

A Grant Writing Blueprint

PRESENTED BY:

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&

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Pala Band of Mission Indians

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Please sign in



A Grant Writing Blueprint

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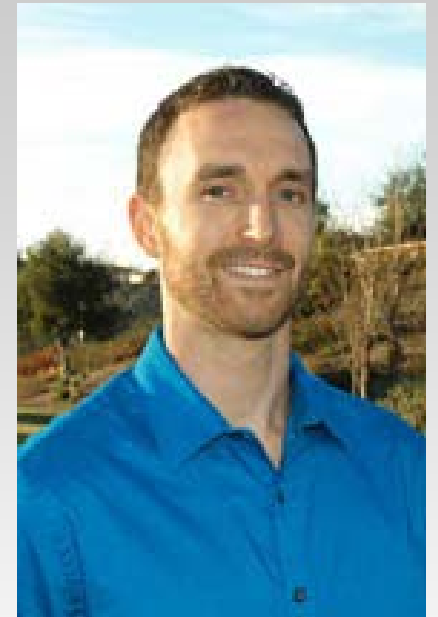
Pala DOE Grant Proposal

- DOE Grant Funding for Pala Fire Department Solar
 - Secured for \$217,305 (~50%) for a 94.8 kW DC System



Presenter Introduction

Joshua M. Simmons



➤ Founding President of Prosper Sustainably

- Assist individuals, organizations, and tribes develop and implement lasting solutions to meet environmental and sustainability needs
 - ETEP Development, Strategic Planning, Grant Writing, Program Development
 - Project Management, Environmental Codes Drafting, Feasibility Studies, Plans

➤ Former SYCEO Director (2007 – 2014)

- Transformed the Santa Ynez Chumash Environmental Office (SYCEO) into a nation leading tribal environmental agency
- Secured 42 grants for \$4.3 million in funding

➤ Training Instructor – ETEPs, Grants Writing, Codes

- Instructed on behalf of ITEP, ITCA, OVIWC, etc.



Session Agenda

- **Grant Proposal Preparation Steps**
 - Finding Grant Funding Opportunities
 - Reviewing a Grant Funding Announcement / RFP
 - Developing a Proposal Preparation Strategy
 - Preparing Your Funding Application/Proposal
 - Initial & Final Application Submissions
 - Seeking Funder Feedback on Proposal
 - Managing a Secured Grant
- **Understanding the Elements of an FOA and Grant Proposal**

Grant Proposal Preparation Steps

- **Finding Grant Funding Opportunities**
- **Reviewing a Grant Funding Announcement / RFP**

Understanding Funding Opportunities

- RFP = Request for Proposals
- FOA = Funding Opportunity Announcement

Example – FY14-15 DOE Tribal Energy Program FOA

Grant Announcement Review

WHAT IS A GRANT ANNOUNCEMENT REVIEW?

- Funding Opportunity Title & Identifiers
- Funding Opportunity Announcement Website Link(s)
- Eligible Organization(s) and Location(s)
- Eligible Activities
- Cost-Sharing / Match Requirements
- Application Deadline
- Application Submission Options
- Application Contact & Assistance
- Format Requirements

Grant Announcement Review

WHAT IS A GRANT ANNOUNCEMENT REVIEW?

- Funding Period (Length, Start, End)
- Available Funding
- Project/Proposal Requirements
- Required Proposal Components
- Project/Proposal Criteria
- List of Priority Tasks
- Additional Notes
- Questions
- Specific Project Ideas

Grant Announcement Review

WHY CONDUCT A GRANT ANNOUNCEMENT REVIEW?

- Extract most important information / Avoid missing critical information
- Determine whether to prepare a grant proposal
- Scan and summarize a potentially lengthy document
- Identify proposal requirements, components, and criteria
 - Create a proposal outline and checklist
- Develop a strategy for preparing a proposal
 - Determine what information needs to be gathered
 - Identify tasks that need to be started right away
 - Time sensitive tasks
 - Deliverables involving other people and organizations
 - ❖ Especially where signatures are needed
 - Allocate people, time, and other resources
- Identify proposal questions and who/how to ask

Grant Announcement Review

- Grant Announcement Review Template
- Grant Announcement Review Example

Grant Proposal Preparation Steps

- **Finding Grant Funding Opportunities**
- **Reviewing a Grant Funding Announcement / RFP**
- **Developing a Proposal Preparation Strategy**
 - **Example Grant Proposal Strategic Checklist**

Grant Proposal Preparation Steps

- **Finding Grant Funding Opportunities**
- **Reviewing a Grant Funding Announcement / RFP**
- **Developing a Proposal Preparation Strategy**
- **Preparing Your Funding Application/Proposal**
- **Initial & Final Application Submissions**
 - **Example Grant Application Submission**

Preparing Your Grant Proposal

General Advice

- Take time to review and plan
- Determine funding amount → general tasks and objectives → create budget → detailed work plan
- Separation of sections is not absolute
 - If asked to, reiterate same info in different sections
 - Better to repeat than leave a section blank
- Do not make assumptions
- Be concise

Grant Proposal Preparation Steps

- **Finding Grant Funding Opportunities**
- **Reviewing a Grant Funding Announcement / RFP**
- **Developing a Proposal Preparation Strategy**
- **Preparing Your Funding Application/Proposal**
- **Initial & Final Application Submissions**
- **Seeking Funder Feedback on Proposal**

Unsuccessful Applications

- Follow up
- Find out
 - Why proposal wasn't approved
 - What you could have done to improve
 - Is this opportunity recurring
- Can assist with future grants
- These are the best learning opportunities
- **RECOMMENDATION: Follow-up with successful proposals as well**

Grant Proposal Preparation Steps

- **Finding Grant Funding Opportunities**
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- **Developing a Proposal Preparation Strategy**
- **Preparing Your Funding Application/Proposal**
- **Initial & Final Application Submissions**
- **Seeking Funder Feedback on Proposal**
- **Managing a Secured Grant**

Grants Mgmt – Project Performance

➤ Project Performance

- Completing tasks and objectives in a timely manner (in manner specified in proposal)
- Inform funder of delays or changed circumstances

➤ Guidance

- Review Grant Agreement
- Review guidance documents (if available)
 - May include RFP and announcement materials
- Talk to grant officer and other agency contacts

➤ Progress Reporting

Grants Mgmt - Financial

- **Proper Expenditures and Accounting**
- **Regulations and Guidance**
 - **40 CFR 31**
 - **OMB Circular 187**
 - **Contact Agency Grant Finance Officers**
 - **EPA National PETE Training**
 - www.petetribal.org
 - **FEMA Grants Management Tutorial**
 - www.firegrantsupport.com
 - **EPA Region 9**
 - www.epa.gov/region09/funding/managing.html



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Grants Mgmt - Financial

➤ Receipt of Funds

- Reimbursement requests (typical)
- Advances (not always allowable)

➤ Pre-Project Expenses

- May be allowable
- Need to request ahead of time

➤ Re-budgeting

- May be allowable if objectives don't change
- Need to request ahead of time

➤ Financial Reporting

- Forms and deadlines vary
- Refer to grant agreement

Understanding the Elements of an FOA & Grant Proposal

Components v. Criteria

COMPONENTS

- **Required for submission**
 - **Must include all (unless optional)**
 - **If any are missing → application is incomplete**
- **Proposal Sections**
 - **E.g. Objectives, Results, Approach, Budget**
- **Supporting Documents and Forms**
 - **Letters of support**
 - **Application forms (e.g. SF-424)**

Components v. Criteria

CRITERIA

- Used to grade submission
- Scored by points or Percentage
- Not required (but you want to maximize)
- Aligned with Funding Priorities (typically)
- Addressed within components
 - Some components may contain more than one
 - Some components may contain none
 - Some addressed in multiple components

Proposal Format & Structure

➤ Proposal Format

- Margins, spacing, font, etc.
- Page limit (not all items apply)

➤ Proposal Structure

- Shows how to structure required sections / components
- Not all RFPs indicate a particular structure
 - Use proposal preparation exercise as guidance

➤ Always follow RFP suggested structure and format

➤ Fillable or Template Application Forms

- General Assistance Program - GAP Online

Sample Proposal Structure

- **Title / Cover Page**
- **Table of Contents (if necessary)**
- **Abstract / Summary**
- **Project Narrative / Description (see next slide for more)**
- **Work Plan**
- **Partnership Documentation**
- **Organizational Support Documentation**
- **Standard Forms**
- **Additional Supporting Materials**

Sample Project Narrative Sections

- Introduction / Background
- Problem Statement / Needs Assessment
- Project Goals
- Project Objectives
- Approach / Methodology
- Results
- Benefits
- Performance Measurement & Evaluation
- Reporting
- Organizational Capabilities & Past Performance
- Partnerships
- Budget

Proposal Components

- **Always follow instructions on RFP first!!!**
 - Even if what they ask for is redundant
- **Use this presentation as guidance**
 - This presentation teaches concepts (all of these will not apply to every grant proposal)
 - Use when instructions are inadequate or unclear
 - Section / component names will vary
 - If instructions do not include a particular section or component, you may not need to include in your proposal – if unsure ask
- **If RFP instructions and guidance conflict → Follow RFP**

Title / Cover Page

- **Title – length usually limited**
 - E.g. [INSERT TRIBE] Wetland Restoration Project
- **FOA Name, Number**
- **Amount Requested**
- **Contact Info**

Table of Contents

- Use if required or for lengthy proposals
- Use headers function in Microsoft Word
 - Set Section Title Formats
 - Headings 1 – section titles
 - Headings 2 – section sub-titles
 - Set cursor where you want TOC
 - References → Table of Contents (insert)
 - If you make changes
 - Right click on TOC → update

Abstract / Summary

- **Abstract and Summary can vary in length and content**
 - Summarize most important info in proposal
 - In general – who, how much, and what for
- **RFP may require one or both**
- **Summary / Executive Summary**
 - <1 to 2 pages depending on length or proposal
- **Abstract**
 - 1 paragraph to ½ page

Introduction / Background

- **General information about Tribe and issue**
 - Project context
- **Can include:**
 - Project location
 - Organizational and/or program mission, goals, and history
 - Community information
 - History of problem
- **May not be required**
 - May address in problem statement / needs assessment section

Problem Statement / Needs Assessment

- **Addresses: “Why we need funding”**
- **Focus on target population or external situation (not the departmental deficiency)**
- **Provide data to support problem / need**
 - Be concise, don't overwhelm
- **The timeframe for addressing may be limited**
- **May address needs in other sections**
 - Intro/Background, Goals, Objectives
- **Goals and Objectives seek to address described Problems or Needs**

Sample Needs Assessment

The reports and assessments referenced above identify several fish, wildlife, & habitat concerns that need to be addressed. However, these studies are limited in scope. The Tribe needs to develop a better understanding of the fish, wildlife, and habitat within the reservation and surrounding watershed by conducting thorough, comprehensive FW&H studies. In addition, the Tribe needs to develop and implement a Fish, Wildlife, and Habitat Management Plan (FWHMP) that will manage, protect, and improve these resources. The FWHMP should at minimum include area mapping, zoning, ordinances, enforcement mechanisms, education, and monitoring. Once developed, the FWHMP needs to be integrated into an IRMP and Watershed Plan to complement and build upon the efforts of other Tribal natural resource programs.

Project Narrative - Goals

- **Overall purpose that the project / proposal is consistent with**
 - **Environmental, Community, Organizational**
 - **Broad, Non-Specific**
 - Not necessarily measurable or attainable within project period
 - **Goal = addressing the need or problem**
- **Examples**
 - **To improve waste management**
 - **To increase or improve riparian habitat**
 - **To become carbon neutral**
 - **To reintroduce California steelhead**

Project Narrative - Objectives

- **What you plan to accomplish**
- **Specific, measurable, within project period**
- **Subset of goals**
 - **Contributes to fulfilling goals**
- **Addresses need, problem, or requirement**
- **Leads to results**
- **Examples**
 - **Develop an Integrated Resource Management Plan**
 - **Install 50 kW of solar panels**
 - **Convert vehicles to biodiesel**
 - **Implement water quality monitoring program**

Goals & Objectives

- **Relate project goals & objectives to funder's goals, objectives, and priorities**
- **Future Goals & Objectives**
 - **May need to describe for beyond project period**
 - **Plans for continuing or building upon what is be accomplished with funding**

Approach / Methodology

- **What you will do to achieve objectives**
 - AKA – Implementation Plan
 - Specific activities, tasks, and sub-tasks
 - Be detailed – must be realistic
 - Required resources (time, money, personnel, etc.)
- **Allowable activities in RFP**
 - If you propose activities not listed, you must justify
- **Pay attention to priority activities**
- **Narrative and/or Work Plan description**
 - Work Plans discussed later in detail

Approach / Methodology

➤ Elements

- Activities / Tasks
- Timeline (with milestones)
- Deliverables
- Cost (not always necessary)
- Responsible Parties
- Work Years (1.0 work years = 2080 hours)

➤ May need to provide an approach for Performance Evaluation & Reporting

- If required objectives
- May want to include anyway if grant covers these expenses

Timeline & Milestones

- **Timeline – shows when you plan on conducting specific activities / tasks**
- **Associated with an objective or task specific**
 - **Depends on requirements of RFP**
- **Milestones – shows when you plan on completing specific activities / tasks**
- **Narrative or Figure**
- **Creating a timeline**
 - **Gantt Chart**
 - **Table (MS Word, Excel)**

Example of Activities / Tasks

Create a Tribal IWMP for Reservation (objective)

- **Define the solid waste generators**
- **Describe existing waste management practices**
- **Conduct waste streams assessments/audits**
- **Estimate quantity of future waste generation**
- **Review and revise waste management laws**
- **Develop waste management enforcement**
- **Hold at 2 stakeholder meetings**
- **Identify and compare waste mgmt options**
- **Create waste mgmt educational materials/program**
- **Develop a draft IWMP that includes...**

Example Approach for an Objective

Create a Tribal IWMP for Reservation (objective)

- **Timeframe – October 1, 2015 – March 31, 2016**
 - You might want to have a timeframe for each task
- **Responsible Parties: ED, EMS, AA, EI**
- **Budget: \$20,000 (may not need to include)**
- **Work Years: 0.5 yrs (1040 hours)**
- **Deliverables:**
 - Audits
 - Updated Laws
 - Enforcement Program
 - Stakeholder meeting sign-in sheet, agenda, etc.
 - Draft & Final IWMP

Results

➤ Specific outputs and outcomes that result from achieving objectives

Pursuant to EPA Order 5700.7, “Environmental Results under EPA Assistance,” EPA must link proposed work plan activities in funded assistance agreements to the Agency’s Strategic Plan. This is a previously established requirement binding the Agency, which governs all assistance agreements EPA awards. While the Order requires a link to the Agency’s Strategic Plan, EPA also acknowledges that work plan activities should also be linked to tribal program priorities, reflecting EPA’s commitment to supporting tribally defined outputs and outcomes that are consistent with the federal laws the EPA is charged with implementing. Under the Order, EPA requires assistance agreement recipients to define environmental outputs and environmental outcomes to be achieved under the award.

General Assistance Program Guidance (May 2013)



Outputs: The term “output” refers to an environmental activity, effort, and/or associated work products related to an environmental goal or objective that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during the project period. Examples of outputs under GAP include: solid waste management plan; air emissions inventory; surface water sampling plan; and lead-based paint public education campaign. For each proposed work plan activity, applicants are expected to identify a measurable output.

Outcomes: The term “outcome” refers to the result, or consequence that will occur from carrying out the activities under the award. Outcomes may be environmental, behavioral, health-related, or programmatic; must be quantitative; and may not necessarily be achievable during the project period. Examples of outcomes under GAP include: level of reduction in unauthorized discharges to the air, water, or land; size of population benefiting from a reduction in pollution; changes in knowledge and understanding; and changes in behavior. Applicants are expected to identify an outcome for each program component funded under GAP.

Results

- **Outputs = actions, products, deliverables**
 - Measured by organizational activities
 - Direct result of accomplishing a task
 - Timeframe specific
- **Outcomes = effect, consequence, result**
 - Refers to a change (pre- and post- measurement)
 - Can occur outside of project period
- **Every objective leads to both an output and an outcome (at least one of each)**
 - Link results with objectives in proposal
 - Link outcomes to objectives
 - Link outputs to specific tasks
- **Results can be Quantitative or Qualitative**

Results

➤ Examples of Outputs

- Habitat Management Plan
- Educational and Outreach Materials
- SW Quality Monitored at 5 Sites
- X cubic yards of waste removed
- 50 kW of solar installed

➤ Examples of Outcomes

- Increased species habitat
- Increased community understanding
- Reduced illegal dumping
- Increased technical capacity of staff
- Reduced fossil fuels emissions

Project Benefits

- **Who or what will benefit and how**
 - Target audience
 - Others (e.g. project replication, ancillary benefits)
- **Benefits relative to cost**
 - Can improve with matching funds, in-kind contributions, or related projects
- **May need to describe impacts or barriers**
 - Barriers – to objectives or implementation
 - Describe how will you overcome
- **Re-stating goals, objectives, and/or results**
 - Goals and objectives if they are accomplished
 - Benefits can be the same as outcomes (broader)
 - Alternative sections: Goals, Objectives, Results

Performance Measurement

- **Tracking performance in meeting objectives**
 - Measurement of results (outputs & outcomes)
- **Performance Measurement Plan**
- **Qualitative Measurement (subjective)**
 - E.g. testimonials, anecdotes, success stories, observations
- **Quantitative Measurement (objective)**
 - E.g. pre- and post testing, surveys, questionnaires, interviews, activity logs, case reports, performance reports

Performance Evaluation

- **How effectively objectives are being met**
 - To ensure or improve performance
- **Grantee (self) evaluation**
- **Grantor (funder) evaluation**
 - Based on what is reported
 - Funder feedback (best to follow)
- **Evaluation Plan**
 - Link to performance measurement

Reporting

- **Reporting performance to funder**
- **Required level of reporting varies**
 - See RFP for how and when
- **Include in approach if required or allowable**
 - Restate RFP instructions
- **Grantee reporting → Grantor reporting**
 - Superior performance can lead to additional funding
- **Two Types:**
 - Project Performance Reporting
 - Financial Reporting

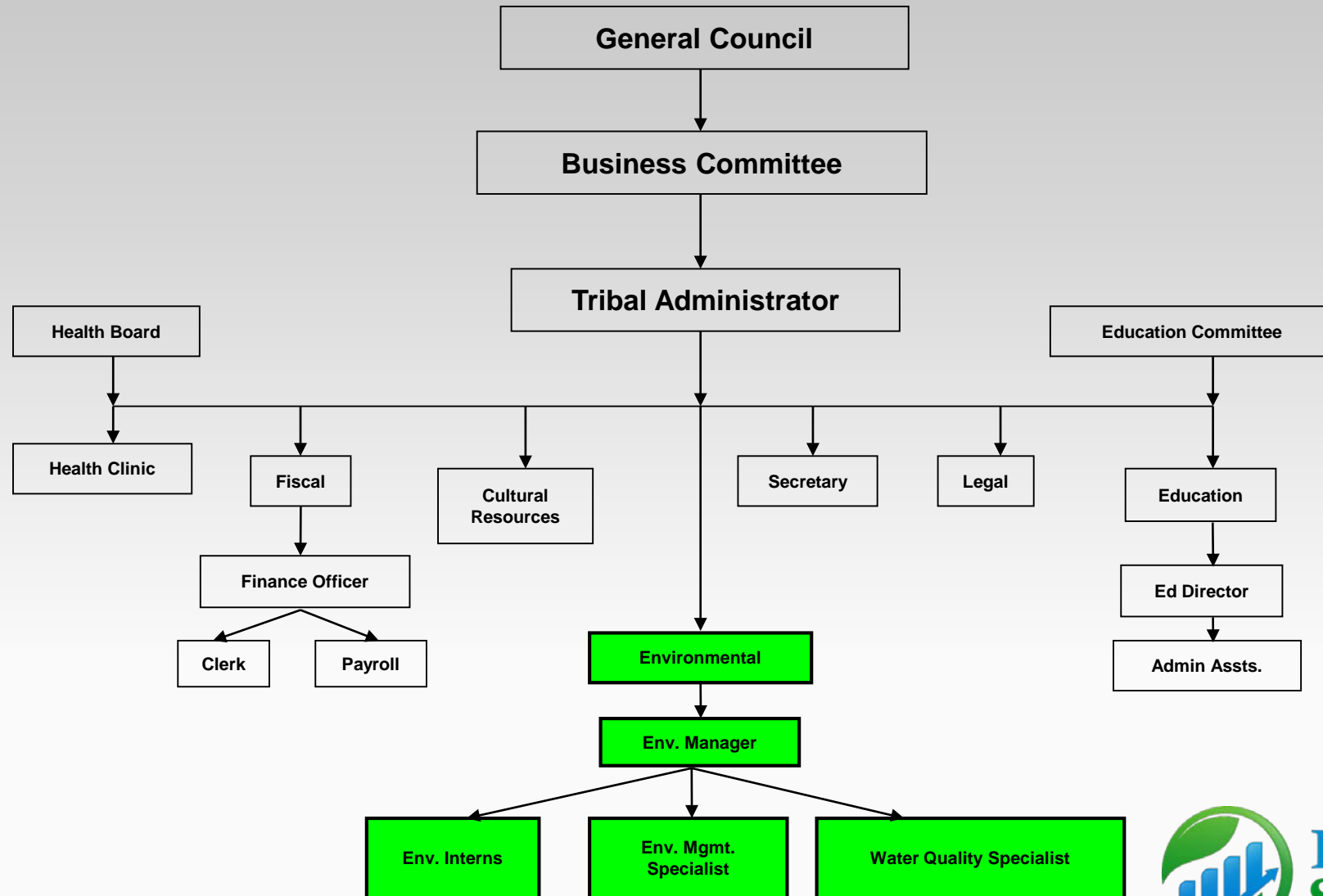
Reporting

- **Project Performance Reporting**
 - **Outputs – deliverables, activities, data, etc.**
 - **Outcomes (where appropriate)**
 - **Narrative (written description) v. Evidence**
 - **Quantitative (objective) v. Qualitative (subjective)**
- **Financial Reporting**
 - **Expenditures (total v. individual)**
 - **Quotes**
 - **Financial Reports & Forms**
- **Be consistent with RFP guidance**
 - **Examples, Requirements**
- **Propose minimum reporting required**
 - **You can always provide more**

Organizational Capabilities

- **Need to demonstrate ability to perform**
- **Organizational capacity and resources**
 - **Organizational Structure (org chart)**
 - **Resources – equipment, buildings, financial**

Sample Organization Chart



Organizational Capabilities

- **Need to demonstrate ability to perform**
- **Organizational capacity and resources**
 - **Organizational Structure (org chart)**
 - **Resources – equipment, buildings, financial**
- **Responsible Personnel**
 - **Key Roles (project org chart)**
 - **Qualifications and Experience**
 - Resumes; Experience managing similar projects
- **Accomplishments, Endorsements**
 - **For personnel or organization / department**

Past Performance

- **Past Experience and Performance**
 - **Current Programs & Projects (similar)**
 - **Past Programs & Project (similar)**
 - **Managing grants**
 - **Meeting reporting requirements**
- **Discuss programs and projects outside of your department if necessary**
- **If requested, don't leave blank – be creative**
 - **Experience doesn't have to be grant related**
- **Relate experience to current proposal**

Partnerships

- **External Contributors**
 - Need to define who will be involved and how
 - Role of partners will vary
- **Partnerships strengthen an application**
 - Sometimes required – NFWF Five Star Grant
- **In-kind or Cash Contributions**
 - Often easier to obtain than through other means
- **Informal v. Formal (requires proof)**
- **Demonstrate Partnership**
 - Letter of Support / Letter of Commitment
 - Define in-kind or cash contribution
- **Partnership agreement defines relationship**
 - You may be asked to draft for partner(s)

Budget

- **How much you will spend and on what**
- **Budgeting Variations**
 - **Budget by Cost Category (typical)**
 - **Budget by Objective or Task**
 - **Budget Narrative**
- **Budgeting Considerations**
 - **Indirect Costs**
 - **Matching Contributions / Cost-Share**
 - **Leveraging**
 - **Future Funding**

Budgeting by Category

- **Breakdown of Expenses by Category**
 - Typically in table format
- **Use SF-424A categories for Federal Grants**
 - Personnel
 - Fringe Benefits
 - Travel
 - Equipment
 - Supplies
 - Contractual
 - Construction
 - Other
- **If provided, use specified categories for other grants**
- **Agencies can define categories differently**

Budget

➤ Guidance

- Use examples in funding announcement
 - You may have to use a specified format or template
- IGAP Budget Worksheet
- EPA National PETE
 - www.petetribal.org

➤ Expenses must be allowable

- Refer to RFP
- 40 CFR 31 – Admin requirements for grants
- OMB Circular A-87
 - General Principles for Allowable Costs

Budget

➤ Budget by Objective

- By broader objectives or specific tasks
- May need to breakdown by categories

➤ Budget Narrative

- Explains and justifies each cost item
 - Example

➤ Indirect Costs (overhead)

- Can be unallowable or limited
 - E.g. NPS Historic Preservation Grant – limited to 25%
- May need to provide indirect cost agreement



Budget

➤ Cost-Share / Matching Funds

- **Source Organizations:**

- Tribe, Partner, Agency, Grant, Charity

- **Creative Sources:**

- Volunteer time, donated equip or supplies, indirect costs
- You can place a value on most things (must be reasonable)

- **Federal Grants often won't accept other Federal Monies as match or cost-share**

- Exception – Public Law 638 Contract Funds

- **Show expenses covered by match funds in budget**

- **Budget for match funds not always required**



Public Law 93-638

- Funds distributed via a P.L. 93-638 contract are classified as non-federal (Title I - Indian Self Determination & Education Assistance Act)
- PL 638 provides that “[n]otwithstanding any other provision of law, a tribal organization may use funds provided under a self-determination contract to meet matching or cost participation requirements under other Federal and non-Federal programs”

Budget

➤ Leveraging

- Not necessarily in Budget section
- Shows that you are doing the most with funds
- Options
 - Other grant funds
 - Related, complementary programs
 - Organization funding, resources, and/or support
 - Partnership funding, resources, and/or support
- Some grants have minimum leveraging requirements
 - DOE Competitive EECBG (5:1)
- Look to RFP for guidance on what to include and in how much detail

Work Plan

- **Summarizes approach and other info**
 - Objectives, tasks, timeframe, outputs, outcomes, personnel, work years, performance measurement, costs
- **Effective way to organize proposal**
- **RFP may include a specific format**

Organizational Support / Authority

- **Tribal Support – can vary for each Tribe**
 - **Signed Chairman’s letter**
 - Sometime the RFP asks for a resolution but a signed letter from the chairman will suffice
 - **Tribal Council Resolution**
 - **Full General Council Resolution**
 - **Plan ahead – these can take time to get**
- **Signature Forms**
 - **Must be done by an authorized representative**
 - See Tribal Constitution, By-Laws, or other formal organization documents

Standard & Misc. Forms

- Retrieve ID numbers (e.g. DUNS, EIN/TIN)
- SF-424 – Application for Federal Assistance
- SF-424B – Assurances
- SF LLL – Disclosure of Lobbying Activities
- Grant Program Specific forms and docs
- EPA Region 9 Application Kit
 - www.epa.gov/region09/funding/applying.html

Additional Materials

- **Permits and Approvals**
 - NEPA, ESA, CWA
- **Data**
- **Engineering plans**
- **Maps**
- **Contracts**
- **Supporting documents / files / reports**
- **Appendices**

Thank You! Questions?

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Finding Funding Opportunities

➤ How and where can you learn about funding opportunities? Who are the funders?

▪ Funders:

- Agencies (Federal, State, Local)
- NGOs (Non-Profits, Foundations, Corporations)
- Investors, Organizational Decision-Makers

▪ Funding Information Sources:

- Agency and NGO Websites (FOAs, RFPs) and Contacts
 - ❖ Ask Questions, Establish Relationships
 - ❖ www.grants.gov, www.fundsnetservices.com, <http://www.tgci.com/>
- Email lists, Internet Searches, Your Network
- Identify and monitor recurring funding opportunities

Finding Funding Opportunities

Federal Agency Funding Sources

- EPA (National, Region 9): GAP, PPG, CWA, CAA, RCRA, P2, etc.
- Department of Energy: Tribal Energy Program
- Fish & Wildlife Service: Tribal Wildlife Grant
- Bureau of Indian Affairs
- US Department of Agriculture
 - NRCS, Waste Cleanup, Economic Development
- Indian Health Service
- Department of Health & Human Services
 - Administration for Children & Families
- HUD, NFS, NPS, FEMA, NOAA, NPS, BLM, etc.



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