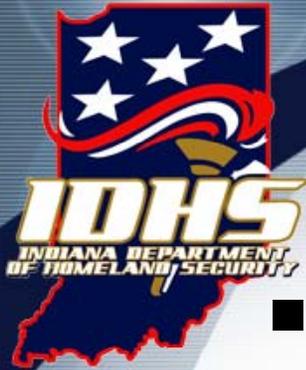




INDIANA DEPARTMENT OF HOMELAND SECURITY

Joe Wainscott, Executive Director

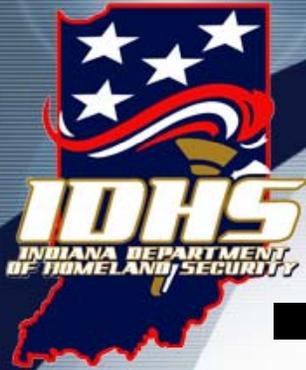
IDHS: Leadership for a Safe and Secure Indiana



Grants Management

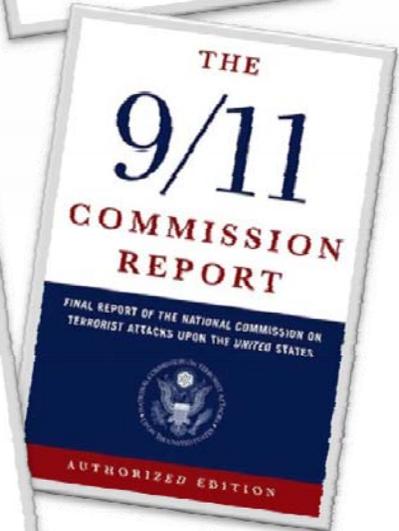
- Grant background
- Funding Process
- Pre-Award Administration
 - Proposals
 - Budgets
 - Authorized Equipment List (AEL)
 - Environmental and Historic Preservation (EHP)
 - Evaluation
- Active-Award
 - Grant Agreements
 - Reimbursements
 - Quarterly Reports
 - Monitoring
 - Grant Adjustment Notice (GAN)
- Post-Award Administration





Authorities for Compliance

- Stafford Act
- 9-11 Act
- Federal Regulations (44 CFR)
- OMB Circulars
- Terms & Conditions of Grant Award
- Program Guidance
- DHS Policy
- FEMA Policy

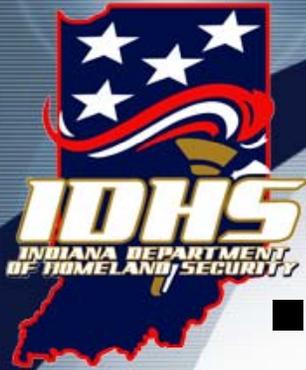




Guiding Regulations

- OMB Circulars are available online at the following website: www.whitehouse.gov/omb/circulars

	State and Local Governments	Public and Private Institutions of Higher Education	Hospitals Affiliated with Institutions of Higher Education	Quasi-Public and Private Nonprofits	Public and Private Hospitals
Grant Administration	44 CFR 13 & OMB Circular A-102	OMB Circular A-110	OMB Circular A-110	OMB Circular A-110	OMB Circular A-110
Cost Principles	OMB Circular A-87	OMB Circular A-21	OMB Circular A-21	OMB Circular A-87	OMB Circular A-87
Audits	OMB Circular A-133	OMB Circular A-133	OMB Circular A-133	OMB Circular A-133	OMB Circular A-133



OMB Circular A-87



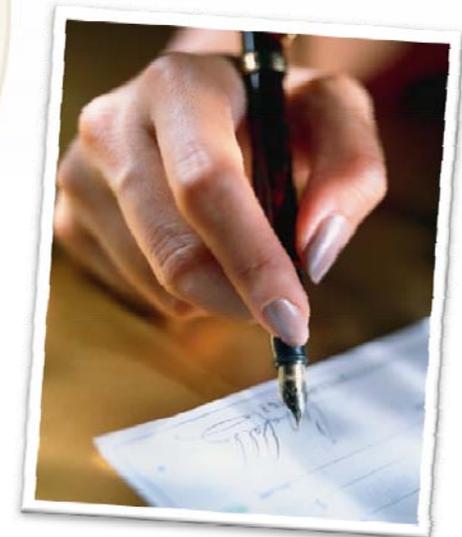
- Requires that a cost be:
 - Allowable
 - Necessary to the performance of a project
 - Reasonable
 - Non-profitable
 - Claimed against only one award
 - Permissible under State and Federal laws and regulations
 - Adequately supported by source documentation such as cancelled checks, payrolls, contracts, etc.
- Does NOT:
 - Supersede limitations imposed by law
 - Dictate how a government should use funds
 - Relieve State and Local governments of stewardship responsibilities for Federal funds



OMB Circular A-133

- Consistency and uniformity for the audit of non-Federal entities.
- Requires that Audits be performed annually*.
- Identifies a “pass-through entity” that provides a Federal award to a sub-grantee.

- Top Audit Findings
 - Accounting procedures need improvement
 - Grant reporting requirements not met
 - Grant management procedures need improvement
 - Cash management procedures need improvement





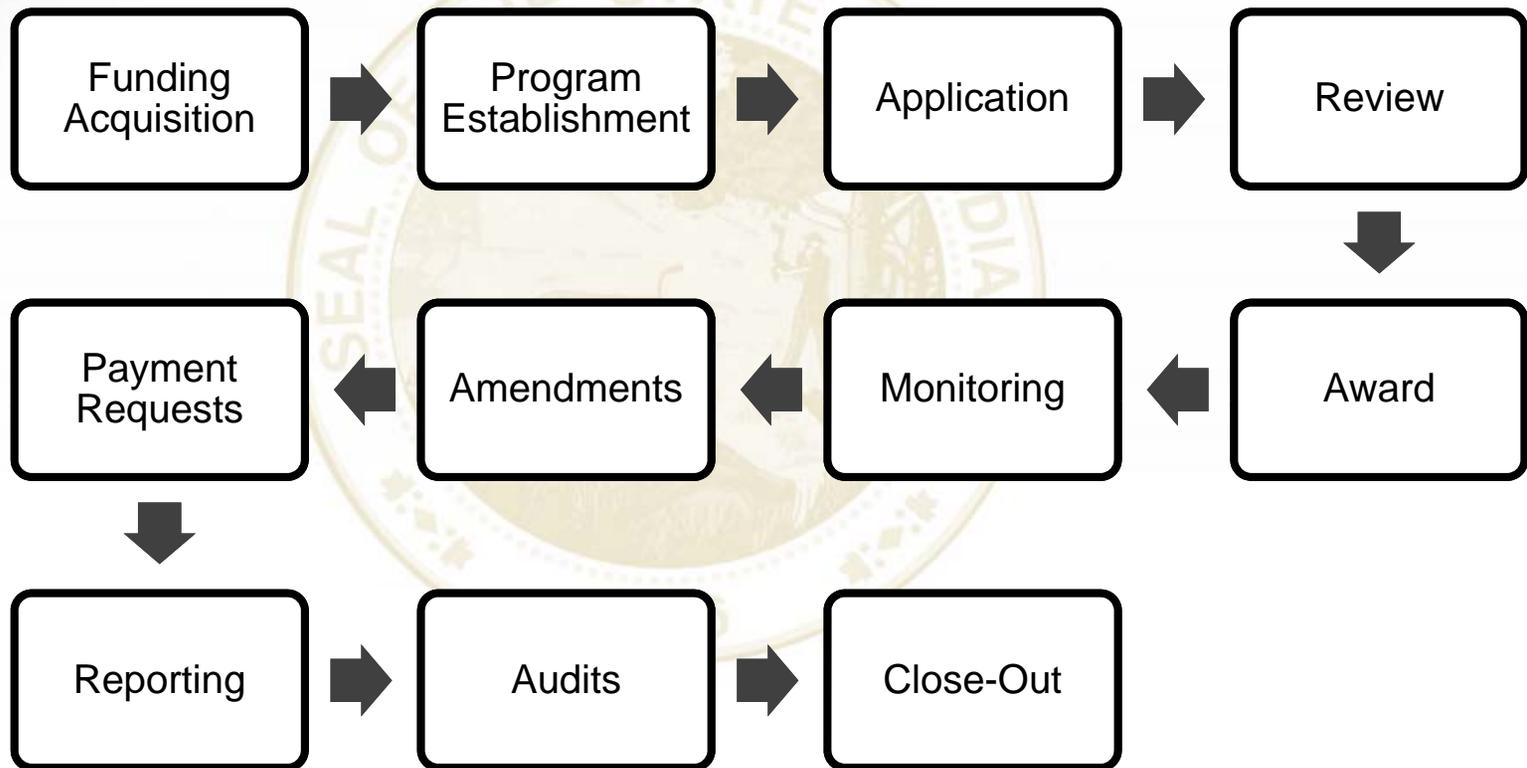
Oversight

- Regulations, oversight and audit.
- Require IDHS to oversee grant related activities.
- Listed in the agreement, the Administrative Plan and the Guidance for the grant.





Business Process - The Grant Lifecycle





Funding

- Appropriation – money set aside by formal action for specific use
- Apportionment – apportioning of funds among the states according to US law
- Allotment – funds to the designated SAA
- Application – submission of formal request for grants funds
- Award – notification of accepted application
- Allocation – grant funds distributed at state and local levels
- Obligation – legal liability to pay under a grant.
- Expenditure – spending of grant funds
- Reimbursement – paying funds to reimburse for expenditures



IDHS Process Flow

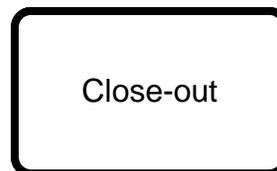
■ Pre-Award



■ Active Award



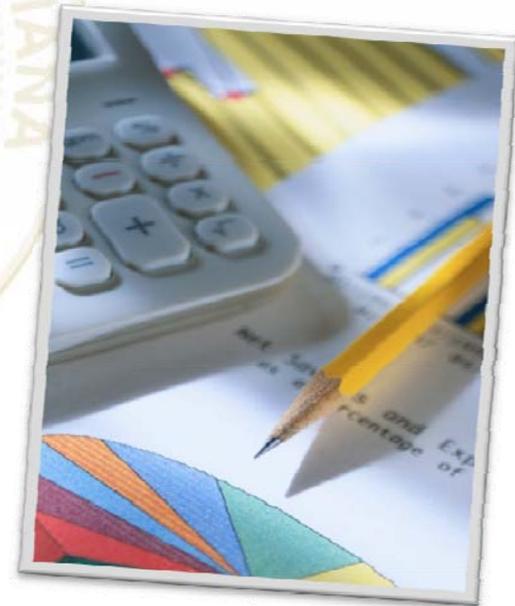
■ Post-Award





Award Management

- Pre-award
 - Award posted in the iGMS
 - Proposal/budget accurately entered and submitted in the iGMS
 - Budget approval (need to allow time for approval process, approximately 2 weeks)
 - Correctly identifying the sub-grantee (Section II the tax id that is provided by a sub-grantee or contractor has to be the tax id for the entity named in the agreement.)
- Active Award
 - Quarterly reports
 - GANs
 - Monitoring
- Post-award
 - Close-out





Pre-Award Administration





Proposals

- Request for money or resources.
- Sections:
 - Applicant Information
 - Primary Point of Contact
 - Overall Project Justification
 - Baseline
 - Strategy
 - Implementation
 - Impact
 - Optional Attachments





Applicant Information

- Used to prepare the sub-grant agreement.



- » Organization Legal Name
- » Federal Tax ID
- » Principal Executive Officer
- » Title
- » If non-governmental, date of IRS Non-Profit Approval



Primary Point of Contact

- Main contact person for IDHS grants management.
- Knowledgeable about grants.
- Individual who will be responsible for iGMS/grant activities.
 - First name
 - Last Name
 - Organization
 - Street 1
 - Street 2
 - City
 - State
 - Zip
 - Primary Phone Number
 - Alternative Phone Number
 - Fax
 - Email
 - County





Overall Project Justification

■ Management & Administration

- Direct costs that are incurred to administer a particular grant program/award.
- Identifiable and unique to each grant program/award and are charged based on the activity performed for that particular project.
- M&A costs may include:
 - Salaries of full-time or part-time staff or contractors/consultants to assist with the management or administration of the grant program
 - Travel expenses
 - Meeting-related expenses

■ Project Management

- Defines the personnel responsible for the implementation of the project.
- Should include:
 - Roles and responsibilities
 - Governance structures
 - Subject matter expertise specifically require for this project.



Baseline

- Previous funding
 - If included in a previous HSGP request, you must provide the name and the total amount of HSGP funding that was dedicated toward this project.
- Purpose statement
 - What activities will be implemented and what will be accomplished through the approval of this project.
- Description
 - Describe the current state of the project, its objectives, and any accomplishments that will be completed prior to the requested funds.
 - Include whether this is a new or ongoing project and describe the capability gap(s) that the project intends to address.



Strategy

■ Goals and Objectives

- Identifies how this project supports the Indiana Strategy for Homeland Security and asks for information on how the proposed project would meet those goals and objectives.

■ Target Capabilities

- Describes how the proposed project would support the target capabilities list identified by the US DHS and asks for information on how the proposed project would meet those capabilities.
- Can be found at: <https://www.rkb.us/hspd8.cfm>.

■ National Priorities

- This area is related to the National Priorities identified by US DHS/FEMA and asks for information on how the proposed project would meet those priorities. The national priorities can be found at: <http://www.fema.gov/about/divisions/npd.shtm>.



Implementation

■ Funding Plan

- Describe how the funds will be used and whether the planned expenditures are appropriate.
- Total estimated to implement this project during the performance period.

■ Accomplishments

- Outline key events that will demonstrate progress toward achieving the overall objective of the project.
- Identify milestones that will lead to the successful realization of the accomplishment and specific challenges that could impact achievement.
- Should include a clear description of the accomplishment and a specific end date.

■ Challenge Mitigation

- Explain how the management team will mitigate each of the specific challenges identified.
- Should explain in detail how the challenges will be mitigated to meet the milestones in order to achieve the key accomplishments of the proposed project.



Impact

- **Impact on Identified Risk**
 - Describe how implementation section will reduce the identified risks.
- **Sustainability**
 - Describe any additional sources of funding to be used.
 - Reference impact and how progress will be sustained.





Budgets

- Balance: amount of funding that is available.
- Description: provides the description of an item.
- Solution Area: (see specific grant guidance for information on allowable costs).
 - Planning
 - Organization
 - Equipment (always consult the AEL for eligibility)
 - Training
 - Exercise
 - Management and Administration (please check with Grants Management BEFORE adding M&A expenditures).



Match

- The value of contributions and the portion of the costs of a Federally assisted project or program not borne by the Federal Government.
 - All cost-sharing or matching funds claimed against a grant by State or local governments must meet the requirements of the program guidance and/or program regulations.
- Types of match:
 - Cash (hard) – includes cash spent for project-related costs under a grant agreement.
 - In-kind (soft) – includes contributions of the reasonable value of property or services in lieu of cash which benefit a federally assisted project or program.





Supplanting

- Deliberately reducing State or local funds because of the existence of Federal funds.
- Discovering supplanting will result in the immediate return of federal funds related to the expenditure and project. Supplanting puts **all** federal funds at risk.



» If a county has \$300 budgeted for hazardous materials training and is awarded a \$500 grant for hazardous materials training. They can keep the \$300 for something else and use the \$500 for their training. True? or False?

FALSE!

» A federally required audit is done at the county. In previous years, the county budget absorbed those costs using county funding. Because of the financial crisis, they can use federal grant funding pay for it. True? or False?

FALSE!



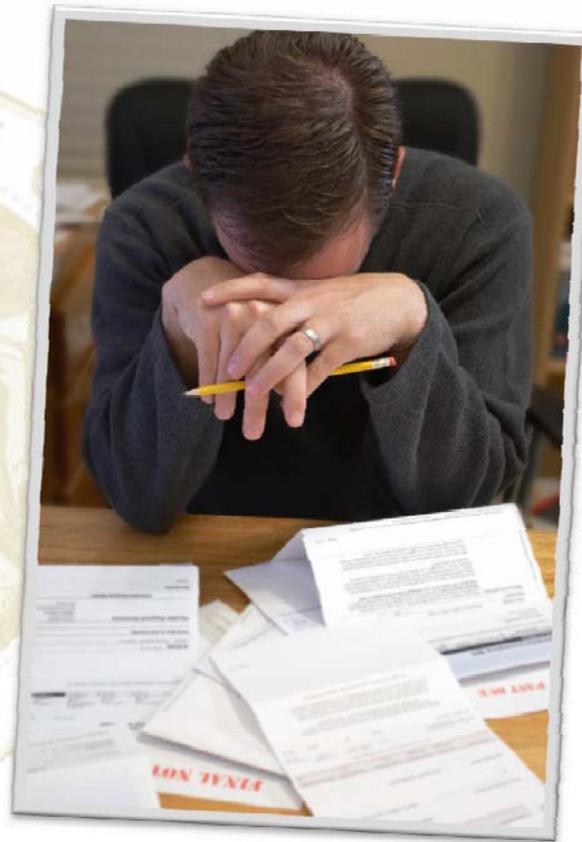
Budget Review

Allowable	Allocable	Reasonable	Necessary
<ul style="list-style-type: none">■ Necessary and reasonable■ Conforms to the Cost Principles and grant's Terms and Conditions■ Authorized or permitted by law or regulation■ Treated consistently as a direct or indirect cost■ Adequately documented	<ul style="list-style-type: none">■ Chargeable and assignable to cost categories■ Incurred solely to advance the work under the sponsored agreement■ Necessary to the overall operation of the agreement■ Not charged to other Federal awards	<ul style="list-style-type: none">■ Reasonable costs are determined by the prudent person test (i.e., charge amount not excessive and within the bounds of common sense)	<ul style="list-style-type: none">■ A cost that is necessary for proper and efficient performance and administration of the grant



Cost Categories

- Personnel
- Fringe Benefits
- Travel
- Equipment
- Supplies
- Contractual
- Other
- Indirect Costs





Personnel & Fringe Benefits

■ Personnel

- Basis for determining each employee's compensation described.
- Must define each position by employee name and title.
- Include dates of employment.

■ Fringe Benefits

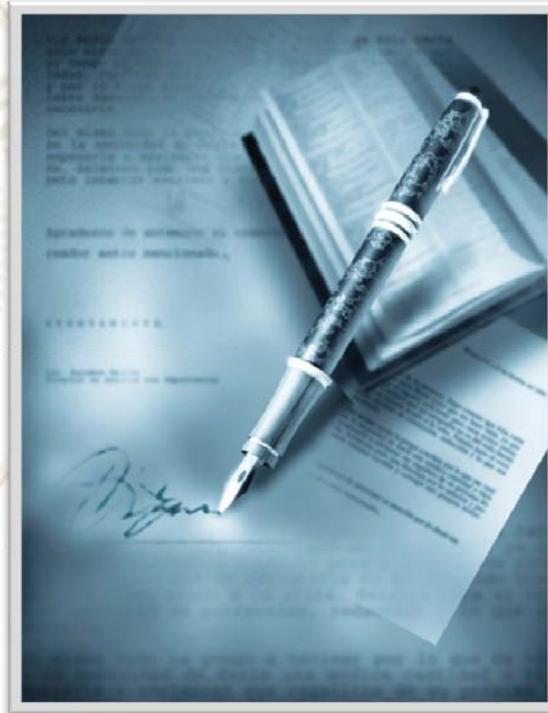
- Specify as a separate line.
- Typically used as match.





Contractual

- Describe service to be rendered.
- For individuals:
 - Hourly, daily, weekly base rate given
 - Allowable, justified, reasonable, and comparable to the market
- Describe procurement method.





Travel

- Necessary for the purpose of the program
- Separate travel costs, including transportation, hotel, meals, mileage, etc.
- Written travel policy
 - If no, must follow State guidelines





Equipment

- Specified by unit and cost
- Reasonable and allowable under the project
- Procurement policy
- Shipping





Supplies

- List separately
 - Office
 - Training
 - Research
 - Other
- Reasonable





Other

- List by major type (space rental, printing, phone, maintenance, etc.)
- Space rental:
 - If owned by grantee organization, do NOT charge “rental” costs
 - Maintenance costs
 - Square footage and cost per square foot provided
- Ensure all costs are justified, reasonable and allowable.





Proposal Evaluation

- District proposals are the foundation for Indiana's federal grant application.
- Based on a variety of factors, including:
 - Supported by all members of the District Planning Council
 - Availability of funds
 - National and State strategies and priorities
 - Local needs
 - Eligibility of Request
 - Risk analysis
 - Gap analysis





Authorized Equipment List (AEL)

- All equipment must have an appropriate AEL number identified.
- Designates category and type of equipment being requested, as well as eligibility.
- www.rkb.us

The screenshot shows the FEMA RKB US website interface. The main content area is titled "FEMA Preparedness Grants and Authorized Equipment List". Below the title, there is a list of grant programs, each with a brief description and a link to related AEL categories. The programs listed are:

- Buffer Zone Protection Program (BZPP)**: BZPP provides funding to increase the preparedness capabilities of jurisdictions responsible for the safety and security of communities surrounding high-priority pre-designated Tier 1 and Tier 2 critical infrastructure and key resource (CIKR) assets.
- Driver's License Security Grant Program (DLSGP)**: DLSGP is intended to address a key recommendation of the 9/11 Commission to improve the integrity and security of state-issued driver's licenses (DL) and identification cards (ID).
- Emergency Management Performance Grants (EMPG)**: The purpose of the FY 2010 EMPG is to assist state and local governments in enhancing and sustaining all-hazards emergency management capabilities.
- Emergency Operations Center (EOC) Grant Program**: The Emergency Operations Center (EOC) Grant Program is intended to improve emergency management and preparedness capabilities by supporting flexible, sustainable, secure, and interoperable Emergency Operations Centers (EOCs) with a focus on addressing identified deficiencies and needs.
- Homeland Security Grant Program (HSGP)**: This core assistance program provides funds to build capabilities at the state and local levels and to implement the goals and objectives included in state homeland security strategies and initiatives in their State Preparedness Report.
- Citizen Corps Program (CCP)**: The Citizen Corps mission is to bring community and government leaders together to coordinate community involvement in emergency preparedness, planning, mitigation, response and recovery.
- Metropolitan Medical Response System (MMRS) Program**: The MMRS program supports the integration of emergency management, health, and medical systems into a coordinated response to mass casualty incidents caused by any hazard.
- Operation Stonegarden Grant Program (OPSG)**: The intent of OPSG is to enhance capabilities and coordination among local, state and federal law enforcement agencies.

Each program entry includes a red link labeled "Link to Related AEL categories". The link for the Citizen Corps Program (CCP) is circled in red, with a red arrow pointing to it.



Authorized Equipment List (AEL)

FEMA Preparedness Grants and [Authorized Equipment List](#)



[FEMA Grants Tutorial](#)

Print

General>>Shipping

[General](#) | [Grant Allowability](#) | [Previous Numbering](#)

Buffer Zone Protection Program (BZPP): YES
Citizen Corps Program (CCP): YES
Driver's License Security Grant Program (DLSGP): NO
Emergency Management Performance Grant (EMPG): YES
Emergency Operations Center Grant Program (EOC): YES
Intercity Bus Security Grant Program (IBSGP): YES
Interoperable Emergency Communications Grant Program (IECGP) : YES
Law Enforcement Terrorism Prevention Activity (SHSP-LETPA): YES
Law Enforcement Terrorism Prevention Activity (UASI-LETPA): YES
Metropolitan Medical Response System (MMRS): YES
Operation Stonegarden Grant Program (OPSG) : YES
Port Security Grant Program (PSGP): YES
Public Safety Interoperable Communications (PSIC): YES
State Homeland Security Program (SHSP): YES

FY2010 Citizen Corps Program (CCP) (1)

▶ [Link back to Related AEL Categories](#)

EHP LINK

▶ [Program Page](#)

Eligible FEMA Preparedness Grants

▶ [16 found; click here to see all items](#)

TCL

▶ [37 found; click here to see all items](#)

IAB Recommendations

▶ [Link to the SEL](#)



Authorized Equipment List (AEL)

FEMA Preparedness Grants and [Authorized Equipment List](#)

[Prev \[21GN-00-CNST\]](#)



[FEMA Grants Tutorial](#)

Print

General >> Installation

[General](#) | [Grant Allowability](#) | [Previous Numbering](#)

Certain products in this category have been identified as requiring an Environmental and Historic Preservation (EHP) review. This does not apply to mobile and portable equipment, however all other items must be submitted for review. Please contact your assigned GPD Program Analyst or the Centralized Scheduling and Information Desk (CSID) at 1-800-368-6498 for further information.



This item is part of the AEL.

AEL Number: 21GN-00-INST

Title: Installation

Description

Installation costs for authorized equipment purchased through [FEMA](#) grants.

[BACK TO TOP](#)

FY2010 State Homeland Security Program (SHSP) (11)

[Link back to Related AEL Categories](#)

EHP LINK

[Program Page](#)

Eligible FEMA Preparedness Grants

[16 found: click here to see all items](#)

TCL

[37 found: click here to see all items](#)

IAB Recommendations

[Link to the SEL](#)



EHP Compliance

- An Environmental and Historic Preservation Screening Form must be completed for certain items identified on the AEL.
- Projects must be submitted for EHP approval **before** initiation.
- Grantees will provide all relevant EHP materials to IDHS Grants Management via grants@dhs.in.gov.





EHP Compliance

■ Considerations:

- Endangered Species
- Cultural Resources
 - Historic properties
 - Archaeological sites
- Air and Water Quality
- Noise
- Fish, Habitat & Wildlife
- Floodplains
- Wetlands
- Coastal Zones
- Agricultural Lands
- Environmental Justice
- Socioeconomic Resources
- Land Use
- Hazardous Materials
- Traffic
- Geology (Topography, Soils)





EHP Review Packet

- Detailed project description
- Physical address of structure/facility or lat/long
- Clear **color** photographs (ground-level and aerial)
- Dimensions/acreage/square footage of structure and/or land affected
- Extent and depth of ground disturbance for:
 - New construction and structure modification
 - Utility line placement
 - Fencing, light posts, etc., installations
 - Height of communication towers
 - Special equipment being used, staging areas, etc.
 - Year building or structure was built (to include buildings or structures that are in the vicinity)



Ground-Level Photo

Attachment 2: Proposed Barrier locations, facing east





Active-Award Administration





Receiving the Award

- Successful proposal submissions result in funding to your district.
- Once revised budget is submitted and approved, sub-grant agreement will be provided to local jurisdictions.
- Document serves as the legal means through which funding is provided.





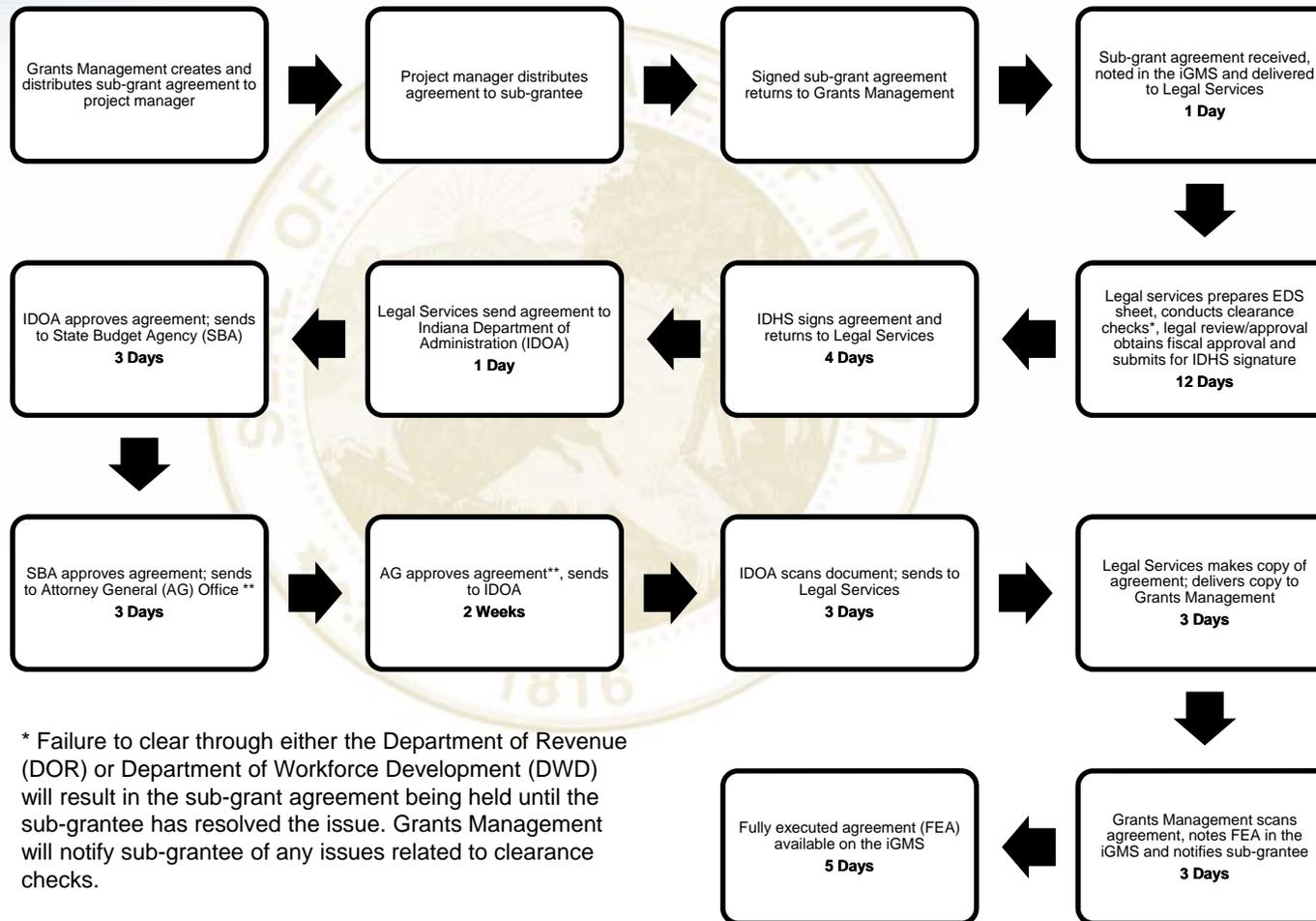
Agreements

- Sub-grant Agreement
 - Prepared when money is award to local entities (e.g. counties, cities, non-profit entities)
- All sub-grant agreements must be **fully executed** (signed by all parties at the state and local level) prior to any funding being obligated.
- Dates
 - Effective/Signature Date
 - Obligation Date
 - Agreement expiration date





FEA Process



* Failure to clear through either the Department of Revenue (DOR) or Department of Workforce Development (DWD) will result in the sub-grant agreement being held until the sub-grantee has resolved the issue. Grants Management will notify sub-grantee of any issues related to clearance checks.

** If form approval has been obtained, this step may be skipped.



Avoid BuMpS in the Road

- Return all documents with **original** signatures.
- Return **all** pages of the agreement.
- Ensure compliance with Department of Revenue and Department of Workforce Development requirements.
- Verify NIMS compliance:
 - For questions, see <http://www.in.gov/dhs/2559.htm>
- Verify EMS and Fire reporting compliance (if applicable)
 - For questions, see <http://www.in.gov/dhs/2738.htm>





Stay Organized!

- Every recipient is different, but staying organized will position you for success.
- Recommend one binder per grant (2008 SHSP, 2009 EMPG, 2009 SHSP, etc.)
 - » Agreements
 - » Proposals
 - » Budget
 - » Reimbursements/disbursements
 - » Quarterly reports
 - » Correspondence
 - » Other pertinent information





Reimbursements

- All IDHS grants are reimbursement based. Advances are NOT allowed.
- Requesting a reimbursement is a two part process:
 - Enter the request in the iGMS
 - Upload the proof to the iGMS
- Payment is sent once the reimbursement request is approved in the iGMS.
- Payment will occur in approximately 35 days.





RFE

Frequently Asked Questions

- Why can't I create an RFE?
 - Outstanding quarterly reports
 - Performance period has ended
 - GAN is awaiting approval
 - Outstanding proof of expenditure
 - Grant Agreement is not fully-executed.

- What can be entered as an invoice?
 - IDHS can only reimburse from an invoice or a receipt.

- What can be submitted as a proof of expenditure?
 - Auditors report
 - Copy of a cancelled check
 - EFT notification



RFE

Frequently Asked Questions

- What if the line items in the budget is less or more than what appears on the invoice or receipt?
 - GAN must be completed
- If I have invoices from different vendors, but are being charged to the same grant can I put them on one Request for Expenditure or do I create an RFE for each invoice?
 - Yes, all invoices can be uploaded to the same RFE.
- When I go to audit the RFE a black box appears and I cannot audit, Why?
 - Performance period has ended.



Grant Adjustment Notice (GAN)

- Any project changes and/or correction for any programmatic, administrative, or financial change associated with a grant award.
- Grantees can initiate the GAN adjustments for the following situations:
 - Performance period extension
 - Scope or objectives modifications
 - Change of authorized representatives (not completed by a GAN)
 - Budget modifications



Quarterly Reports

- Quarterly reports are due 15 days after the close of the quarter:
 - January 15
 - April 15
 - July 15
 - October 15
- Successful submission requires:
 - Transmission in the iGMS
 - Signed document sent to IDHS grants management via email (grants@dhs.in.gov) or fax (317-233-9486).
- Quarterly reports should:
 - Detail obligations/expenditures
 - Provide applicable project data including any perceived or anticipated areas of concern.



Monitoring

- Federal requirement of 44 CFR § 13.40 and is a process used to assess programmatic, financial, and business management performance of a grant to ensure:
 - Programmatic objectives are achieved;
 - FEMA grant funds and any required matching funds are expended in ways that meet the provisions of pertinent statutes, regulations, Administrative Requirements, and relevant OMB Circulars;
 - Property and other grant-related resources are appropriately protected;
 - Information provided by the grantee is reliable and accurate.
- *Fiscal and compliance* monitoring of planning, procurement and contracts, exercise, administrative and training funds, and compliance with regulations.
- *Programmatic* monitoring of sub-grantee progress and operations, including equipment deployment, for project implementation and execution.



Monitoring

- Desk review is a detailed, paper-based review and evaluation of required financial and progress reports, correspondence, and other documentation, including grantee policies and procedures, to substantiate progress and compliance.
- On-site visit is done to substantiate progress and compliance with laws, regulations and policies, or to provide technical assistance.
- IDHS determines the locations to visit by the following factors:
 - Amount of grant funding allocated;
 - Historical findings that have been reported;
 - Entity is considered “high risk” based on financial struggles.
- Who should attend?
 - District Coordinator
 - Entity Auditor (or financial officer)
 - Entity Board of Commissioner member (or any other agreement signatory)
 - Entity Emergency Management officer (EMA Director)
 - Any others invited by Grants Compliance Officer or EMA Director.



Post-Award Administration





Reconciliation and Closeout

- Once all work is completed and last cash request has been made.
- Provide written notification and verification that all funds drawn down have in fact been disbursed.
- Final desk review of the file/account
- Must maintain grant files for a minimum of three (3) years from the date of closeout.
- Retention period for equipment records starts from the date of the equipment disposition.





Contact Information

- Rachel Meyer – Management and Oversight
- Cindy Battiato – Monitoring
- Vicki Biddle – Quarterly Reports and Clerical
- Beth Clark – Budgets, GANs and EHPs
- Niki Theeuwes – iGMS Technical Assistance
- Dolly Watkins – Reimbursements, Grant Agreements
- Mary Fields – Foundation, CTASC

grants@dhs.in.gov

(317) 234-5917

www.in.gov/dhs/grants.htm