



GRANTS MANAGEMENT SEMINAR





OVERVIEW

- ❑ Meet our Staff
- ❑ Project Management
- ❑ Grant Funding Overview
- ❑ EMPG Training and Exercise Requirements
- ❑ Responsibilities
- ❑ Grant Proposal Changes
- ❑ Indiana Homeland Security Foundation
- ❑ iGMS
 - Performance Periods
 - Request for Expenditure
 - Authorized Equipment List
 - Physical Equipment Inventory



RACHEL WOODALL

GRANTS MANAGEMENT CHIEF



- ❑ Responsible for oversight and management.
- ❑ Became Grants Management Chief in November 2009.
- ❑ Public Information Officer at IDHS from January 2008-November 2009.
- ❑ Worked at the Indiana Criminal Justice Institute from 2004-2007.
- ❑ Graduated from Ball State with B.A. in Telecommunications.
- ❑ Personal:
 - Married to Ken (Woody) Woodall at IDHS
 - Have 1 year old, Elijah



CINDY BATTIATO

MONITORING COORDINATOR



- ❑ Responsibilities include:
 - Sub recipient grant compliance
 - Education
- ❑ Became Grant Compliance Monitor in August 2009
- ❑ Joined IDHS staff in December 2007 as Grant Reimbursement Coordinator
- ❑ Employed in the medical field for 15 years
- ❑ Attended IUPUI



VICKI BIDDLE

ADMINISTRATIVE SUPPORT



- ❑ Joined IDHS in November 2008 as Administrative Assistant
 - Enjoy assisting other areas of IDHS such as Planning, EOC and Fiscal
- ❑ Worked previously for Sallie Mae
- ❑ Graduated from Indiana Business College



BETH CLARK

ELIGIBILITY COORDINATOR



- ❑ Responsibilities include:
 - Budget and GAN approvals
 - Review of EHPs
- ❑ Joined Grants Management in 2008 as the PSIC Program Manager
- ❑ Joined IDHS in 1990 as the State Planner and then as a CSEP Program Manager
- ❑ Worked at the City of Indianapolis in Emergency Management from 1981-1990
- ❑ Graduated from Indiana University with a Bachelor's degree
- ❑ Personal:
 - Loves to read
 - Does not have a cell phone!



MARY FIELDS

COUNCIL COORDINATOR



- Responsibilities include:
 - Counter-Terrorism and Security Council (CTASC)
 - Indiana Department of Homeland Security Foundation
 - Preparation and tracking of State and Federal grant agreements
 - Assist in the State Emergency Operation Center when activated
- 2008 - present Council Coordinator/Critical Infrastructure for IDHS
- 2005-2008 Administrative Assistant at IDHS
- 2004 Data entry for the National Incident Fire Reporting System – State Fire Marshal
- 2003 Began working for the state as a secretary for the Anti-Terrorism Division at the State Emergency Management Agency (SEMA)
- Previous employment prior to the State of Indiana include:
 - Sales Assistant at WTTV Channel 4
 - Office assistant for Construction company
 - Child care giver for working parents.
- Attended Indiana University Purdue University of Indianapolis



BECKY LEYDENS

GRANT ACCOUNTANT

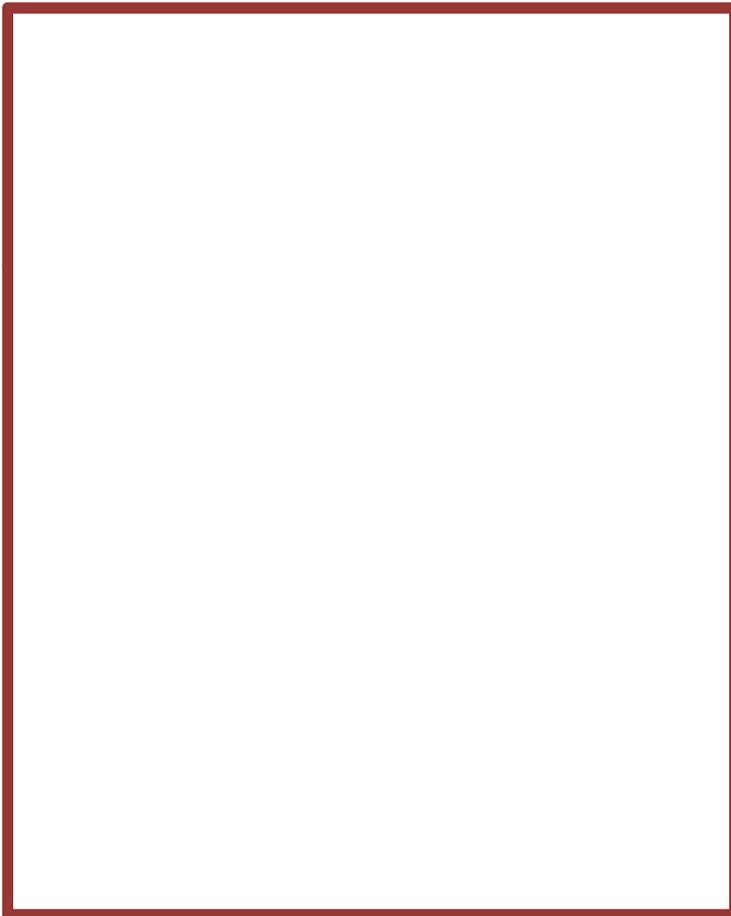


- Responsibilities include:
 - Reconcile iGMS to Encompass to make sure grant monies have been fully expended.
 - BSIR reporting which accounts for every grant dollar we have on all open grants (by county, solution area, category and discipline)
- Have been with IDHS for over 3 years working in Fiscal and Grants.
- Have been in accounting for over 20 years.
- Started out working in banking as a teller, proof machine operator, bookkeeper, etc.
- Graduated from Onarga High School in Iroquois County in Illinois. (Population approx 1400)



ERICA McDANIEL

GRANT WRITER/IGMS TECHNICAL SUPPORT



- Responsibilities include:
 - Provides administrative interpretation pertinent to the grant application process.
 - Submission of quarterly progress reports to DHS/FEMA and other federal entities
 - Maintains day to day operations of the Indiana Grants Management System (iGMS)
- Have been with IDHS for over 3 years working in Response, Exercise, Planning and now Grants.

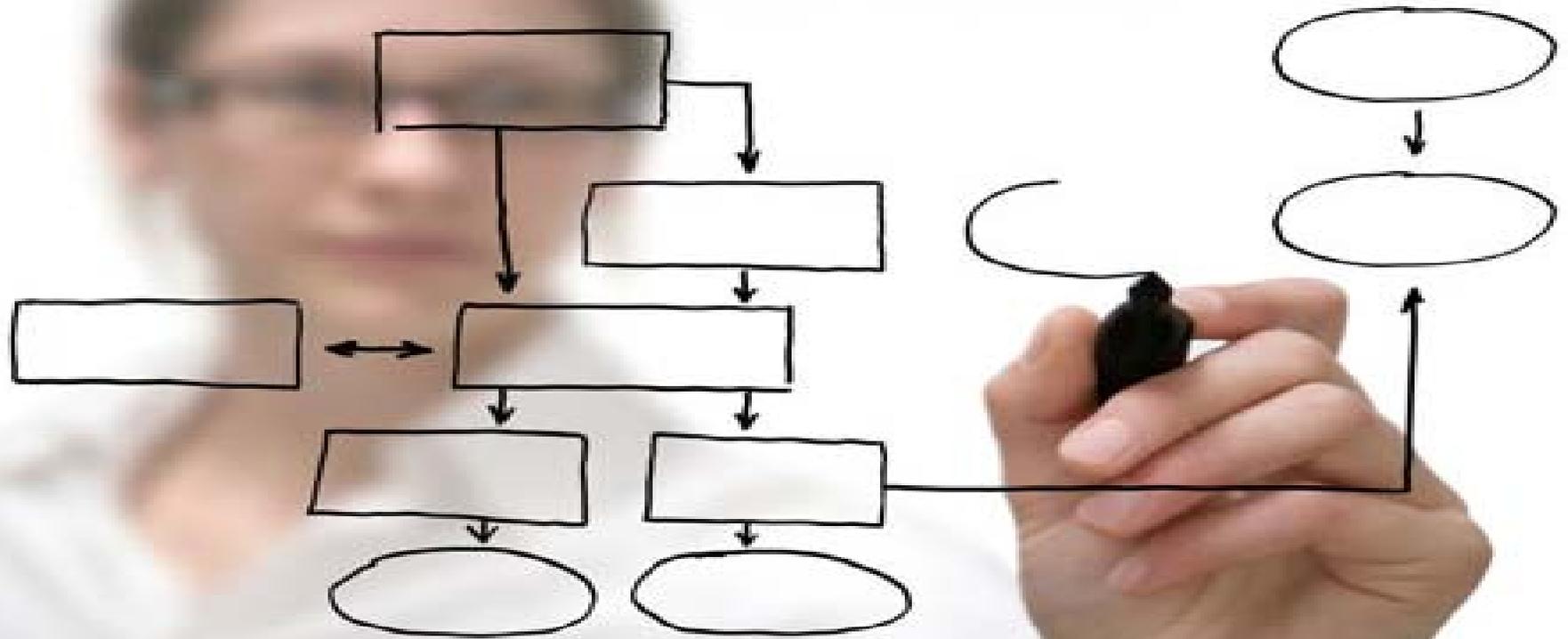


DOLLY WATKINS

REIMBURSEMENT COORDINATOR



- ❑ Responsibilities include:
 - Sub-recipient reimbursements
 - iGMS technical support
- ❑ Indiana Department of Homeland Security- December -2005 to present
- ❑ Worked at Indiana Department of Labor- March 1998 to -December 2005
- ❑ Worked at Indiana Department of Workforce Development -June 1987 to March 1998
- ❑ Worked at Indiana State Personnel Department- July 1979 to June 1987
- ❑ Switzerland County High School - Graduated in 1979



PROJECT MANAGEMENT



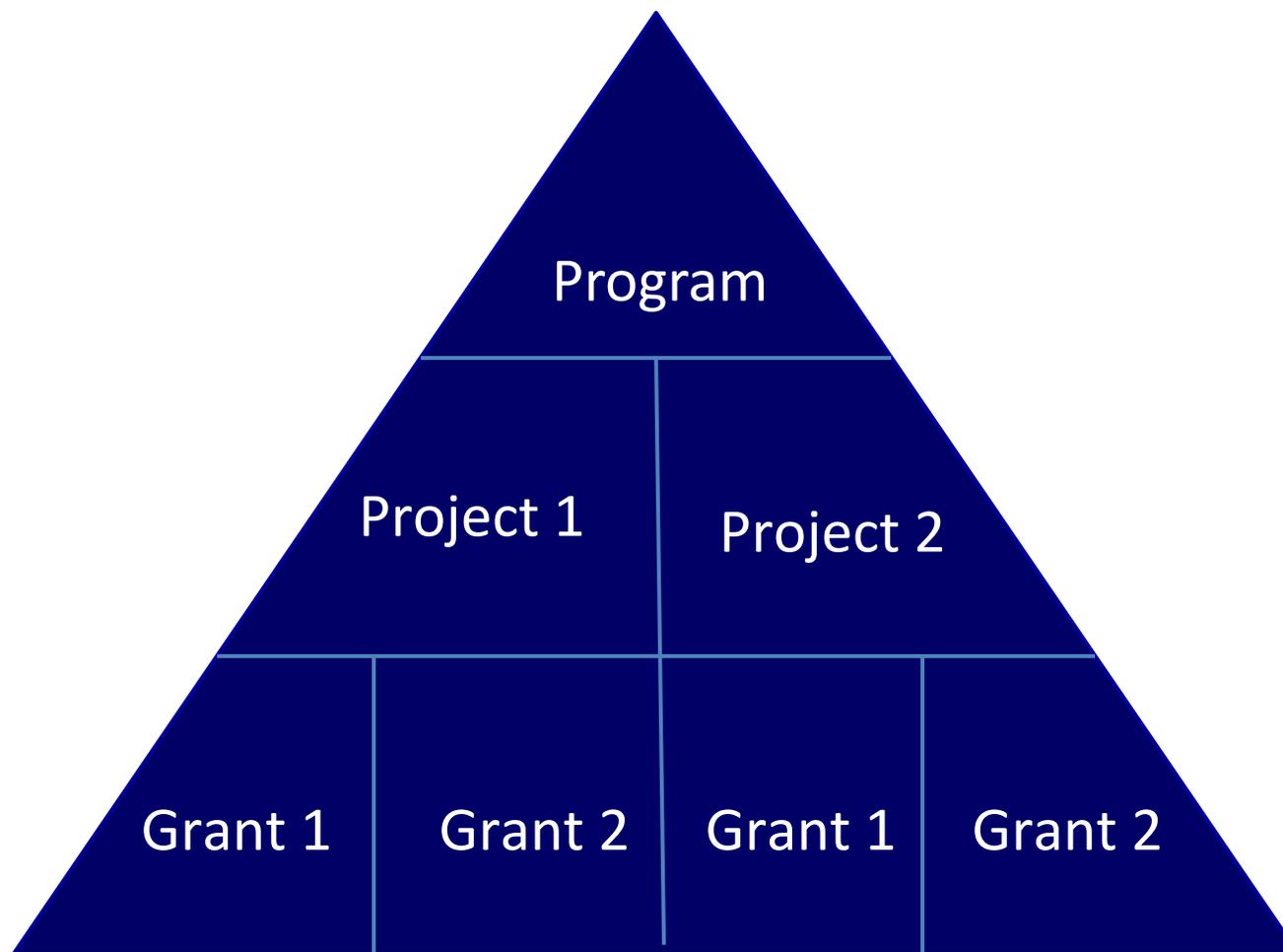


BUILDING BLOCKS

- Programs
 - Begin to break down the broad mission of an agency or division into categorical objectives
 - There may be one or more programs supporting the broad mission.
- Projects
 - Support the overarching objective of each program through further specialization
 - There may be one or more projects in any program.
- Grants
 - Supply the financial support to each project.
 - There may be one or more grants supporting each project.



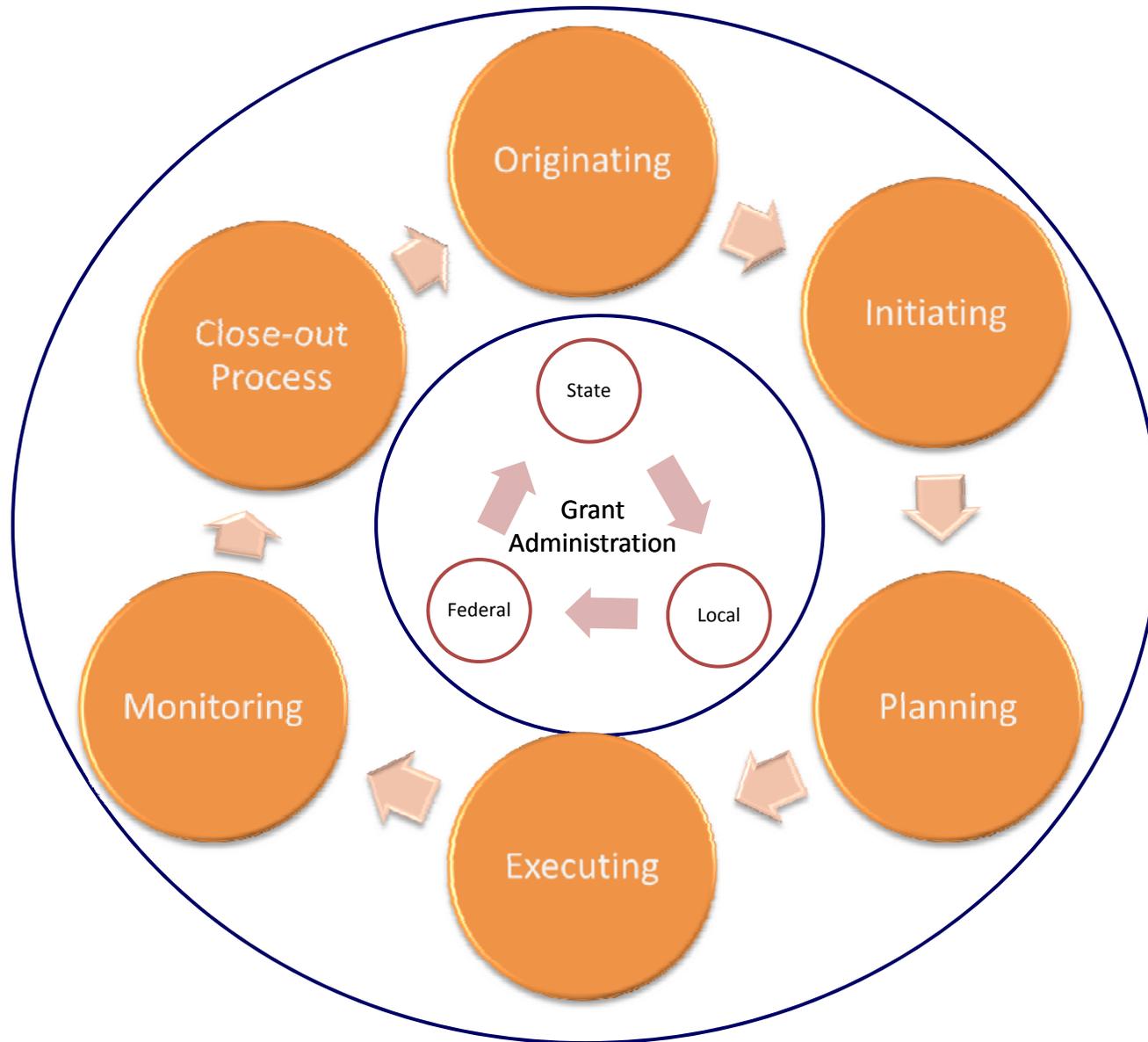
BUILDING BLOCKS





PROJECT MANAGEMENT STRUCTURE

- ❑ Defines how to manage a project
- ❑ May include the following six phases:
 - Originating
 - Initiating
 - Planning
 - Executing
 - Monitoring
 - Close-out Process
- ❑ All projects should progress through these project management elements.





PROJECT MANAGEMENT

PROJECT MANAGEMENT VS. GRANT ADMINISTRATION

- ❑ Grants provide the funding which fuels many government projects

- ❑ Good project management depends on successful grant administration and the supportive roles played by the federal, state and local governments

- ❑ Poor grant management almost always guarantees failing project management.
 - Why?



ORIGINATING

A PROJECT IS PROPOSED, EVALUATED, AND APPROVED

- ❑ Most grants utilized by IDHS were developed by the federal government to address predetermined needs or issues in emergency management. (Example PSIC)

- ❑ Provide funding for all aspects of preventing, preparing and responding to manmade and natural disasters by:
 - Planning
 - Equipment
 - Training
 - Exercise
 - Management and administrative costs



ORIGINATING

A PROJECT IS PROPOSED, EVALUATED, AND APPROVED

- ❑ Most grants have very specific guidelines
 - Some grants may fund equipment, but not training or planning. Others may only be used for costs associated with planning, etc.

- ❑ For a project to be approved, it must qualify for funding within the guidelines of the particular grant financing the project.
 - Frequently the grant guidance is where a project actually originates because it defines the boundaries of activity.



ORIGINATING

A PROJECT IS PROPOSED, EVALUATED, AND APPROVED

□ Responsibilities

■ Project Managers

- Develop concept
- Refine project
- Identify funding (state or federal)
- Gain Executive approval

■ Grant Administrators

- Serve as advisor on potential funding streams
- Provide information on timelines, approved costs, and other pertinent grant regulations



INITIATING

A COMMITMENT TO BEGIN A PROJECT IS MADE

- When a project is initiated, project managers and grant administrators must be identified.
 - Project manager
 - Subject matter expert
 - Must ensure that funding is used appropriately and expended in a timely fashion
 - Grant administrator
 - Serves program managers and sub-recipients in answering questions regarding the day-to-day management of awarded grant funds



INITIATING

A COMMITMENT TO BEGIN A PROJECT IS MADE

- ❑ Federal grant guidance names a federal program contact who can answer questions about guidance issues.
- ❑ State may determine its own set of criteria, in addition to the federal guidance, to which local award recipients must also adhere.



INITIATING

A COMMITMENT TO BEGIN A PROJECT IS MADE

□ Responsibilities

■ Project Managers

- Confirm funding based on Executive approval
- Contact participating entities and garner support for project
 - For grant related projects, this is a **critical** step since most funding must pass through the local entity.

■ Grant Administrators

- Advise project manager on necessary steps to access funding including required paperwork



PLANNING

A WORKABLE SCHEME TO ACCOMPLISH THE PROJECT IS DEvised

- ❑ Any good project needs to have good measures for success
 - Defined at the beginning of the project
 - Refined throughout the life of the project
 - This is how you will define the project's success or failure
- ❑ Good measures for success could include:
 - Are planned projects in line with the grant guidance?
 - Can all projects be completed and expended within the timeframe of the grant's performance period?
 - Do we have appropriate personnel and subject matter expertise to effectively complete the projects?
 - Are projects in line with our mission and our State Homeland Security Strategy?



PLANNING

A WORKABLE SCHEME TO ACCOMPLISH THE PROJECT IS DEvised

- ❑ Most federal and state grant guidance require award recipients to provide intricately detailed budget information about their proposed project to ensure that all costs associated with the project are within the delineated boundaries.
- ❑ Because aspects of some projects may fall outside the scope of a particular grant, some IDHS projects contain elements which must be funded through separate grant awards.



PLANNING

A WORKABLE SCHEME TO ACCOMPLISH THE PROJECT IS DEVISED

- ❑ Considerations include:
 - Timing for drafting and processing the agreement
 - Signature process
 - Reimbursing the recipient
 - Performance period
- ❑ All should be explored in the originating phase
- ❑ Firmed up in the initiating phase
- ❑ Built into the timeline during the planning phase



PLANNING

A WORKABLE SCHEME TO ACCOMPLISH THE PROJECT IS DEvised

- The Grant Application Process from beginning to completion: (This list of activities must be included in most grant timelines)
 1. Research and locate eligible grants that fall within the agency's mission and capacity to administer
 2. Gather information needed to complete the grant proposal requirements
 3. Submit the grant proposal
 4. Receive and formally accept the federal grant award
 5. Notify sub-recipients of individual grant awards



PLANNING

A WORKABLE SCHEME TO ACCOMPLISH THE PROJECT IS DEvised

6. Complete grant templates/sub-recipient agreements
7. Complete agreement and signature process
8. Expend grant funds
9. Submit interim financial reports as required
10. Submit invoices for reimbursement
11. Receive disbursement funds
12. Complete projects within performance periods
13. Complete financial closeout of grant within the grant liquidation period
14. Submit final financial report and officially close out the grant



PLANNING

A WORKABLE SCHEME TO ACCOMPLISH THE PROJECT IS DEvised

- Responsibilities
 - Project Manager
 - Identify specific timeline for project completion
 - Finalize detailed budget for submission in iGMS
 - Grant Administrator
 - Advise project manager on the impact of the identified funding on the project including constraints on funding availability, paperwork processing, and reimbursement.
 - Review budget based on grant guidance and work with IDHS Legal to draft necessary paperwork.

NOTE: An approved budget is necessary prior to drafting an MOU or sub-grant agreement or submitting an RFE to spend funds.



EXECUTING

PEOPLE AND OTHER RESOURCES ARE COORDINATED

- A well-managed grant stands the best chance of meeting its objectives, which may include:
 - All project activities are completed within performance periods.
 - Funding is expended as planned within performance periods.
 - All grant financial reports are timely submitted.
 - All federal and state programmatic and fiscal guidelines are satisfied.



EXECUTING

PEOPLE AND OTHER RESOURCES ARE COORDINATED

□ Responsibilities

■ Project Manager

- Serve as primary POC for all issues related to the project including scope, process and submission of invoices.
- Assist recipient in all aspects of project execution.
- Submit quarterly progress reports (when applicable).
- Evaluate and alter project metrics as needed.

■ Grant Administrator

- Review reimbursement submission for accuracy and allowability.
- Provide support to the project manager in areas of allowability, reimbursement and other processes.



EXECUTING

PEOPLE AND OTHER RESOURCES ARE COORDINATED

- ❑ Poor grant planning and breakdowns in adherence to grant project timelines, profoundly affect the successful execution of a grant. Problems may include:
 - Grantee and sub-recipients inability to complete projects or receive equipment or supplies needed to advance or support their missions.
 - Inability to expend funds within the grant performance period.
 - Increased sub-recipients customer service problems.
 - De-obligation of funds and the withdraw of money back to the federal grant source which greatly increases the risk of not receiving future grant funding from grantors.



MAINTAINING

PROJECT IS MONITORED AND CORRECTED AS NEEDED

- ❑ Both federal and state grants administrators maintain reporting requirements, as do identified program managers.
- ❑ Throughout the life of a particular grant, recipients are periodically required to submit progress and financial status reports.
 - These are updates from the project manager to the grant administrator.
- ❑ Through various means of communication, grant administrators may also monitor the project personally.



MAINTAINING

PROJECT IS MONITORED AND CORRECTED AS NEEDED

□ Responsibilities

■ Project Manager

- Maintain course, review and alter as necessary.
- Determine whether performance measures are being met.

■ Grant Administrator

- Provide support to the project manager, including:
 - Monitoring fiscal reports



CLOSE-OUT PROCESS

A PROJECT IS FORMALLY AND ORDERLY ENDED

- ❑ Project being financed by the grant should be formally closed
- ❑ All unused award amounts are:
 - De-obligated
 - Re-programmed
- ❑ All final financial statements as well as supporting documentation, receipts, etc., must be submitted for reimbursement.



CLOSE-OUT PROCESS

A PROJECT IS FORMALLY AND ORDERLY ENDED

- Responsibilities
 - Project Manager
 - Submit final report (when necessary)
 - Evaluate project against performance measures
 - Advise grant administrator on the need for any funding reallocation
 - Grant Administrator
 - Provide support to the project manager
 - Mark project as closed
 - SF-425 process (Fiscal)



COMMUNICATION





HOMELAND SECURITY GRANT PROGRAM (HSGP)





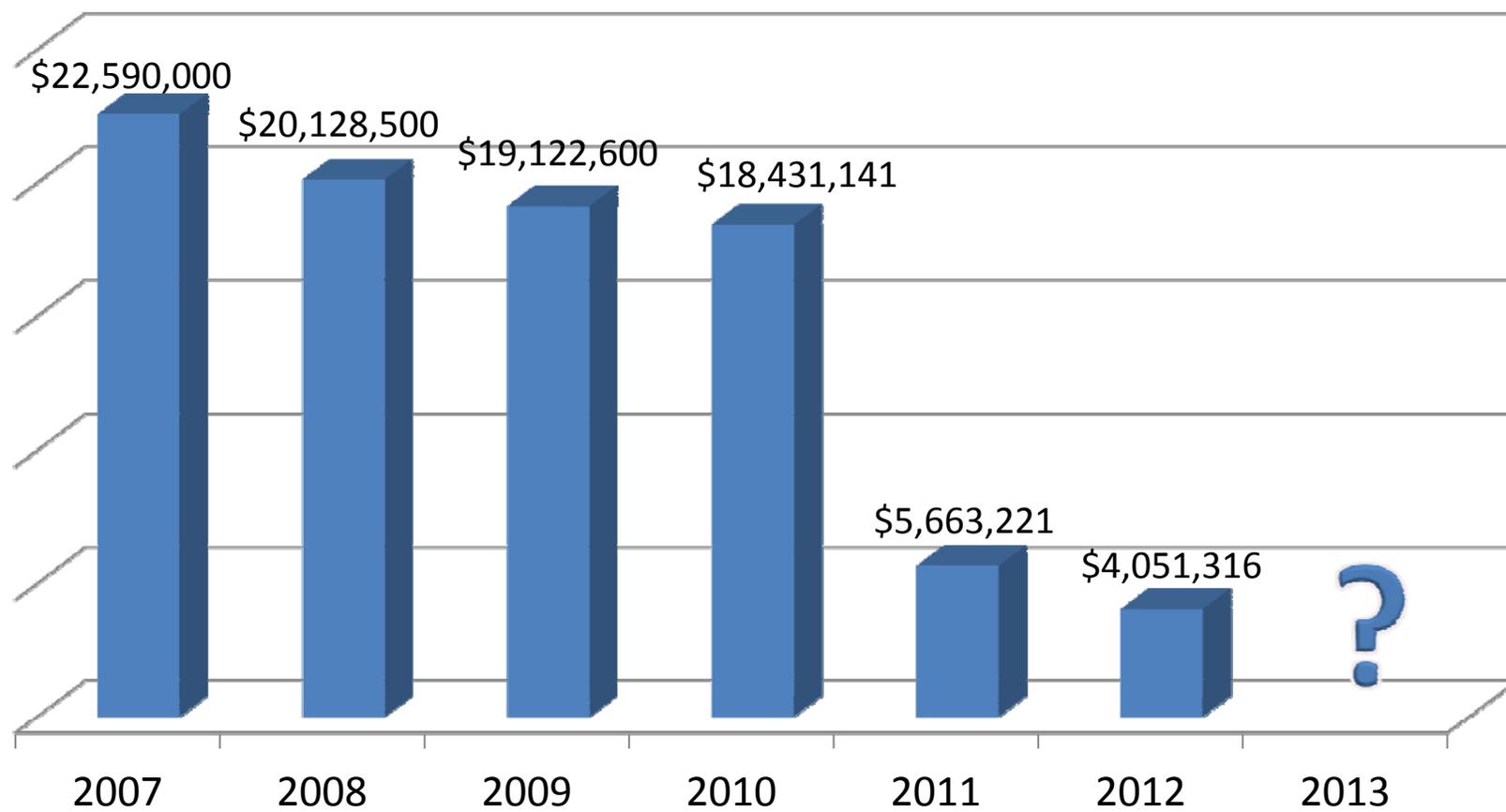
HOMELAND SECURITY GRANT (HSGP)

- ❑ The Homeland Security Grant Program (HSGP) is comprised of three interconnected grant programs:
 - State Homeland Security Program (SHSP)
 - Supports the implementation of State Homeland Security Strategies to address the identified planning, organization, equipment, training, and exercise needs to prevent, protect against, mitigate, respond to, and recover from acts of terrorism and other catastrophic events
 - Urban Areas Security Initiative (UASI)
 - Addresses the unique planning, organization, equipment, training, and exercise needs of high-threat, high-density Urban Areas, and assists them in building an enhanced and sustainable capacity to prevent, protect against, mitigate, respond to, and recover from acts of terrorism
 - *Operations Stonegarden (OPSG)*
 - *Supports enhanced cooperation and coordination among local, tribal, territorial, State, and Federal law enforcement agencies in a joint mission to secure the United States' borders along routes of ingress from international borders to include travel corridors in States bordering Mexico and Canada, as well as States and territories with international water borders.*
- ❑ States must meet the 80% pass-through requirement within 45 days of the award date.



STATUS OF FUNDING

Homeland Security Grant Program





EMERGENCY MANAGEMENT PERFORMANCE GRANT (EMPG)





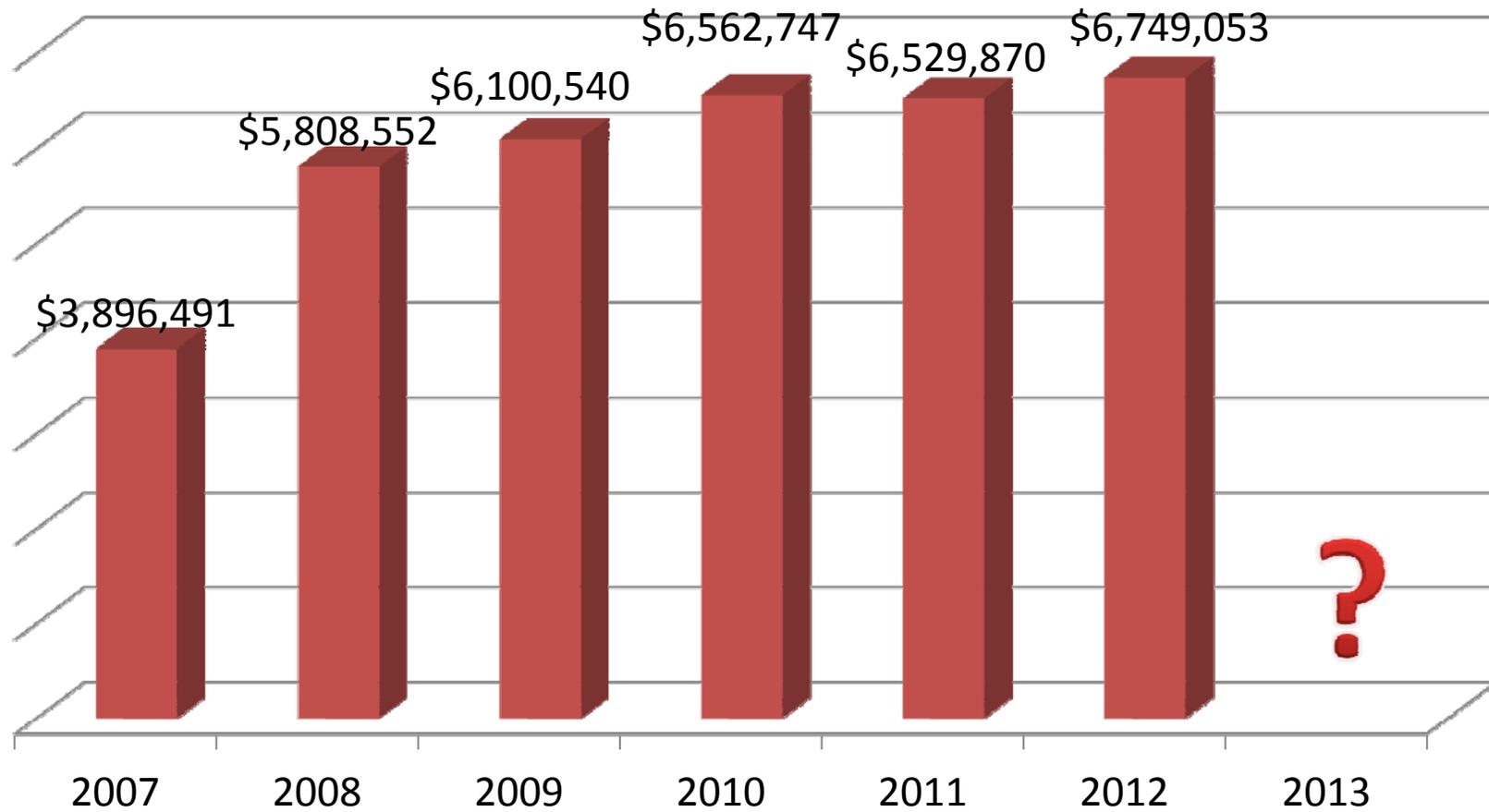
EMERGENCY MANAGEMENT PERFORMANCE GRANT (EMPG)

- ❑ EMPG provides funding to States to assist in preparing for all hazards, as authorized by the *Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.)*
- ❑ Supports all core capabilities in the prevention, protection, mitigation, response and recovery mission areas based on allowable costs
- ❑ In Indiana:
 - Local Emergency Management personnel salary reimbursement
 - EMA Competitive grant program
 - EOC Sustainment
 - Emergency Management Training Program
 - Agency Staff Support (salaries, travel, training, etc.)



STATUS OF FUNDING

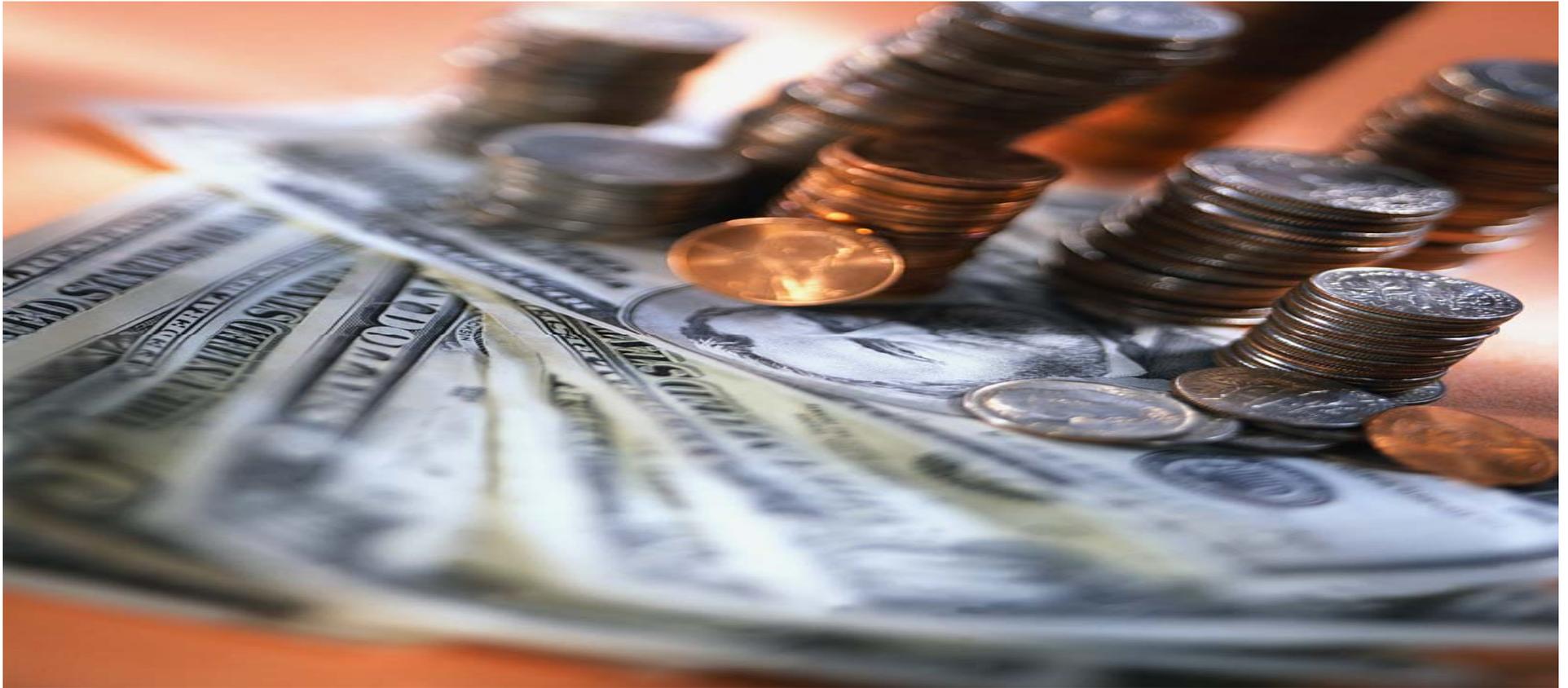
Emergency Management Performance Grant





EMPG TRAINING AND EXERCISE REQUIREMENTS

- ❑ In accordance with the Federal grant guidance for EMPG program, the Indiana Department of Homeland Security must validate that all EMPG personnel are compliant with these requirements:
 - National Incident Management System (NIMS) Training
 - IS 100; IS 200; IS 700; and IS 800
 - FEMA Professional Development Series
 - IS 139; IS 230.a; IS 235.a; IS 240.a; IS 241.a; IS 242.a; and IS 244.a
 - Participation in at least 3 exercises
- ❑ Compliance dates are July 1 – June 30 each year
- ❑ Cannot be reimbursed for salary if any of these requirements are missing
 - If hired within the compliance dates, recipient must make a concerted effort to come into compliance



RESPONSIBILITIES





WHAT CAN YOU DO?

- ❑ Spend your allocated funds and submit RFEs for reimbursement
- ❑ Ensure requested items are:
 - Allowable
 - Conforms to the cost principles and grant terms and conditions
 - Allocable
 - Chargeable and assignable to cost categories
 - Reasonable
 - Determined by the prudent person test (e.g., charge amount not excessive and within the bounds of common sense)
 - Necessary
 - Needed for proper and efficient performance of the project objective(s)



WHAT CAN YOU DO?

- ❑ If funds are not being used, create a GAN to return them as soon as possible
- ❑ This allows IDHS to compile these funds to support:
 - Projects that have come in over budget
 - Projects that were not anticipated
 - Projects that are awaiting funding
- ❑ Keep in mind, the SAA (IDHS) must still meet the 80% pass through requirement for HSGP



GRANT PROPOSAL CHANGES





PROPOSAL CHANGES

- ❑ Streamline the process
- ❑ Reducing amount of questions
- ❑ Questions driven off of what must be reported to DHS via Biannual Strategy Implementation Report (BSIR)
- ❑ Milestones must be detailed



**INDIANA HOMELAND SECURITY
FOUNDATION**





FOUNDATION OVERVIEW

- ❑ Purchase of Secure Indiana license plate proceeds
- ❑ Funds equipment grants (\$4,000 maximum) and scholarships (\$2,000 maximum)
- ❑ Foundation Committee members appointed by Governor and based on Congressional District
- ❑ March 27 - Committee meeting to reinvigorate the Foundation as new appointments have been made
- ❑ Grant will be opened in April



INDIANA GRANTS MANAGEMENT SYSTEM (IGMS)





PERFORMANCE PERIODS

- ❑ Initial 6 months will be awarded
- ❑ Need to request anything more than that
- ❑ DHS/FEMA no longer approving extensions
 - IDHS no longer accepting extensions late into the federal performance period
 - Exception to that is for District Administrative Coordinator
- ❑ Justification
 - Specific dates of training and/or exercise
 - Purchase of items
 - Liquidation



REQUESTS FOR EXPENDITURE

□ Reimbursement

- Acceptable uploads for payment
 - Invoice
 - Receipt
- Unacceptable uploads for payment
 - Pro forma invoice
 - Order form
 - Purchase Order
 - Quote

□ NEXs number requirement

- For all items audited against a training or exercise item in the budget
- If expenditure is not tied to a specific event, put "N/A" in the field



AUTHORIZED EQUIPMENT LIST (AEL)

- ❑ Now embedded into the iGMS
- ❑ No longer requires you to go to a separate website
- ❑ Automatic allowability review
 - If an item is not allowable per the grant (SHSP, EMPG, etc.), the item will not show in the iGMS
 - No longer typos or invalid AELs to review
- ❑ Ensure AEL chosen is an accurate reflection of the item wanted
 - Cooling vests vs. identification polo shirts



Questions?

Grants Management
(317) 234-5917 or grants@dhs.in.gov