that it is becoming a growing profession.

Read the requirements; follow the directions; draft a clear and concise proposal, budget and executive summary; create a professional looking package; meet submittal deadlines – and you will increase the chances that you will be successful.

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New IAEM Affiliate Members or Partners are invited to send a brief company description (50 words), contact information, and logo to *Bulletin* Editor Karen Thompson at thompson@iaem.com for a profile in the *IAEM Bulletin*.

Hazard Mitigation and Its Place Within Comprehensive Emergency Management and the National Response Plan

The Pre-Disaster Mitigation Program and Its Relationship to Other Programs

By Thomas L. Carr III, MS-IST, MSM, Associate Instructor at the Emergency Management Institute, National Emergency Training Center, Emmitsburg, Maryland, and Core Trainer for the 2005 National Capital Regional Emergency Preparedness Campaign

Editor's Note: The executive summary of this article appears on [Page 10](#) in the print edition of the February 2006 *IAEM Bulletin*. This complete version includes detailed reference and footnotes.

Introduction

With the enactment of the Disaster Mitigation Act of 2000, Public Law 106-390 (DMA 2000 or DMA2K), Congress concluded that the state and local governments needed to place a greater emphasis on awareness of the risks and vulnerabilities to natural disasters that threaten their communities. To stimulate this awareness, Section 203 of the Stafford Act, as amended by DMA 2000, authorized the Pre-Disaster Mitigation (PDM) program, administered by the Federal Emergency Management Agency (FEMA). Did DMA 2000 affect hazard mitigation? Did DMA 2000 affect hazard mitigation's place and role within comprehensive emergency management? Did the National Response Plan affect hazard mitigation's place and role

within comprehensive emergency management?

Five years after the enactment of DMA 2000, the list of FEMA - Approved Multi-Hazard Mitigation Plans, which is part of the PDM program, would appear to be an excellent publicly available barometer for both hazard mitigation and comprehensive emergency management, relevant to hazard mitigation at the state and local government level. To take part in the PDM program and other FEMA programs, states and local governments need FEMA-Approved Multi-Hazard Mitigation Plans [1-3].

That means that 87,525 local governments¹ (jurisdictions) in the nation must have a local hazard mitigation plan or be part of a multi-jurisdictional plan [6, 7]. That is not counting most universities and colleges (both public and private) and private nonprofit organizations (PNPs) that are eligible for the program and could submit individual plans.

Before we examine the FEMA-Approved Multi-Hazard Mitigation Plans, we should define "mitigation" and why we should care.

Mitigation Defined

Prior to defining mitigation, the terms "hazard," "exposure," "risk" and "vulnerability" need clarification, since they are not defined in DMA 2000. [1]

FEMA recommends that during the initial phase of the hazard mitigation planning process for a FEMA-Approved Multi-Hazard Mitigation Plan, a community conduct a preliminary vulnerability assessment using NOAA's Community Vulnerability Assessment Tool (CVAT) [1, 8, 9]. The NOAA Coastal Services Center defines the above terms as:

Hazard: "An event or physical condition that has the potential to cause fatalities, injuries, property damage, infrastructure damage, agricultural loss, damage to the environment, interruption of business, or other types of harm or loss." [10]

Exposure: "The number, types, qualities and monetary values of property or infrastructure and life that may be subject to an undesirable or injurious hazard event." [10]

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¹ 44 CFR § 201.2 Definitions: Local government is any county, municipality, city, town, township, public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under State law), regional or interstate government entity, or agency or instrumentality of a local government; any Indian tribe or authorized tribal organization, or Alaska Native village or organization; and any rural community, unincorporated town or village, or other public entity. Emergency Management and Assistance/Mitigation Planning, 44 CFR § 201 (2005). Revised Oct. 1, 2005; available from http://www.access.gpo.gov/nara/cfr/waisidx_05/44cfr201_05.html.

This is similar to the 44 CFR § 206.2 Definitions: (a)(16) Local government:

- (i) A county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under State law), regional or interstate government entity, or agency or instrumentality of a local government;
- (ii) An Indian tribe or authorized tribal organization, or Alaska Native village or organization; and
- (iii) A rural community, unincorporated town or village, or other public entity, for which an application for assistance is made by a State or political subdivision of a State. Emergency Management and Assistance/Federal Disaster Assistance for Disasters Declared On or After Nov. 23, 1988, 44 CFR § 206 (2005). Revised Oct. 1, 2005; available from http://www.access.gpo.gov/nara/cfr/waisidx_05/44cfr206_05.html.

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Risk: “The potential for losses associated with a hazard, defined in terms of expected severity and/or frequency, and locations or areas affected.” [10]

Vulnerability: “The level of exposure of human life, property, and resources to impact from hazards.” [10]

Additionally, Hill and Cutter, in *Methods for Determining Disaster Proneness*, point out “that vulnerability varies by location (or space) and over time – it has both temporal and spatial dimensions.” Of the many types of vulnerability, the most significant are individual, social and biophysical. [11]

The NOAA Coastal Services Center also defines a disaster² as “a crisis event that surpasses the ability of the affected individual, community or society to control or recover from its consequences.” [10]

During the hazard mitigation planning process that is part of a FEMA-Approved Multi-Hazard Mitigation Plan, the hazards, risks (probability of occurring and severity), exposures and vulnerabilities of a community are determined – and at least a pre-disaster mitigation strategy should be the result [8-10, 12-16].

Mitigation is the sustained activity that saves human lives, averts injuries and reduces damage and destruction of property by eliminating or reducing vulnerabilities and exposure to long-term

risks [4] (and, I would contend, some short-term, high-consequence risks). Mitigation, however, is not limited just to the built or “brick and mortar” environment or natural hazards [8, 14, 17-25].

Mitigation and the All-Hazards Approach

Mitigation had been the cornerstone of comprehensive emergency management [26, 27], which, in part, the Emergency Management Performance Grants (EMPG) program supports at the state and local levels. The EMPG program encourages the improvement of all emergency management capabilities for all-hazards, with activities such as developing/enhancing comprehensive emergency management plans, developing/enhancing all-hazards mitigation plans and other emergency management activities [28-32].

FEMA defines comprehensive emergency management as: “...four interrelated actions: mitigation, preparedness, response and recovery. A systematic approach is to treat each action as one phase of a comprehensive process, with each phase building on the accomplishments of the preceding one. The overall goal is to minimize the impact caused by an emergency...” [31]

Why Should We Care?

Mitigation does not stop at the prevention/preparedness phase. Mitigation should be integrated into prevention/preparedness, response and recovery activities [28, 31-33]. This is also known as the all-

hazards approach [18]. The National Incident Management System (NIMS) reinforces this thinking by repositioning mitigation and stating that mitigation activities are “a critical foundation across the incident management spectrum from prevention through response and recovery.” NIMS further calls for the identification of mitigation activities “...taken prior to, during or after an incident.” [34]

This change – the repositioning of mitigation from the cornerstone to the foundation of the prevention, preparedness, response and recovery phases – will affect state and local governments’ level of NIMS compliance, mandated by Homeland Security Presidential Directive (HSPD)-5 and their access to federal funding [32, 35]. Tom Ridge, in the preface to the National Response Plan (NRP), noted that the NRP will tie “together a complete spectrum of incident management activities to include the prevention of, preparedness for, response to and recovery from terrorism, major natural disasters and other major emergencies.”

This and the creation of the NRP reinforces the NIMS philosophy, as it is based on the template created by NIMS [28, 29]. This philosophy, that made mitigation the foundation of comprehensive emergency management or the all-hazards approach, is reflected by the NRP institutionalizing the Community Recovery and Mitigation Branch in Operations Section of the Joint Field Office (JFO) and the creation of Emergency Support Function (ESF) #14 (Long-Term

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² This is not the Federal legal definition. At the state level, there are 58 variations of the definition. At the local level, there could be 87,525 variations. However, for the purposes of the Stafford Act:

44 CFR § 206.2 Definitions. (a) (17) Major disaster: Any natural catastrophe (including any hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm or drought), or, regardless of cause, any fire, flood or explosion, in any part of the United States, which in the determination of the President causes damage of sufficient severity and magnitude to warrant major disaster assistance under this Act to supplement the efforts and available resources of states, local governments and disaster relief organizations in alleviating the damage, loss, hardship or suffering caused thereby. Emergency Management and Assistance/Federal Disaster Assistance for Disasters Declared On or After Nov. 23, 1988, 44 CFR § 206 (2005). Revised Oct. 1, 2005; available from http://www.access.gpo.gov/nara/cfr/waisidx_05/44cfr206_05.html.

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Community Recovery and Mitigation) and the ESF #14 Long-Term Community Recovery and Mitigation Annex [28]. However, there is an assumption that congressionally mandated and locally developed hazard mitigation plans are in place. These plans are known as the FEMA-Approved Multi-Hazard Mitigation Plans [28].

Approved Multi-Hazard Mitigation Plans

The Federal Emergency Management Agency's (FEMA) Web site noted, as of mid-August 2005, that 57 of the 58 state entities have approved Multi-Hazard Mitigation Plans; the plan of the Federated States of Micronesia is pending adoption. Only three states, Missouri, Washington and Oklahoma, have "enhanced" plans. Additionally, there are only six approved tribal plans posted [36].

At first glance, the 57 approved State Multi-Hazard Mitigation Plans would appear to be acceptable performance for the Pre-Disaster Mitigation (PDM) program after five years. However, based on the data posted on the FEMA Web site, there have only been 1,142 local plans approved covering 5,704 jurisdictions [6, 36].

Despite the fact that the Pre-Disaster Mitigation (PDM) program grants are competitively awarded on a national ranking and a national evaluation basis, still only 6.52 percent of the 87,525 local governments (jurisdictions) in the nation have FEMA-Approved Multi-Hazard Mitigation plans after five years [6, 36, 37].

A preliminary analysis of the data on FEMA's Web site showed that the states have taken different approaches to implementing their

hazard mitigation planning programs for local governments [36]. Four states with standard hazard mitigation plans were selected, arbitrarily and unscientifically, because their plans were posted on their Web sites. Some were easily searchable; others were selected due to their unique characteristics, personal knowledge or response to personal communications.

Analysis of Selected States

■ Alabama, with 67 counties and 1,171 local governments, has 63 FEMA-approved local plans covering 331 jurisdictions (many are multi-jurisdictional plans). Alabama may be the only state other than Florida, struck by Hurricanes Katrina and Rita, in which almost all of the counties have multi-jurisdictional plans [6, 36, 38, 39].

■ Texas, with 254 counties and 4,784 local governments, has 22 FEMA-approved local plans covering 223 jurisdictions. Texas has the largest number of counties and the least populated county in the nation. Texas also was another state seriously affected by Hurricanes Katrina and Rita [6, 36, 38, 39].

■ Indiana, with 92 counties and 3,085 local governments, only had one FEMA-approved local plan covering two jurisdictions. It was noted that "many of the plans involving HAZUS are still under review" [6, 36, 40].

■ Ohio, with 88 counties and 3,636 local governments, only had 10 FEMA-approved local plans covering 92 jurisdictions.

The State Hazard Mitigation Officer (SHMO) reports, "In a few short years, we now have 14 countywide plans approved, 21 countywide plans approved pending adoption by local communities, and 52 in some stage of development. In fact, 87 of 88 Ohio counties have mitigation plans either approved or in the process of being developed." [6, 36, 41].

Alabama

Alabama took the county-based multi-jurisdictional approach with the support of the Alabama Association of Regional Councils and its 12 regional planning councils, which assisted Alabama's 67 counties with producing local plans. Both the state and counties were developing their plans simultaneously. The state's Hazard Mitigation Plan noted that the Emergency Operations Plan (EOP) was being revised due to the National Response Plan (NRP) and National Incident Management System (NIMS) [42].

Texas

Texas jump-started the process prior to the publication of the FEMA Planning Guidance because geographically, Texas felt it had a high probability of natural disasters. Texas developed Checklist P, a single checklist "with the ultimate goal of having one plan that would satisfy the state and federal requirements." In February 2002, with the first publication of FEMA's Interim Planning Guidance for DMA 2000, Texas met or exceeded most of the requirements [43]. Texas also took the collaborative and consolidated regional approach by having 17 of their Regional Councils of Government (COG) apply "for grants (HMGP and PDM grant funds) to either do a regional plan or to assist their counties with doing countywide plans." Other regional groups within Texas also followed the COGs' example [44].

Additionally, the state standards require an Emergency Support Function (ESF) and hazard mitigation annex (typically designated as Annex P) in local emergency management plans. This annex identifies the members of the team and the team leader; defines tasks and responsibilities; describes the mitigation process and procedures

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for pre-incident, incident response and post-incident activities; and facilitates the collection of and access to hazard-related resource data. This state's ESF and the local ESF would be the interface with the NRP's ESF #14. However, like Alabama, the state and counties were developing their plans simultaneously [28, 43, 45].

Indiana

Indiana took the county-based all-hazards multi-jurisdictional approach. The planning process has been integrated with HAZUS-MH, a tool for multi-hazard loss estimation and risk assessment into the planning process that is "strongly encouraged" by FEMA, and an online planning tool called "Mitigationplan.com" which enables local jurisdictions to input information into a centralized database. These tools, along with others, permit the state and local jurisdictions to produce all-hazard mitigation plans that are compliant with DMA 2000 requirements [40, 46]. This will make the plans more efficient, given that FEMA knows the foundation of the source data [40]. HAZUS-MH and the robust and comprehensive nature of the data collected also can be used in preparedness, response and recovery operations and planning [19, 21, 47-50].

This approach permits the integration of a local jurisdiction's mitigation planning data and state mitigation planning data into preparedness plans, response plans, emergency operations plans, post-disaster recovery plans and reconstruction plans as needed [19, 31, 51]. This is the process recommended by FEMA's *Guide for All-Hazard Emergency Operations Planning: State and Local Guide (SLG) 101* and by the APA

Planning Advisory Service's *Planning for Post-Disaster Recovery and Reconstruction (PAS 483/484)*, promoted by NIMS and planned for by NRP [19, 28, 31, 32].

The Indiana state plan noted that at the local level "[d]ata concerning risk and vulnerability assessment is developed or reproduced for no less than three plans just for the purposes of emergency management activities." One of the goals of the state plan was to reduce or prevent this duplication of efforts while improving local planning. A number of their local plans are under review. An emphasis was placed on counties that had been part of past disaster declarations for mitigation planning funding. In the past, the state requested planning funding for 16 counties from the Pre-disaster Mitigation Competitive Grant program; however, only five counties were approved [46].

Ohio

Ohio took the regional and the county-based all-hazards multi-jurisdictional approach. Ohio also is developing its state plan in four stages, with the first stage covering the top five hazards in the state – floods, tornadoes, landslides, winter storms and dam failures – followed by the other identified hazards over the next three years.

For planning purposes, the state has been subdivided into three regions, based on similarities for risk and vulnerability. The state had tried to use HAZUS-MH for flood-loss estimates for the three major Ohio Rivers. However, the data was skewed, and "the software developer confirmed the inaccuracy," which would be corrected by the end of 2004.

Ohio also developed an all-hazards local mitigation planning guidebook. Project Impact gave the first funding for local mitigation plan development in the state, which involved three counties and two municipalities [52]. Prior to

DMA 2000, there were no local comprehensive mitigation plans in the state. Now 87 counties have plans approved or under development [41].

A "Cursory" Review Of Some State Plans

Both the Alabama and Texas state plans currently only address natural hazards. Alabama, Texas and Ohio noted that the short deadlines mandated by DMA 2000 and lag in the release of the Interim Final Rule had resulted in minor inconstancies in format and data between the state plans and their local plans, which would be corrected by the next required update. Alabama and Texas noted that their concern was to have as many local plans approved as possible before the deadline and the recurring annual hurricane season [42, 43].

The Ohio state plan, like the Alabama and Texas state plans, currently only addresses natural hazards; however, Ohio has a plan in place to transition to an all-hazards mitigation plan over time. One of their concerns was the recurring annual hazard seasons. They also were impacted by a number of active disasters during the planning process that drained state resources. Also, there was an issue of questionable performance by a FEMA-supplied consulting firm during the risk and vulnerability assessment phase for the state plan [52]. Coordination and integration between the state and local mitigation plans is reported to be "cursory" at best, but there are high hopes for all-hazards mitigation in the future [41].

All four states indicated they plan to pursue and submit state enhanced plans to FEMA. Unlike Texas, however, Alabama, Indiana and Ohio did not clearly indicate any tight integration of their state or local mitigation plans with emergency operations or response plans (i.e., the National Response

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Plan or NIMS). However, other federal, state and regional plans and mechanisms were noted. In some cases, the state emergency operations plan was mentioned a few times, but not with the level of detail and integration that Texas provided [42, 43, 46, 52]. This was not required by DMA 2000 or dictated by the Interim Final Rule or the program guidance [1, 4, 24, 44].

Only four states were reviewed, and there is a probability that other innovations have been developed and are not noted here. It also should be noted that at the time this was written, FEMA still had not updated the FEMA-Approved Multi-Hazard Mitigation Plans Web page since mid-August 2005 [36]. However, this all may be moot since the release of the FY 2006 Pre-Disaster Mitigation Program guidance.

New Program Guidance

DMA 2000 states, "Each state may recommend to the President not fewer than five local governments to receive assistance." No limit was stated, since the goal was to place a greater emphasis on awareness of the risks and vulnerabilities to natural disasters that threaten communities.

The FY 2006 Pre-Disaster Mitigation Program guidance now limits each applicant to five sub-applications for planning and/or projects [1, 53]. This will effectively limit the Pre-Disaster Mitigation program to only 290 [58 x 5] plans and/or projects or only 0.33 percent of the nation's local governments that will have access to the program per grant cycle. How many will be left after the National Ranking and National Evaluation?

Conclusion

First, the Federal Emergency Management Agency (FEMA) and the U.S. Dept. of Homeland Security (DHS) must update and maintain FEMA-Approved Multi-Hazard Mitigation Plans and other mitigation Web pages at least monthly to ensure that the public maintains their perception of the risks and vulnerabilities of hazards. Research has proven that pre-disaster planning and mitigation, which is promoted by DMA 2000, saves human lives, averts injuries, reduces damage and destruction of property by eliminating or reducing vulnerabilities and exposure to risks, and is more cost-effective than post-disaster activities [54].

More Incentives Needed

Instead of being an incentive, the new Pre-Disaster Mitigation (PDM) Program guidance change will most likely stifle state programs. If other funding sources are not found, programs such as Indiana's and Ohio's all-hazards mitigation-planning approach will be restrained and local participation will be reduced in all states. Additionally, planning grants should be separated from project grants, with a focus on supporting more state/local/privately funded mitigation planning with federal technical support for *all* all-hazards mitigation planning.

More incentives must be found to promote hazard mitigation planning – like the Community Rating System (CRS), however for all-hazards mitigation planning [12, 52, 55-57]. Furthermore, the Commercial Equipment Direct Assistance Program (CEDAP) should be broadened to include all-hazards mitigation planning or a similar program created for all-hazards mitigation planning equipment and technology [58, 59]. Antiterrorism activities, opposed to counterterrorism, are mitigation activities that provide "...defensive measures used to reduce the

vulnerability of people and property to terrorist acts..." [14, 60] Also, in the United States, natural disasters have destroyed or caused failures of more critical, essential or high-potential loss facilities than terrorists [61]. Mitigation and mitigation planning for all hazards will save human lives, avert injuries and reduce damage and destruction of property.

Program And Planning Guidance Changes Needed

In a pre-disaster environment, not all mitigation strategies are cost-effective, are feasible or can be funded. They may not be implemented for other reasons. However, those mitigation strategies that are not implemented might be applied during the event or a post-emergency/disaster environment and should be added to pre-disaster response, recovery and reconstruction plans [19, 28, 32]. This can be promoted by requiring an Emergency Support Function (ESF) and hazard-mitigation annex in state and local emergency management plans, as does Texas. This would aid decision-makers, at a time of crisis, by providing options and alternatives [19].

The FEMA Interim Final Rule and planning guidance for DMA 2000 and the PDM program needs greater continuity and adherence to the tenets of comprehensive emergency management. It also should be updated to include NRP and NIMS. The tools provided, while good, need improved interoperability of plan data that will prevent redundant data collection and planning and reflect the changes in incident management philosophy [62]. This includes increased integration of tools (such as HAZUS-MH and CATS) and mandated federal, state and local planning programs (like the Superfund Amendments and Reauthorization Act, Local Emergency Planning Committees

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(LEPC), Critical Infrastructure Protection (CIP) and all-hazard mitigation planning) [61, 63, 64]. Additionally, planning grants should also require that if consultants are used to prepare the local plan, then on-site regional planning, mitigation or emergency operations staff must be trained to update and maintain the mitigation plan.

Also, the establishment of a mandated peer-reviewed standardized methodology for all-hazards risk and vulnerability assessments and for all-hazards loss and impact estimations build on the existing work of FEMA, NOAA, EPA, the Defense Threat Reduction Agency (DTRA) and others for all-hazards planning [9, 10, 49, 63-67]. This will reduce confusion about what is a “risk” and what is a “vulnerability.” It will prevent the mixing and mismatching of hazard risk, security risk, program risk, speculative risk and pure risk – and the mismatching and misuse of macro, micro and system level risk, and vulnerability assessments [61, 68]. Just because a community had two 500-year storms last year, does not mean the community will not have a 500-year storm or worse this year. It has even been suggested by an expert in possible maximum loss and probable maximum loss analysis that “[w]hen it comes to protecting property and lives, there should [be] no room for allocation using probability, for every event does and will always happen. It is always a matter of when, not if.” [68, 69]

Additionally, the guidance for the Benefit-Cost Analysis (BCA) of hazard mitigation projects (including BCA methodologies and assumptions used) should be published and re-examined by peer review, so it can be determined if barriers to participation or approval are valid [24, 54, 68, 70]. Given that, as one security pundit put it

when describing average loss expectancy, “...with events that have a very, very high damage [amount], and a very, very low probability of occurrence, you multiply infinity by zero and get whatever you want” [68]. This is suggested to ensure that the program goals of saving human lives, averting injuries and reducing damage and destruction of property are met – and are still cost-effective, pre-disaster and post-disaster [24, 54, 68, 70].

PDM program guidance for hazard mitigation planning should also be divided into two phases. The first phase, the local Risk and Vulnerability Assessments (RVAs), beside the locally identified hazards and developed scenarios called for in the guidance, should utilize *State and Local Mitigation Planning: How-To-Guide Number Two: Understanding Your Risks: Identifying Hazards And Estimating Losses* (FEMA 386-2), and *State and Local Mitigation Planning: How-To-Guide Number Seven: Integrating Manmade Hazards into Mitigation Planning* (FEMA 386-7) [4, 8-10, 14, 24].

The local hazard mitigation planning team would also use the 11 scenarios identified in DHS’s National Planning Scenarios to conduct Risk and Vulnerability Assessments (RVAs) for their local community, even if at the local level the probability is “highly unlikely” or little to no probability in the next 100 years [20, 50, 52, 65, 71, 72]. Additionally, if the National Planning Scenarios identify metropolitan areas similar to ones adjacent to or “near” the local area, Risk and Vulnerability Assessments (RVAs) should be also conducted based on the event occurring in those metropolitan areas, with resulting effects on the local area. Both local and national results and raw data would then be forwarded to the state and FEMA.

The subsequent phase would follow the remainder of the PDM program guidance to develop local mitigation strategies to be “...taken

prior to, during or after an incident...” based on locally identified hazards and feedback from the state and FEMA for the local multi-hazard mitigation plan or local all-hazard mitigation plan [4, 24, 32]. Program guidance must also be clarified even if the outcome of the hazard mitigation planning is unfunded pre-disaster mitigation projects or no projects. The mitigation strategies should still be incorporated into pre-disaster emergency operations, response, recovery and reconstruction plans – and published so the community has an awareness of the outcomes of the hazard mitigation planning process.

These suggestions, it is believed, would improve the federal, state and local planning processes by: (1) reducing data collection and overall effort involved for the local governments and (2) increasing the cost-effectiveness of hazard mitigation programs and emergency management programs overall, thus satisfying the data needs of national programs such as Critical Infrastructure Protection (CIP) [61].

More Research Needed

Given the dismal number of local governments and jurisdictions (5704 out of 87,525) participating in the Approved Multi-Hazard Mitigation Plans program, more research is needed to define the barriers to participation or approval. Additionally, only four states were reviewed, and there is a probability that there are other innovations in other state plans not reviewed. More research is needed to identify those innovations that may have been developed.

Acknowledgement

Many thanks to the practitioners and academics who I disturbed during the holiday season last year with questions and dyslexic

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messages while researching and composing this article. I hope you all had a peaceful holiday and will have a peaceful New Year.

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E.M. Resources

■ Internet Resources on FY 2006 DHS Grants. The International Association of Fire Chiefs (IAFC) has released a brief, but concise, picture of FY 2006 DHS grants. You can view this document at www.iafc.org/displayindustryarticle.cfm?articlenbr=28934. The entire FY 2006 Homeland Security Grant Program guidance and application kit can be downloaded in PDF format at www.ojp.usdoj.gov/odp/docs/fy2006hsgp.pdf.

■ Federal Grant Sites Merge. Two federal Web sites for grant applications have merged under the auspices of the www.Grants.gov e-government project. The merger eliminated www.Fedgrants.gov. The charter of Grants.gov, one of 24 President's Management Agenda e-government initiatives, is to provide a simple, unified electronic

storefront for interactions between grant applicants and the federal agencies that manage grant funds. There are 26 federal grant-making agencies and more than 900 individual grant programs that award more than \$400 billion in grants each year. The grant community, including state, local and tribal governments, academia and research institutions and not-for-profits, need only visit one Web site, Grants.gov, to access the grant funds available. Grants.gov provides: a single source for finding grant opportunities; a standardized manner of locating and learning more about funding opportunities; a single, secure and reliable source for applying for federal grants online; a simplified grant application process with reduction of paperwork; and a unified interface for all agencies to announce their grant opportunities.

E.M. News

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sector in an incident command system structure.

■ DHS Announces Task Forces to Combat Cross-Border Crime at the Southwest Border. The U.S. Dept. of Homeland Security announced the creation of new Border Enforcement and Security Task Forces, as part of the Department's Secure Border Initiative aimed at increasing control over U.S. borders. These task forces will be nationally-integrated teams with federal, state and local representation specifically directed at cross-border criminal activity. "These new task forces will take a comprehensive approach to dismantling criminal organizations that exploit our border," said DHS Secretary Michael Chertoff.

About the Certified Emergency Manager® Program

IAEM created the Certified Emergency Manager® Program to raise and maintain professional standards. It is an internationally recognized program that certifies achievements within the emergency management profession. CEM® certification is a peer review process administered through the International Association of Emergency Managers. You do not have to be an IAEM member to be certified, although IAEM membership does offer you a number of benefits that can assist you through the certification process. Certification is maintained in five-year cycles.

The CEM® Program is served by a CEM® Commission that is composed of emergency management professionals, including representatives from allied fields, education, the military and private industry.

Development of the CEM®

Program was supported by the Federal Emergency Management Agency (FEMA), the National Emergency Management Association (NEMA), and a host of allied organizations.

Here are just a few of the reasons why many employers now list the CEM® as a job requirement when posting open positions for emergency managers:

■ A Certified Emergency Manager® (CEM®) has the knowledge, skills and ability to effectively manage a comprehensive emergency management program.

■ A CEM® has a working knowledge of all the basic tenets of emergency management, including mitigation, preparedness, response and recovery.

■ A CEM® has experience and knowledge of interagency and community-wide participation in planning, coordination and management functions designed to improve

emergency management capabilities.

■ A CEM® can effectively accomplish the goals and objectives of any emergency management program in all environments with little or no additional training orientation.

There are many reasons why emergency managers decide to pursue certification as a Certified Emergency Manager®. Here are some of the benefits:

■ To receive recognition of professional competence.

■ To join an established network of credentialed professionals.

■ To take advantage of enhanced career opportunities.

■ To gain access to career development counseling.

■ To obtain formal recognition of educational activities.

Learn more about the CEM® Program at www.iaem.com.