Notice of Funding Opportunity

Fiscal Year 2019 Hazardous Materials Emergency Preparedness Program

AWARD INFORMATION

Federal performance period: October 1, 2018 – September 30, 2019
Sub-recipient performance period: Twelve (12) months
Individual competitive projects: $10,000.00 maximum award amount

APPLICATION DEADLINES

Grant proposal and budget: July 13, 2018

If intending to apply for this funding opportunity and have not obtained a Data Universal Numbering System (DUNS) number and/or are not currently registered in the System for Award Management (SAM), please take immediate action to obtain a DUNS Number and then to register immediately in SAM. It may take 4 weeks or more after submitting the SAM registration before registration is active. Entities renewing or updating their SAM registration at www.SAM.gov will be required to submit an original, a signed notarized letter confirming the authorized Entity Administrator associated with the DUNS number before the registration is activated. Detailed information regarding DUNS and SAM is also provided in this Notice of Funding Opportunity (NOFO), subsection, Application Information.

PROGRAM OVERVIEW

Introduction

The Hazardous Materials Transportation Uniform Safety Act of 1990 allows the Department of Transportation to provide assistance to public sector employees through States, Territories, and federally recognized Native American Tribes for emergency response. The purpose of this program is to increase the effectiveness of the safe and efficient handling of hazardous material incidents, enhance implementation of the Emergency Planning and Community Right-to-Know Act (EPCRA), and encourage a comprehensive approach to emergency training and planning by incorporating the unique challenges of responses to transportation situations. The Hazardous Materials Emergency Preparedness Grant Program (HMEP) offered by the State of Indiana specifically supports the development, improvement, and exercising of emergency plans under EPCRA as well as training public sector employees to respond to accidents and incidents involving hazardous materials incidents.

This program is funded by registration fees collected from hazardous materials (hazmat) shippers and carriers who offer transportation or transport certain hazmat by intrastate, interstate, or foreign commerce in accordance with 49 CFR Part 107, Subpart G. These fees fund training and planning grants, monitoring and technical assistance, curriculum development, and staffing costs.

Program Overview and Priorities

The HMEP grant program is to protect against the risks to life, property, and the environment that are inherent in the transportation of hazardous material in intrastate, interstate, and foreign commerce (Title 49 U.S.C. § 5101). The HMEP grant program supports the emergency preparedness and response efforts of States, federally recognized Native American tribes, and Territories that deal with hazardous materials emergencies, specifically those involving transportation. This grant also aids sub-recipients in meeting the requirements of §§ 301 and 303.

EPCRA has established the following Local Emergency Planning Committee (LEPC) functions and priorities:
- To encourage and support emergency planning for responding to chemical accidents;
- To provide local governments and the public with information about possible chemical hazards in their communities;
- Prepare and update a comprehensive local emergency response plan that address the reported hazardous substance in the county or planning district;
- Exercise the LEPC plan annually (tabletop, functional, full-scale); and
- Maintain a roster of members comprised of local/state government, law enforcement, emergency management, fire department, emergency medical services, Health, environment, transportation, broadcast/print media, industry, community groups and hospital.

The purpose of this notice is to provide:
- Formal grant guidance and application materials needed to apply for funding under HMEP; and
- Administrative requirements that must be met by all sub-recipients in order to meet the requirements of federal regulations, mandates, and orders.

**Eligible Applicants**
State and local units of government are eligible to apply for HMEP funding. Additionally, applicants are required to submit an active LEPC budget to be considered for funding. Each eligible applicant must have an active:
- Unique Entity Identifier and System for Award Management (SAM);
- Vendor registration with the State of Indiana; and
- Bidder registration with the State of Indiana.

**Unique Entity Identifier and System for Award Management (SAM)**
All applicants for this award must:
- Be registered in SAM before submitting its application;
- Provide a valid DUNS number in its application; and
- Continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by IDHS.

IDHS may not make a federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time IDHS is ready to make a federal award. IDHS may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

**Data Universal Numbering System number**
All applicants must have (or obtain) a Data Universal Numbering System (DUNS) numbers. A DUNS number is a unique, nine-character, number regulated by Dun and Bradstreet used to identify an organization. The federal government uses the DUNS number to track how federal money is allocated. The DUNS number is a required field in the HMEP application for funding.

Most large organizations already have a DUNS number. Applicants should contact their grant administrator, financial department, chief financial officer, or authorizing official to identify their organization's DUNS number. Applicants can receive a DUNS number, at no cost, by calling the DUNS number request line at (866) 705-5711 or can visit the DUNS website at the following site: [http://fedgov.dnb.com/webform/displayHomePage.do](http://fedgov.dnb.com/webform/displayHomePage.do).
The information listed below is needed to obtain a DUNS number:

- Name of organization;
- Organization address
- Name of the chief executive officer (CEO) or organization owner;
- Legal structure of the organization (i.e. corporation, partnership, proprietorship);
- Year the organization started;
- Primary type of business; and
- Total number of employees (full and part-time).

If applicants believe they possess an active DUNS number, they should call the request line to verify their DUNS number.

System for Award Management (SAM)
SAM is a web-based, government-wide application that collects, validates, stores, and disseminates business information about the federal government's trading partners in support of the contract awards, grants, and electronic payment processes. Entities are responsible for ensuring that their information is current and correct in SAM in accordance with paragraph (b) of Federal Acquisition Regulation (FAR) clause 52.232-33 or Title 2 of the Code of Federal Regulations Part 25 (2 CFR § 25.310 and Appendix A), as applicable, and should routinely review such information for accuracy.

In SAM, an individual, company, business, or organization is referred to as an “entity.” Individuals register themselves or their entity to do business with the U.S. Federal Government by completing the registration process in SAM.

Once a DUNS number has been obtained, an applicant must register the number in SAM.

Applicants should contact their grant administrator, financial department, chief financial officer, or authorizing official to identify whether their organization has already registered with SAM. If the organization is already registered, take note of who is listed as the E-Business Point of Contact (EBiz POC). It is the EBiz POC within an organization who must register an organization with SAM.

To register with SAM, go to the SAM website with the following information:

- DUNS number;
- Taxpayer Identification Number (TIN) or Employment Identification Number (EIN);
- Identification of an E-Business Point of Contact (EBiz POC) for the organization; and
- Notarized letter that identifies an authorized Entity Administrator.

The EBiz POC must renew an organization's SAM registration annually.

When registering a new entity or renewing/updating an existing entity in SAM, a notarized letter that identifies an authorized Entity Administrator must be submitted. An authorized Entity Administrator is an authorized officer, agent, or representative who is responsible for the following activities in SAM:

- Manage the entity's registration record;
- Identify associated users (if applicable); and
- Select the appropriate user roles.

SAM will not activate or renew an entity’s registration without this notarized letter. A template of the letter can be found in Appendix F.

Generally, after completing the online registration and sending the notarized letter confirming the entity administrator, it takes up to two weeks to register with SAM, then 1 business day for updates made in SAM to be reflected. However, an organization must first have an EIN. If an organization does not have an EIN, it may take
an additional 5 weeks to request and obtain an EIN from the IRS.

Please note that SAM will not support Internet Explorer versions older than IE11. SAM can be accessed through Internet Explorer version of IE11 or higher, or with another supported browser type such as Chrome, Firefox, or Safari. Another option to find the SAM website is to place “System for Awards Management” into any search engine and the SAM web address will be generated. Please contact IDHS Grants Management if assistance is needed during the SAM registration process or while obtaining a DUNS number.

**Match Requirement**

A 20% match is required under this program. Matching funds must be program allowable and comply with all HMEP regulations and requirements. There are two types of matching funds: cash match and in-kind match.

1. A **Cash match** is generated from funds provided by the applicant directly or donated by another source.
2. An **in-kind match** is generated from funds derived from applicant contributions (i.e. property) or third party contributions including services, equipment, or property.

Example: An applicant submits a request for $10,000. The applicant must provide 20% of the request from its own funding in order to match the award requested. Since the applicant requested $10,000, the applicant must provide (match) the request with an additional $2,000. The project costs would total $12,000.

The match must be met through one or more of the following sources:

- Any funds from a state, local or other non-federal source used for an eligible activity as defined in 49 CFR 110.40;
- The dollar equivalent value of an eligible activity, as defined in 49 CFR 110.40, provided by at state, local or other non-federal source;
- The value of participants’ salary while attending a planning or training activity contained in the approved grant application provided by a state, local or other non-federal source;
- Salaries, fringe benefits, per diem, housing or travel expenses incurred by any eligible person other than a State employee while attending training classes;
- Private contributions such as corporate contributions of facilities, equipment or services, whether public or private, such as a tank car, cargo tank trailers, van trailer, training site, Hazmat Equipment, first aid ambulance standby or classroom space;
- Facility space such as a surplus school building used as a Hazmat academy is donated to house courses or conduct exercises; and
- Volunteer expenditures such as:
  - Firefighter support, emergency personnel support, and the time of any LEPC member;
  - A person in the community who is a chemical engineer or a physician who donates their time during the exercise;
  - A professor who volunteers to be a trainer or train-the-trainer;
  - Citizens who volunteer to set up or participate in exercises; and
  - University students who volunteer time to participate in exercises, aid in data collection or exercise report generation.

The match amount must be indicated and budgeted within the grant proposal to ensure that it meets the criteria for the award.

**FUNDING GUIDELINES**

Funding guidelines established within this section support the development, improvement, and implementation of emergency plans as established by the Hazardous Materials Transportation Uniform Safety Act. In general, applicants should consult with IDHS Grants Management prior to requesting any expenditure that does not clearly meet the allowable expense criteria established by this NOFO.
Planning
The HMEP grant program can support a range of emergency preparedness and management planning activities associated with the transportation of hazardous materials.

Activities relating to **Hazardous Material Plans** can include, but are not limited to, the following:
- Developing, improving, and implementing emergency plans required under the Emergency Planning and Community Right-to-Know Act of 1986;
- Workshops, drills, and exercises associated with hazmat emergency plans;
- Risk assessments to enhance plans;
- Capability assessments that evaluate the ability for first responders, non-governmental organizations, and other involved stakeholders to respond to a hazmat emergency;
- Gap analysis to enhance planning objectives;
- Improving interagency interoperability to better respond to and mitigate hazmat incidents;
- Determining commodity flow transportation patterns of hazmat and developing and maintaining a system to keep such information current;
- Assessing the need for regional hazmat emergency response teams;
- Providing technical staff to support planning efforts; and
- Aerial photography for use with Commodity Flow Study research.

Activities relating to **Planning Courses** can include, but are not limited to, the following:
- Courses aimed at developing, improving, and implementing emergency plans under the Emergency Planning and Community Right-to-Know Act (EPCRA) §§ 301 and 303 (Title 42 U.S.C. Chapter 116);
- Hazmat transportation emergency preparedness and response courses;
- Hazmat risk analysis;
- Commodity Flow Study courses; and
- Regional Response Strategy Selection courses.

Training
Allowable training-related costs under the HMEP grant program include the establishment, support, conduct, and attendance of training courses.

**Training activities** can include, but are not limited to, the following:
- Reimbursement for instructor(s) and trainees for tuition and travel expenses (lodging and per diem) to and from a training facility;
- Facility rental cost reimbursement; and
- Expenses associated with training (i.e. staff to support the training effort, evaluation forms, etc.).

National Fire Protection Association 472 or Occupational Safety and Health Administration 29 CFR §1910.120 course activities can include, but are not limited to, the following:
- Hazardous Waste Operations and Emergency Response Standard (HAZWOPER) training with a transportation tie-in;
- Hazmat Incident Command System (ICS), which includes the following courses:
  - ICS-100: Introduction to the Incident Command System;
  - ICS-200: Incident Command System for Single Resources and Initial Action Incidents;
  - ICS-300: Intermediate Incident Command System; and
  - ICS-400: Advanced Incident Command System.
- Hazmat Awareness, Operations, Technician, Specialist, and Refresher courses;
- Hazmat Incident Commander;
- Hazmat Officer/Safety Officer;
- Industrial Fire Fighting (i.e. Rail yards, fuel transfer facilities, and ports);
Confined Space Rescue;
Hazmat Basic Life Support/Advance Life Support;
Chemistry for Emergency Responders;
Marine Operations (i.e. Ship-board rescue, firefighting, and hazmat)
Airport Rescue Fire Fighting (i.e. Aircraft response and rescue)
Explosive Ordinance Disposal/Explosives in Transportation;
Radiological (i.e. Sources in Transportation, but not Weapons of Mass Destruction);
Tank Car Specialty;
Intermodal Tank Specialty;
Marine Tank Vessel Specialty;
Flammable Liquid Bulk Storage;
Flammable Gas Bulk Storage;
Radioactive Material Specialty in Transportation;
First Receiver Awareness Training;
Explosive Ordinance Disposal/Explosives in Transportation;
Crude Oil Training; and
Cargo Tank Specialty.

Other preparedness training courses/activities can include, but are not limited to, the following:
- Ammonia, Ethanol, Chlorine Response;
- Alternative Fuels (i.e. Used in transportation);
- Developing a Plan of Action;
- Chemistry of Hazmat-Part I/II;
- Surveying a Hazmat Incident;
- Level A/Level B Personal Protective;
- Hazmat for Emergency Management System (EMS);
- Hazmat for Dispatcher;
- Hazmat Containers;
- Hazardous Materials Monitoring Refresher;
- Hazmat Level B Dress-out and Decon;
- Hazmat Technical Decon Refresher;
- Hazmat Containment and Control;
- Haz-Cat Training;
- Pipeline Incident Response Training;
- Haz Mat IQ Training (i.e. Above and Below the Line, Advanced IQ, and Tox Medic);
- Emergency Medical Technician (EMT) Training for hazmat;
- Employee Hazmat Emergency Response Readiness Training;
- Creating and maintaining hazmat emergency response training websites;
- CAMEO Training (i.e. related to transportation); and
- TRANSCAER.

Equipment, supplies, and materials related to training can include, but are not limited to, the following:
- Computer equipment used exclusively for HMEP activities (i.e. approved computer-based training activities);
- Rental equipment necessary to provide training;
  - Equipment costs are expected to not exceed 5 percent of the total cost of the proposed project and must be fully justified.
- Publications, manuals, and other materials necessary to provide training and/or used by instructor(s) and trainees;
  - May include the printing, copying, and distribution costs (i.e. costs to mail materials to trainees in advance of the first training session).
- CBRNe Magazine;
- Simulation software for hazmat training courses;
- Hazmat training suits for specific transportation related exercises; and
- Firefighting foam for specific transportation related exercise.

**Exercises**
Exercises conducted with HMEP grant support must be related to the transportation of hazardous materials. Allowable exercise related costs can include expenditures utilized to develop, deliver, and evaluate an exercise. This includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. Sub-recipients are encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Exercises should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills.

**Before reimbursement will be authorized**, documentation validating exercise completion will be required in iGMS.

**Equipment**
Under the HMEP grant program, equipment expenditures must be directly related to and utilized in a HMEP exercise. Allowable equipment expenditures will be permitted if the applicant completes a HMEP related exercise within the performance period. If an applicant is awarded HMEP funds for equipment related to a HMEP exercise, documentation validating exercise completion will be required in iGMS before reimbursement will be authorized.

Examples of allowable preparedness expenditures include:
- Computer equipment dedicated to HMEP activities (i.e. use for operations purposes is not allowable); and
- Supplies and equipment required for HMEP-funded exercises and activities.

Supplies are defined as necessities, by ownership or rental, for the physical needs and comfort of the participants and training recipients.

**Supplies** can include, but are not limited to, the following:
- Classroom tents;
- Tables;
- Chairs;
- Water coolers;
- Portable toilets;
- Wash stations;
- Public address systems;
- Generators;
- Fuel for generators;
- Waste management;
- Outdoor fans;
- Projectors and screens;
- Video recording services;
- Safety gloves;
- Safety glasses;
- Pens, pencils, books, brochures, certificates; and
- Advertising costs.

All equipment must, when practicable, be tagged with the following text: “**Purchased with funds provided by the U.S. Department of Transportation – PHMSA**”.
The Pipeline and Hazardous Materials Safety Administration (PHMSA) has developed an Expenditures and Activities Guide that outlines allowable costs and general guidelines the HMEP grant program must adhere to. The Expenditures and Activities Guide can be found at the following website: https://www.phmsa.dot.gov/grants/hazmat/hazardous-materials-emergency-preparedness-hmep-grant.

**Travel**
Domestic travel costs are allowed under this program, as provided for in this NOFO. Applicants must complete and upload a Conference Request Form into iGMS if projects contain conference expenditures. Conference expenditures will not be considered for funding if the Conference Request Form is incomplete or omitted. The Conference Request Form can be located in Attachment D.

Travel activities can include, but are not limited to, the following:
- National Association of SARA Title III Program Officials (i.e. NASTTPO);
- Hazmat Continuing Challenge;
- COLDZONE;
- Transportation Community Awareness and Emergency Response (i.e. TRANSCAER);
  - TRANSCAER educates emergency responders and their communities and includes safety training cars from the Firefighters Education and Training Foundation.
- IAFC International Hazmat Conference; and
- Midwestern Hazmat Conference.

**UNALLOWABLE COSTS**
The following section outlines unallowable costs under the HMEP program; however, this is not a complete listing of unallowable expenditures. Applicants should consult with IDHS Grants Management regarding any expenditure that does not clearly meet the allowable/unallowable expense criteria established by this Notice of Funding Opportunity (NOFO).

**Pre-Award Expenditures**
An expenditure incurred prior to the notification of award is considered a pre-award cost. Pre-award expenditures are unallowable under this program.

**Travel**
International travel is not an allowable cost under this program.

**Unauthorized Exercise Costs**
Unauthorized costs include reimbursement for the maintenance and/or wear and tear costs of general use vehicles (i.e. construction vehicles) and emergency response apparatus (i.e. fire trucks, ambulances). The only vehicle costs that are reimbursable are fuel/gasoline or mileage. Unauthorized costs include equipment that is purchased for permanent installation and/or use, beyond the scope of exercise conduct (i.e. electronic messaging signs). Additionally, unauthorized costs include durable and non-durable goods purchased for installation and/or use beyond the scope of exercise conduct.

**Prohibited Equipment**
Grant funds may not be used for the purchase of Prohibited Equipment. Refer to IB 407 Use of Grant Funds for Controlled Equipment for the complete Prohibited Equipment List. For additional information on Prohibited Equipment see Executive Order (EO) 13688 Federal Support for Local Law Enforcement Equipment Acquisition, and the Recommendations Pursuant to Executive Order 13688. Per DOT policy, the purchase of weapons and weapons accessories is not allowed with HMEP funds. Small unmanned aircrafts (i.e. drones) are not allowable for this grant cycle.
**Food Costs**
With the exception of food costs associated with travel/per-diem, food costs will not be approved. In all cases where food is permitted, costs must be reasonable. Costs will be determined to be reasonable if the per person (documented participants) cost for food is equal to or less than the permitted per-diem for the meal provided according to the US General Services Administration thresholds.

**Unallowable Preparedness Expenditures**
Unallowable preparedness expenditures can include, but are not limited to, the following:
- Natural Disaster Exercises (i.e. urban avalanches, pandemic flu, wildfire, earthquake etc.);
- All-Hazards Warning System Drills;
- Joint Terrorism Task Force Exercises;
- Tier II Chemical Inventory Reports;
- Tier II Databases Web-Emergency Operations Center mapping;
- Public Officials Conference (i.e. without a connection to hazardous materials transportation);
- Town-wide alert system;
- Development and distribution of a Hazmat Calendar;
- Expenses counted as match funds toward another Federal grant program or cooperative agreement;
- Purchase of cell telephone(s);
- Any costs unallowable or stated as ineligible in 49 CFR part 110 and 2 CFR 200 part 400;
- Any cost specifically prohibited in the General Terms and Conditions of the award, PHMSA policy as detailed in this Expenditures Guide, or Special Terms and Conditions listed on the NGA;
- Membership fees and subscriptions, except as otherwise noted; and
- Stipends.

**Unallowable Training Expenditures**
Unallowable training expenditures can include, but are not limited to, the following:
- Courses not related to hazmat emergency response;
- Pro Board accreditation and certification;
- Emergency Preparedness Presentation to Child Care Providers;
- School Violence Prevention;
- Weapons of Mass Destruction (WMD) Terrorism courses;
- Weapons of Mass Destruction (WMD) Radiological Training;
- Mobile Meth Lab Training;
- Active Shooter Training;
- Pandemic Flu Exercises;
- Joint Terrorism Task Force (JTTF) Exercises;
- Equipment for the purpose of response operations including:
  - Self-Contained Breathing Apparatus (SCBA);
  - PPE (Personal Protective Equipment); and
  - Monitoring Equipment
- Overtime of trainees and any other employees who “backfill” positions of trainees during the period of training;
- Expenses counted as match funds toward another Federal grant program or cooperative agreement;
- Entertainment costs;
- Purchase of cellular telephone(s);
- Any costs disallowable or stated as ineligible in 49 CFR part 110 and 2 CFR 200 part 400;
- Any cost specifically prohibited in the General Terms and Conditions of the grant award, or identified in PHMSA policy guidance, or as a Special Terms and Conditions listed on the NGA; and
- Stipends.
Other unallowable costs include, but are not limited to, the following:

- General-purpose vehicles (patrol cars, executive transportation, fire apparatus, and non-CBRNE (chemical/biological/radiological/nuclear/explosive) tactical/armored assault vehicles;
- Mileage for government owned vehicle(s);
- Parking tickets or other traffic tickets;
- Sole source contracts and procurements not pre-approved by IDHS;
- Stand-alone working meals;
- Supplanting of any expense currently budgeted;
- Entertainment expenditures;
- Laundry expenditures; and
- Late payment fees.

APPLICATION INFORMATION

Indiana Grants Management System
Previously, applicants were required to submit an Intent to Apply form to initiate an application within the Indiana Grants Management System (iGMS) located at https://oas.dhs.in.gov/hs/main.do. This is no longer required. Applicants, with an active iGMS user account, are able to log into iGMS and begin working on grant proposals without submitting an Intent to Apply form.

Applicants without an active account with iGMS should complete the following steps to obtain an iGMS user account:

1. Complete the New iGMS User form (can be found in Attachment E)
2. Return the New iGMS User form to IDHS Grants Management at grants@dhs.in.gov
3. Enter “FY2019 HMEP: New iGMS user” into the subject line of the email

After applicants receive notification that an account has been established in iGMS, all contact information must be entered. iGMS will not permit users to submit grant applications until user information has been entered within the “Contact Info” tab. The “Contact Info” tab can be located at the top of the iGMS dashboard, to the left of the “Logout” tab, and is in green font.

Please contact IDHS Grants Management via grants@dhs.in.gov if an incorrect email address (or no email address) is visible within the “Contact Info” tab.

iGMS Roles
Applicants have the opportunity to assign iGMS roles. Three roles are available within iGMS: primary, read only with RFE edit, and read only.

The person occupying the primary role is typically the grant writer on behalf of the applying entity and has the following responsibilities:

- Drafting and submitting the grant application;
- Submitting quarterly reports; and
- Will be the first person IDHS Grants Management contacts with questions or issues concerning any portion of the application or the grant award.

Applicants are able to identify one person to have a primary role within iGMS.

The person occupying the read only with RFE edit role is the primary financial officer for the applying entity and has the following responsibilities:

- Creating all request for expenditures (RFE); and
- Ability to check the balance of the grant award.

Applicants can identify multiple people to have a read only with RFE edit role within iGMS.
The person occupying the **read only role** is typically the commissioner for the applying entity and will have the following abilities within iGMS:
- Visibility on the budget/quarterly reports;
- Visibility on the progression of project goals and objectives; and
- Visibility on the requests for reimbursement.

Applicants can identify multiple people to have a **read only role** within iGMS.

### Grant Proposal
Applicants should create projects to implement training and planning programs that address needs based on demographics, emergency response capabilities, commodity flow studies, and hazard analysis. Each eligible applicant is required to complete a proposal and budget through iGMS located at the following link: [https://oas.dhs.in.gov/hs/main.do](https://oas.dhs.in.gov/hs/main.do)

### Applying Entity Information
The following information about the applying entity is required to complete a grant proposal:
- Federal tax ID number;
- DUNS number
- State of Indiana vendor registration number;
- State of Indiana bidder registration number;
- Point of contact information; and
- Financial officer information.

### Data Universal Numbering System number
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The **information listed below is needed to obtain a DUNS number:**
- Name of organization;
- Organization address;
- Name of the chief executive officer (CEO) or organization owner;
- Legal structure of the organization (i.e. corporation, partnership, proprietorship);
- Year the organization started;
- Primary type of business; and
- Total number of employees (full and part-time).

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### System for Award Management (SAM)
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Applicants should contact their grant administrator, financial department, chief financial officer, or authorizing official to identify whether their organization has already registered with SAM. If the organization is already registered, take note of who is listed as the E-Business Point of Contact (EBiz POC). It is the EBiz POC within an organization who must register an organization with SAM.

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- DUNS number;
- Taxpayer Identification Number (TIN) or Employment Identification Number (EIN);
- Identification of an E-Business Point of Contact (EBiz POC) for the organization; and
- Notarized letter that identifies an authorized Entity Administrator.

**The EBiz POC must renew an organization's SAM registration annually.**

When registering a new entity or renewing/updating an existing entity in SAM, a [notarized letter](#) that identifies an authorized Entity Administrator must be submitted. An authorized Entity Administrator is an authorized officer, agent, or representative who is responsible for the following activities in SAM:

- Manage the entity's registration record;
- Identify associated users (if applicable); and
- Select the appropriate user roles.

**SAM will not activate or renew an entity’s registration without this notarized letter.** A template of the letter can be found in Appendix G.

Generally, after completing the online registration and sending the notarized letter confirming the entity administrator, it takes **up to two weeks to register with SAM**, then 1 business day for updates made in SAM to be reflected. However, an organization must first have an EIN. If an organization does not have an EIN, it may take an additional **5 weeks to request and obtain an EIN from the IRS**.

Please note that SAM will not support Internet Explorer versions older than IE11. SAM can be accessed through Internet Explorer version of IE11 or higher, or with another supported browser type such as Chrome, Firefox, or Safari. Another option to find the SAM website is to place “System for Awards Management” into any search engine and the SAM web address will be generated. Please contact IDHS Grants Management if assistance is needed during the SAM registration process or while obtaining a DUNS number.

**Vendor registration with the State of Indiana**

Applicants must be an active vendor in good standing with the State of Indiana. To register as a vendor with the state, please visit the State of Indiana Auditor’s website at: [http://www.in.gov/auditor/2340.htm](http://www.in.gov/auditor/2340.htm) and complete the **W-9 Form** and **Automated Direct Deposit Authorization Agreement SF# 47551**. Please send the completed forms to the IDHS Grants Section inbox: grants@dhs.in.gov The forms will then be given to the appropriate project manager to ensure a timely registration. Please plan accordingly and allow for ten (10) days for this registration process to be completed once forms have been submitted. Once the completed forms have been processed and a vendor number has been generated, IDHS Grants Staff will contact the applicant with the applicant’s vendor number. Applicants who are unsure if a vendor number has been registered for their agency
should contact IDHS Grants Staff at grants@dhs.in.gov for verification. In order to verify the vendor information on file with the State, IDHS will need to have the correct federal tax ID within iGMS.

Bidder registration with the State of Indiana
The State of Indiana requires all entities who receive funds from the state to be registered as a bidder. An applicant cannot begin the bidder registration process until a vendor number has been generated. There is no cost to become a registered bidder and the process takes approximately twenty minutes to complete. To become a registered bidder, applicants must go to this link: http://www.in.gov/idoa/2464.htm. After clicking on the link, click on the “Create New Bidder Profile” tab to start the registration process. If these processes have already been completed, the requirement has been met. There is no need to duplicate the processes. Please keep in mind that until these processes are complete, a grant application will not be accepted.

Please see Appendix C for more guidance and information about the “applying entity information” section of the grant proposal. Applicants are highly encouraged to consult Appendix C.

Project Information
The following information about the proposed project is required to complete a grant proposal:

- Funding profile
- Problem statement
- Needs assessment
- Project summary
- Project scope
- Deployable
- Shareable
- Project goals, objectives, outcomes
- Project milestones
- Funding sustainability
- Challenges

Funding Profile
Applicants are required to provide information about previously funded HMEP projects, IDHS funding received in FY 2018 through the HMEP grant program, and grant funding received from other entities in FY 2017. More information about this section of the application can be found in Appendix C.

Problem Statement
The problem statement the description of the issue that currently needs to be addressed. The problem statement, written in one sentence, will establish the issues and information that will be discussed, and what the rest of the proposal will revolve around. A problem statement should document the severity of the problem by including baseline data (i.e. community demographics) that characterizes the target audience to be served by the project. Applicants also should provide a brief description of the problem or set of problems that can be addressed through the project’s proposed strategies. Applicants will be asked to identify the planning/assessment tool utilized to identify the problem of the proposed project.

Needs Assessment
The needs assessment section of the proposal is an opportunity for an applicant to provide information about how the problem or issue was identified and the mechanism utilized to identify the issue (i.e. Commodity Flow Study etc.). Applicants should describe the tool utilized to identify the issue (i.e. Commodity Flow Study etc.) and a synopsis of the critical findings.

In the event a formalized mechanism (i.e. Commodity Flow Study etc.) was not utilized as the primary means in identifying the problem or issue, applicants must clearly explain how the problem or issue was identified. For
example, an after action report may indicate the need for certain equipment to respond appropriately to a particular situation. In this case, an applicant may apply for equipment funding if the need is narrated clearly within the grant proposal. The after action report must be attached with grant proposal within iGMS. Applicants with questions on how to draft a clear needs assessment narrative are encouraged to contact IDHS Grants Management for technical assistance.

**Project Scope**
Applicants will be asked to identify the scope of the project by selecting one or more of the following activities:
- Planning expenditures;
- Training expenditures;
- Exercise expenditures;
- Equipment expenditures; and/or
- Travel expenditures.
Applicants will be asked to provide additional information about the project activities selected in the project scope section. Please see Appendix C for more information about the project scope section of the grant proposal.

**Project Summary**
Applicants must provide a detailed project description in the project summary section. Applicants should include a narrative regarding how the proposed project will address/alleviate the issue identified in the problem statement. A strong project summary will include a clear and full description of the proposed project, strategies to the identified issue in the problem statement, a list of involved stakeholders, and an indication of how long it will take to see results from the proposed project.

**Project Goal, Objectives, and Outcomes**
Applicants must describe the primary goal of the proposed project and how the expenditures support the project activities. The proposed project’s goal must be followed with objectives and outcomes that will identify how the gaps/shortfall will be lessened with the completion of the project. The objectives must be specific, measurable, attainable, relevant, and time-bound. The outcomes are the desired changes or results the proposed project will eventually accomplish. They are the desired end-state, which the applicant strives to achieve and can include visionary language. Project outcomes show the gap between what is and what could be.

**Project Milestones**
Applicants must describe the proposed project’s milestones. Milestones are a critical point of achievement for applicants to demonstrate progress towards an objective or goal. In effect, these are mini-performance targets marking specific incremental progress that build up to achieving the overarching goal of the proposed project.

**Funding Sustainability**
Funding from grant sources should be viewed as “seed funds” used to start a project or as “supplementary funds” used to support a project with an existing budget, therefore an applicant must identify a strategy of obtaining permanent financial support. Applicants should provide an estimated funding plan (i.e. a self-imposed step down plan) for the next three years, showing the anticipated levels of HMEP funding. Applicants should describe the amount of funding and include three (3) potential funding source(s). Applicants should give consideration regarding future maintenance costs, material costs, etc. and explain how those costs will be paid. Applicants should also give consideration to the future of the project if HMEP funds are eliminated.

**Challenges**
Applicants must describe any non-financial challenges that may impact the ability to successfully complete the proposed project. If challenges do not exist, an applicant must indicate this.
Please follow the subsequent steps to enter information into the proposal section of iGMS:

1. Log into iGMS
2. Click on “Create new proposal” underneath the “My Proposal” heading
3. Navigate to the “Proposal Template” dropdown box and select the “2019 HMEP Competitive”
4. Navigate to the “Title” text box and enter a project title
5. Click on “Create” button
6. Proposal section of iGMS will appear

**Budget**

A line item budget must be included with each grant proposal. All items included in the budget must be allowable, allocable, reasonable, and necessary. Budget line items must be specific. For example, a line item simply described as “training” will not be acceptable. The line item should include the specific training that is being requested (i.e. ICS Training).

The grant proposal and budget must be submitted by 11:59pm on July 13, 2018 through iGMS to be considered for funding. Late submissions will not be accepted. Please see Appendix C for more guidance and information about the budget. Applicants are highly encouraged to consult Appendix C.

**AWARD DETERMINATIONS**

**Financial Risk Assessment**

The Uniform Guidance 2 CFR Part 200 Uniform Administrative Guidance, Cost Principles, and Audit Requirements for Federal Awards requires both federal and pass-through entities, such as IDHS, to review the merit and risk associated with a potential sub-recipient prior to making the award. In evaluating the risks posed by sub-grant applicants, the awarding agency may use a risk-based approach and consider any items such as: financial stability, quality of grant management systems, history of performance, quarterly performance reports, and audit findings.

IDHS has developed a risk assessment tool that will be used to measure the risk of awarding grant funds to applicants. The score created by the tool will be included in the overall scoring of the proposal and will also be used as indicator for monitoring if a sub-award is made to an applicant. The IDHS Risk Assessment tool can be found in Appendix B.

**Scoring**

IDHS utilizes a four tiered review process when generating funding strategies.

*Tier One*

IDHS will conduct an initial screening of the proposals to check for completeness of the application. Identifying information within the grant applications will be removed by iGMS to reduce the likelihood of reviewer bias. Incomplete applications may be removed from the review process and may not receive funding.

Additionally, applying entities will be evaluated via the IDHS Risk Assessment tool. The risk assessment score will be aggregated into the overall score of the proposal.

*Tier Two*

IDHS will form a Grant Application Review Committee. Grant applications will be reviewed and scored by the committee using a scoresheet. The scoresheet utilized in the review process can be found in Appendix A. The committee will generate funding recommendations.

*Tier Three*

The IDHS Executive Team will assess the committee’s recommendations and formulate a finalized funding strategy. IDHS will submit the funding strategy to the Department of Transportation (DOT), Pipeline and
Hazardous Materials Safety Administration for approval. Once approval has been obtained from DOT, the funding strategy will be presented to the IDHS Executive Director.

**Tier Four**
The IDHS Executive Director has the ultimate discretion to award funding. Applicants who receive HMEP funding will be notified electronically.

Applicants who do not receive HMEP funding will be notified electronically of the IDHS’s funding determinations. In addition, IDHS Grants Management will provide feedback about the application to assist the applicant when applying for future funding opportunities through IDHS.

**There is no guarantee of funding.**

**AWARD NOTIFICATION**
IDHS Grants Management will contact HMEP sub-recipients via email when funding determinations have been finalized. HMEP sub-recipients will receive an award letter that will include the following information:

- Sub-recipient name;
- Sub-recipient award amount;
- Sub-recipient performance period;
- Federal award identification number (FAIN);
- Total amount of the federal award;
- Federal awarding agency;
- Federal award date; and
- CFDA Number.

The award letter will provide any special conditions that must be met or resolved prior to reimbursement.

Sub-recipients may be asked to adjust their budgets as a special condition of the award. Budget modifications must be submitted through iGMS and approved before a grant agreement can be sent for signature through the e-contracting process.

Sub-recipients must confirm acceptance of the HMEP award and can find directions to do so within the award letter.

**SUB-RECIPIENT GRANT AGREEMENT REQUIREMENTS**
All HMEP sub-recipients must agree to the following:

- Enter into a sub-grant agreement with IDHS;
- Agree to abide by all provisions of the sub-grant agreement;
- Abide by all the federal terms and conditions in the sub-grant agreement;
- Must be able to sign the sub-grant agreement electronically using the state’s supplier contracts module;
- Applicants do NOT need to provide a resolution to determine the signatory for grant agreements;
- Applications must include the signatory information in the submitted proposal;
- Submit all reports in the prescribed format and time frames as determined by IDHS;
- Comply with federal cost principals contained in the 2CFR 200 located at the following: [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl); and
- Provide the DUNS number, award amount and date, project description and location of the funded work, on the form provided in the grant award packet from IDHS

This information will be posted to a dedicated web site (i.e. [http://www.USASpending.gov](http://www.USASpending.gov)).
REPORTING

Quarterly Program Reports
Reports are due quarterly for this program on the following dates:

<table>
<thead>
<tr>
<th>Reporting Period</th>
<th>Report Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1 – December 31</td>
<td>January 15</td>
</tr>
<tr>
<td>January 1 – March 31</td>
<td>April 15</td>
</tr>
<tr>
<td>April 1 – June 30</td>
<td>July 15</td>
</tr>
<tr>
<td>July 1 – September 30</td>
<td>October 15</td>
</tr>
</tbody>
</table>

Program reports serve an important function within the overarching grant cycle. Program reports can serve as a means of communication between sub-recipients and IDHS Grants Management. For example, the sub-recipients are asked to indicate if barriers exist to achieving project success. IDHS Grants Management asks this question to determine if technical assistance is needed to assist sub-recipients. Moreover, program reports are aggregated into the quarterly and annual HMEP reports IDHS is required to submit to the Department of Transportation, Pipeline and Hazardous Materials Safety Administration. The information entered into the program reports is critical to ensuring the HMEP fund is supported in future congressional sessions.

Program reports are a requirement of the HMEP program and should be submitted in a timely fashion. Incomplete, incorrect, or late reports could impact an applicant’s ability to receive future grant funding with IDHS.

Closeout Reporting Requirements
IDHS Grants Management will close out the grant sub-award when all applicable administrative actions and all required work of the award have been completed by the sub-recipient. This section summarizes the actions that the sub-recipient must take to complete the closeout process in accordance with 2 C.F.R. § 200.343 and IDHS policy and procedure.

Within 45 days of the end of the period of performance, sub-recipients must submit a final program report detailing accomplishments throughout the period of performance and a qualitative summary outlining the impact of all the accomplishments grant funds supported. If the final program report omits activities, the report will be returned and additional information will need to be included in order to satisfy this requirement. Funding obligations must be made prior to the end date of the sub-grant agreement. All outstanding expenses must be paid and final requests for expenditures must be submitted within 45 days from the end date of the sub-grant.

Additionally, the sub-recipient must liquidate all obligations incurred under this award no later than 45 calendar days after the end date of the performance period of the performance. If a sub-recipient fails to liquidate their obligations within this time period, IDHS may disallow the costs associated with those unliquidated obligations. The sub-recipient must have updated the iGMS Inventory module to include any equipment purchased with grant funds.

After final reports have been reviewed and approved by IDHS Grants Management, a closeout notice will be completed to close out the grant. The closeout notice will indicate the period of performance as closed, list of de-obligated funds, address requirements for record retention and disposition, and list equipment reporting requirements.
Other Reports
IDHS Grants Management may ask for additional reports throughout the HMEP performance period. These reports could include but are not limited to:

- Exercise reports;
- Training reports;
- Financial data/reports;
- Commodity flow studies/hazard analysis; and
- Equipment inventory reports.

ADDITIONAL INFORMATION

Performance Period
The FY 2019 HMEP performance period is October 1, 2018 to September 30, 2019. Sub-recipients should begin their projects on October 1, 2018. Projects must be operational no later than December 1, 2018 (i.e. 60 days after the performance period has begun).

Sub-recipients that are unable to initiate projects by December 1, 2018 (i.e. 60 days after the performance period has begun) are required to submit a letter to IDHS Grants Management through the HMEP program manager or IDHS Grants mailbox. The letter should include the following:

1. Description of the project delay;
2. Actions taken to mitigate the project delay;
3. Activities planned to initiate the project within 30 days.

Failure to have the funded project operational within 90 days from October 1, 2018 will result in the cancellation of the grant and the de-obligation of all awarded funds.

The end of the performance period for HMEP is September 30, 2019. The following activities must be completed by September 30, 2019:

1. Project activities listed in the applicant’s grant proposal;
2. Funding obligations.

Within 45 days of September 30, 2019 (i.e. end of the performance period) the following must be completed:

1. All outstanding expenses must be paid;
2. Final request for expenditure must be submitted within iGMS.

Monitoring
IDHS Grants Management must monitor sub-recipients as a requirement of the federal award to assure compliance with applicable federal and state requirements and performance expectations are being achieved. Sub-recipients will be monitored by a member of the IDHS Grants Management Compliance Team using a combination of desk reviews and site visits. IDHS Grants Management Compliance Team generate the initial risk determination by completing the IDHS Grants Management Risk Assessment form for each applying entity. The IDHS Risk Assessment can be found in Appendix B. Risk determinations, post-award, will be completed as necessary by the IDHS Grants Management Compliance Team.

Federal Funding Accountability and Transparency Act
The Federal Funding Accountability and Transparency Act (FFATA) requires that certain information be collected as it relates to awards given to sub-recipients in amounts greater than or equal to $30,000.00 for all awards beginning October 1, 2015.
IDHS Grants Management will collect the following information from iGMS and other sources as needed:

- Data Universal Numbering System;
- Mailing address to include street address, city, state, zip code + 4, county and country;
- Award amount (i.e. total amount of the award for the specific grant being reported);
- Grant agreement execution date (i.e. the date the sub grant agreement is fully executed by the state);
- Project description (i.e. a brief description of the project); and
- The unique number assigned to each sub-grant agreement created for IDHS.

FFATA requires the following questions to be answered:

- In your business or organization’s preceding completed fiscal year, did your business or organization (the legal entity to which this specific SAM record, represented by a DUNS number, belongs) receive:
  - 80 percent or more of your annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, sub-grants, and/or cooperative agreements; and
  - $25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, sub-grants, and/or cooperative agreements?
- Does the public have access to information about the compensation of the executives in your business or organization (the legal entity to which this specific SAM record, represented by a DUNS number, belongs) through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m (a), 78o (d)) or section 6104 of the Internal Revenue Code of 1986?
- If you answered ‘No’ to Q2, then provide the name and total compensation for the five (5) most highly compensated executives in your business or organization (the legal entity to which this DUNS number is assigned).

FFATA requires that all reports be submitted into the Federal Funding Accountability Transparency Act Sub-award Reporting System (FSRS) system by the end of the month, following the month in which the sub-grant agreement is executed.

Supplanting

Federal funds must be used to supplement existing funds for project activities. Federal funds cannot replace (i.e. supplant) non-federal funds that have been appropriated for the same purpose.

If supplanting is determined, sub-recipients will be required to repay grant funds expended in support of those efforts.

Funding Restrictions

Federal funds made available through this sub-award may only be used for the purpose set forth in this award and must be consistent with the statutory authority for the award. Sub-award funds may not be used for matching funds for any other federal award, lobbying, or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity.

Travel

Domestic travel costs are allowed under this program, as provided for in this NOFO.

Applicants applying for FY 2019 HMEP funding to support conference attendance must complete a Conference Request Form. Applicants who do not submit a completed Conference Request Form within iGMS will not be considered for funding. The Conference Request Form can be located in Attachment D.
2 C.F.R. Part 200
Compliance with all the requirements in 2 C.F.R. Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) is obligatory under this program.

Supporting Documentation Requirements
Per the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards through the Office of Management and Budget Guidance Code of Federal Regulations (2CFR Part 200), applicants are required to submit documentation showing that expenses:

- Occurred;
- Are allowable; and
- Are reasonable.

Before reimbursement will be authorized, supporting documentation for all expenditures (and matching funds) must be submitted via iGMS.

IDHS CONTACT INFORMATION
If applicants have any questions about the information contained within the NOFO or need technical assistance in completing a grant application, please contact IDHS Grants Management at grants@dhs.in.gov.
## APPENDIX A

### FY18 HMEP Program

<table>
<thead>
<tr>
<th>Project Information</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Has the applying entity previously applied for HMEP funding?</td>
<td>0-4</td>
</tr>
<tr>
<td>Did the applicant provide a detailed project summary?</td>
<td>0-6</td>
</tr>
<tr>
<td>Did the applicant identify a problem/issue to be addressed by the project?</td>
<td>0-6</td>
</tr>
<tr>
<td>Did the applicant describe the process utilized to identify the problem/issue to be addressed by the project?</td>
<td>0-6</td>
</tr>
<tr>
<td>Did the applicant provide a clear and concise goal?</td>
<td>0-6</td>
</tr>
<tr>
<td>Did the applicant provide SMART objectives?</td>
<td>0-6</td>
</tr>
<tr>
<td>Did the applicant include appropriate milestones for the project?</td>
<td>0-6</td>
</tr>
<tr>
<td>Did the applicant describe a financial sustainability plan?</td>
<td>0-6</td>
</tr>
<tr>
<td>Did the applicant identify non-financial challenges that may hinder the project?</td>
<td>0-6</td>
</tr>
<tr>
<td>Did the applicant provide an adequate justification for the project expenditures?</td>
<td>0-6</td>
</tr>
</tbody>
</table>

**Project Information point total** /58

<table>
<thead>
<tr>
<th>Budget</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do the line items correlate to the activities described in the proposal?</td>
<td>0-6</td>
</tr>
<tr>
<td>Are the line items necessary to achieve the project outcomes?</td>
<td>0-6</td>
</tr>
<tr>
<td>Are all line items included in the correct budget category?</td>
<td>0-6</td>
</tr>
<tr>
<td>Do all line items include a detailed narrative?</td>
<td>0-6</td>
</tr>
<tr>
<td>Are computations included with each line item?</td>
<td>0-6</td>
</tr>
</tbody>
</table>

**Budget point total** /30

<table>
<thead>
<tr>
<th>Reviewer Recommendation</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Did the application narrate a need for HMEP funds in order to address the problem/issue to be addressed by the project?</td>
<td>0-6</td>
</tr>
<tr>
<td>Were all application sections complete?</td>
<td>0-6</td>
</tr>
</tbody>
</table>

**Reviewer Recommendation point total** /12

**TOTAL SCORE** /100
## APPENDIX B

### IDHS RISK ASSESSMENT

<table>
<thead>
<tr>
<th>Sub-recipient name:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant name/Federal award:</td>
<td></td>
</tr>
<tr>
<td>Date assessment completed:</td>
<td>Risk level:</td>
</tr>
</tbody>
</table>

#### SUB-RECIPIENT ORGANIZATION

<table>
<thead>
<tr>
<th>Question</th>
<th>Possible Score</th>
<th>Actual Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is this a NEW Sub-recipient OR NEW program? (Yes = 5, No = 0)</td>
<td>0 or 5</td>
<td></td>
</tr>
<tr>
<td>Sub-recipient has NO previous audit/compliance findings. (True = 0, False = 5)</td>
<td>0 or 5</td>
<td></td>
</tr>
<tr>
<td>Sub-recipient has de-obligated less than 5% of previously awarded funds. (True = 0, False = 5, or New = 5)</td>
<td>0 or 5</td>
<td></td>
</tr>
<tr>
<td>Organization has not experienced any staff changes/turnover in the last 6 months. (True = 0, False = 5, or New = 5)</td>
<td>0 or 5</td>
<td></td>
</tr>
</tbody>
</table>

**Sub-recipient SCORE:** 0

#### PROGRAM REQUIREMENTS (Select one response)

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Possible Score</th>
<th>Actual Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sub-recipient has satisfied/completed all identified milestones within performance period.</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Sub-recipient has satisfied/completed 75% identified milestones within performance period.</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Sub-recipient has satisfied/completed 50% identified milestones within performance period.</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>Sub-recipient has satisfied/completed less than 50% identified milestones within performance period; OR is a new sub-recipient.</td>
<td>10</td>
<td></td>
</tr>
</tbody>
</table>

**Sub-recipient SCORE:** 0

#### AMOUNT OF GRANT AWARD FOR THIS PROJECT (Select one response)

<table>
<thead>
<tr>
<th>Amount</th>
<th>Possible Score</th>
<th>Actual Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>$0-$4,000</td>
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<td></td>
</tr>
<tr>
<td>$4,000-$6,000</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>$6,000-$8,000</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>$8,000-$10,000; OR is a new sub-recipient.</td>
<td>10</td>
<td></td>
</tr>
</tbody>
</table>

**Sub-recipient SCORE:** 0

#### QUARTERLY REPORTS (Select one response)

<table>
<thead>
<tr>
<th>Report</th>
<th>Possible Score</th>
<th>Actual Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quarterly reports have been submitted completely and by the submission date.</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>One quarterly report has been submitted incomplete or past the submission date.</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>More than one quarterly report has been submitted incomplete or past the submission date; OR is a new sub-recipient.</td>
<td>20</td>
<td></td>
</tr>
</tbody>
</table>

**Sub-recipient SCORE:** 0
# REQUESTS FOR EXPENDITURES (Select one response)

<table>
<thead>
<tr>
<th>Description</th>
<th>Possible Score</th>
<th>Actual Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>The sub-recipient submits and provides correct documentation for expenditures.</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>The sub recipient did not submit or provide correct documentation for expenditures; OR is a new sub-recipient.</td>
<td>10</td>
<td></td>
</tr>
</tbody>
</table>

**Sub-recipient SCORE:** 0

# BUDGET (Select one response)

<table>
<thead>
<tr>
<th>Description</th>
<th>Possible Score</th>
<th>Actual Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project has not been modified.</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>1 Modification</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>2 Modifications</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>More than 2 modifications</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>Sub-recipient did NOT comply with the 2 CFR 200 requirements as outlined in the IDHS sub-grant agreement; OR is a new sub-recipient.</td>
<td>20</td>
<td></td>
</tr>
</tbody>
</table>

**Sub-recipient SCORE:** 0

# COMMUNICATION (Select one response)

<table>
<thead>
<tr>
<th>Description</th>
<th>Possible Score</th>
<th>Actual Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sub-recipient always responds to IDHS correspondence in a timely and complete manner (i.e. within 2 business days).</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Sub-recipient responds to IDHS correspondence in a delayed and incomplete manner (i.e. multiple emails are required to prompt a response).</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>Sub-recipient does not respond to IDHS correspondence in a timely and complete manner; OR is a new sub-recipient.</td>
<td>10</td>
<td></td>
</tr>
</tbody>
</table>

**Sub-recipient SCORE:** 0

**Low: 0-25   Medium: 26-50   High: 51-100**

**TOTAL Sub-recipient SCORE:** 0

---

### Low Risk: Most of the following attributes should be present to be considered low risk
- Small grant amount
- Entity has complied with the terms and conditions of prior grant awards
- No known financial management problems or financial instability
- High quality programmatic performance
- No, or very insignificant, audit or other monitoring findings
- Timely and accurate financial and performance reports
- Program likely does not have complex compliance requirements
- Entity has received some form of monitoring (e.g., single audit, on-site review, etc.)

### Moderate Risk
- New business
- Small entity handles a complex grant with multiple requirements
- A disclosed conflict of interest exists

### High Risk
- History of unsatisfactory performance or failure to adhere to prior grant terms and conditions
- Financial management problems and/or instability; inadequate financial management system
- Program has highly complex compliance requirements
- Significant findings or questioned costs from prior audit
- Large award amount
APPENDIX C

The following is an outline of the FY19 HMEP proposal within iGMS. This has been provided as a guide for applicants to utilize when preparing to write an application for funding.

IDENTIFICATION INFORMATION

There are three sections under “Identification Information” (i.e. Sections A, B, and C). The fields within the sections are “fill in the blank”.

Section A asks for the following information:
1. Organization legal name
2. Federal tax identification number
3. DUNS number
4. State of Indiana bidder number
5. State of Indiana vendor number
6. Name of the Signatory (i.e. person who is able to sign the grant agreement)
7. Signatory’s email address
8. Principal executive office name
9. Title of principal executive officer

Section B asks for the following information:
1. Primary point of contact’s first name
2. Primary point of contact’s last name
3. Name of organization affiliated with the primary point of contact
4. Primary point of contact’s address
5. Primary point of contact’s telephone and email information
6. County affiliated with applying entity

Section C asks for the following information:
1. Financial officer’s first name
2. Financial officer’s last name
3. Financial officer’s email address and phone number
4. Financial officer’s address

ADDITIONAL INFORMATION

There are two sections under “Additional Information” (i.e. Sections A and B). The fields within the sections are “fill in the blank”.

Section A asks for the following information:
1. Discrimination information

Section B asks for the following information:
1. Federal Funding Accountability and Transparency Act information

PROJECT INFORMATION

There are eleven sections under “Project Information” (i.e. Sections A through K). The fields within the sections are a mixture of drop-down boxes, blank fields, and checkboxes.
**Section A** asks for the following information about the applying entity’s funding profile:

1. **HMEP funding**
   a. This is a drop-down box for the applicant to select the appropriate option:
      i. **Yes**
         1. Select this option if the applying entity has previously received HMEP funding
      ii. **No**
         1. Select this option if the applying entity has never received HMEP funding

2. **New or Continuation project**
   a. This is a drop-down box for the applicant to select one of the following choices based on the option that best describes their project:
      i. **New project**
         1. Select this option, if the project has not been previously funded through the HMEP program
            a. Applicants who have received funding for one type of activity (i.e. equipment) and are currently seeking support for another (i.e. planning) should select the “New project” option.
      ii. **Continuation project**
         1. Select this option, if the project has been previously funded through the HMEP program
         2. If this option is selected, applicants are to enter information about the previously funded project in the text box provided.
            a. Applicants should include information about the previously funded project’s goals and objectives, how the project impacted the community/safety environment, and highlight the project’s accomplishments
            b. If the project encountered any issues or problems within the FY 2018 performance period, applicants should identify them in this space along with the corrective action taken on behalf of the applicant to address the issues or problems.
            c. If applicants are applying for funding to support a new project, enter N/A into the text box.

3. **Previous IDHS Funding**
   a. This is blank field for applicants who have received HMEP funding from IDHS in previous years to provide information about past awards.
      i. Applicants should enter the year of the award, the amount of HMEP funding received, and the purpose of the award. All previous HMEP funding should be included in this field.
         1. For example: Entity “X” received $50,000 to purchase equipment in FY2016.

4. **Disclosure of grant funding**
   a. This is blank field for applicants to provide information about all grant funding for emergency preparedness and response activities relating to hazardous materials emergencies, specifically those involving transportation. Grant awards received by the applying entity during the previous fiscal year, as well as information about any anticipated funding to be received in the upcoming fiscal year, should be included.
      i. Applicants should enter the year in which the funding was awarded, amount of grant funds received (or anticipated to receive), purpose of the funds, and the funding source.
         1. For example: Entity “X” received $4,000 from the Indiana Criminal Justice Institute to purchase equipment in FY 2017.
      ii. Applicants who have received funding through the HMEP grant program should enter any grant award information received from other sources in this field.
1. HMEP funding through IDHS should be entered in the “Previous IDHS Funding” textbox.

**Section B** asks for the following information about the project’s identified problem or issue:

1. Problem Statement
   a. Definition of problem/issue
      i. This is a blank field for applicants to provide a statement regarding the problem or issue the proposed project will address
      ii. Applicants should document the project’s problem/issue by quantifying baseline data
         1. Please see the “Grant Proposal” section of the HMEP NOFO for additional information about the problem statement
   b. Planning/assessment mechanism
      i. This is a blank field for applicants to identify the planning/assessment mechanism or tool utilized to ascertain the problem or issue the proposed project will address
         1. Please see the “Grant Proposal” section of the HMEP NOFO for additional information about the problem statement

**Section C** asks for the following information:

1. Needs Assessment
   a. There are three blank fields regarding the needs assessment process utilized to determine funding priorities. Please see the “Grant Proposal” section of the HMEP NOFO for more information about the needs assessment.
      i. Needs assessment description
         1. Applicants are to describe the needs assessment process and mechanism utilized to identify and establish funding priorities.
      ii. Identified issues or problems
         1. Applicants are to describe the problems or issues identified in the assessment process. Applicants are encouraged to describe existing gaps in local services.
      iii. Project strategies
         1. Applicants are to describe the project strategies that will address the issues or problems identified through the needs assessment process.

**Section D** asks for the following information:

1. Project Summary
   a. This is blank field for applicants to provide a detailed description of the project.
      i. A strong project summary will include a clear and full description of the proposed project, solutions or remedies to the problem or issues identified, and a listing of any partners involved in the project. Applicants should include information about how the project will impact emergency preparedness and response activities relating to the transportation of hazardous materials within the local jurisdiction. Please see the “Grant Proposal” section of the HMEP NOFO for more information about the project summary.

**Section E** asks for the following information about the scope of the project:

1. Project Scope
   a. This is a check box for applicants to select from the following choices based on the project scope:
      i. Planning expenditures
      ii. Training expenditures
      iii. Exercise expenditures
      iv. Equipment expenditures
      v. Travel expenditures
   b. Exercise expenditures
There are three text boxes to complete if exercise expenditures are included within the project. If this section does not apply, please enter N/A into the text boxes.

1. Exercise date
   a. Enter in the date of the exercise (or approximate date if exact date is unknown)
2. Number of anticipated participants
3. Detailed description of the exercise
   a. Please provide the following information about the exercise:
      i. Type of hazardous material to be utilized
      ii. Mode of transportation to be utilized

ii. Applicants should complete a “New Item” within the project scope section of iGMS for each exercise the requested reimbursement will support.

Training expenditures

i. There are four text boxes to complete if training expenditures are included within the project. If this section does not apply, please enter N/A into the text boxes.

1. Training course name/identification number
2. Training date
   a. Enter in the date of the training (or approximate date if exact date is unknown)
3. Number of anticipated participants
4. Detailed description of the training
   a. Please provide information about the training (i.e. location, etc.)

ii. Applicants should complete a “New Item” within the project scope section of iGMS for each training the requested reimbursement will support.

Equipment expenditures

i. There is one text box to complete if equipment expenditures are included within the project. If this section does not apply, please enter N/A into the text boxes.

1. Detailed description of the equipment
   a. Please provide the following information about the exercise for which the requested item will be utilized:
      i. Exercise date
      ii. Number of anticipated participants
      iii. Type of hazardous material to be utilized
      iv. Mode of transportation to be utilized

ii. Applicants should complete a “New Item” within the project scope section of iGMS for each equipment item the requested reimbursement will support.

Section F asks for the following information about proposed equipment expenditures:

1. Deployable
   a. This is a dropdown box for applicants to select the choice that is appropriate for the proposed equipment expenditures:
      i. Yes
      1. Applicants should select “Yes” if the proposed equipment expenditures can be deployed to support emergency or disaster operations
      ii. No
      1. Applicants should select “No” if the proposed equipment expenditures cannot be deployed to support emergency or disaster operations
      iii. Not applicable
      1. Applicants should select “No” if the proposed project does not include equipment expenditures
**Section G** asks for the following information about proposed equipment expenditures:

1. **Shareable**
   a. This is a dropdown box for applicants to select the choice that is appropriate for the proposed equipment expenditures:
      i. **Yes**
         1. Applicants should select “Yes” if the proposed equipment expenditures can be shared to support emergency or disaster operations
      ii. **No**
         1. Applicants should select “No” if the proposed equipment expenditures cannot be shared to support emergency or disaster operations
      iii. **Not applicable**
         1. Applicants should select “No” if the proposed project does not include equipment expenditures

**Section H** asks for the following information:

1. **Project Goals, Objectives, and Outcomes**
   a. There are three blank fields regarding the project goals, objectives, and outcomes. Please see the “Grant Proposal” section of the HMEP NOFO for more information about project goals, objectives, and outcomes.
      i. **Goals**
         1. Applicants must identify the primary goal of the proposed project and how grant funds will be used to support the project. The goals must be specific, measurable, attainable, relevant, and time-bound.
      ii. **Objectives**
         1. The proposed project’s goal(s) must be followed with objectives that will identify how the gaps/shortfall will be lessened with the completion of the project. The objectives must be specific, measurable, attainable, relevant, and time-bound.
      iii. **Outcomes**
         1. The proposed project’s objective(s) must be followed with outcomes that will identify how the gaps/shortfall will be lessened with the completion of the project. The outcomes are the desired changes or results the proposed project will eventually accomplish. They are the desired end-state, which the applicant strives to achieve and can include visionary language. Project outcomes show the gap between what is and what could be. The outcomes must be specific, measurable, attainable, relevant, and time-bound.

**Section I** asks for the following information:

1. **Project Milestones**
   a. This is a blank field for applicants to identify the proposed project’s milestones. Please see the “Grant Proposal” section of the HMEP NOFO for more information about project milestones.

**Section J** asks for the following information:

1. **Funding Sustainability**
   a. This is a blank field for applicants to identify a strategy of obtaining permanent financial support.
      i. Applicants should provide an estimated funding plan (i.e. a self-imposed step down plan) for the next three years, showing the anticipated levels of HMEP funding. Applicants should describe the amount and include three (3) potential funding source(s). Applicants should give consideration regarding future maintenance costs, material costs, etc. and explain how those costs will be paid.
Section K asks for the following information:

1. Challenges
   a. This is a blank field for applicants to describe any non-financial challenges that may influence the ability to successfully complete the proposed project. Please see the “Grant Proposal” section of the HMEP NOFO for more information about project challenges.
      i. If challenges do not exist, an applicant must indicate this and explain why the project will not encounter any challenges.

ATTACHMENTS

The “Attachments” section is for applicants to upload pertinent information and documentation required in the application. This section must include the most current LEPC budget. Applications that do not contain the LEPC budget will not be considered for funding. It may include other appropriate information such as Commodity Flow Studies etc. All documents attached must be PDF files.

To upload documents, please follow the instructions below:

1. Navigate to the “Attachment” section of the proposal within iGMS
2. Click on the “Upload Files” button
   a. Button is located next to the green plus sign on the right side of the page
   b. A dialog box will open
3. Select the file to be uploaded and click “OK”
4. Repeat for each additional file to be uploaded

Connecting a proposal to a budget

Applicants are required to connect completed proposals to the budget section of iGMS in order to complete a grant application.

Please follow the subsequent steps to connect a completed proposal to the budget section of iGMS:

1. Click on the “Continue” button
   a. The “Continue” button is located within the Attachments Section
2. An allocation will auto populate
3. Click on the “Budgeted” amount
   a. Amount will be purple in color

Applicants will then be able to complete the budget section within iGMS.

BUDGET

Applicants must include grant expenditures and matching funds in the budget section. The maximum award is $10,000 and the HMEP grant program requires a 20% match. Therefore, total project costs cannot exceed $12,000. Applicants must identify the matching funds within a line item in the budget. Within each line item there is a “narrative field” where applicants are required to provide a clear and detailed explanation for each line-item entry (i.e. a description of the item, how the item will be utilized, and why the item is necessary for the project). The line items should directly correspond to the project.

When creating line items within the budget, applicants should consider the following:

1. Are the budget items reasonable, necessary and allowable?
2. Are the proposed items are eligible expenditures?
3. Is there sufficient justification to explain each line item?
To **enter matching funds into a budget line item**, please follow the subsequent steps:

1. Navigate to the “Budget Items” section of budget
   a. Instructions on how to navigate to the budget in iGMS have been included within the “Grant proposal requirements” section of this NOFO
2. Click on the “Create New Item” button
3. Navigate to the “Description” text box
   a. Enter the description of the item to be entered into the budget (i.e. Commodity Flow Study)
4. Navigate to the “Solution Area” dropdown box
   a. Select “Match”
5. Navigate to the “Category” dropdown box
   a. Select “Not applicable”
6. Navigate to the “Discipline” dropdown box
   a. Select “Not applicable”
7. Navigate to the “Amount” text box
   a. Enter in the total amount matching funds
8. Navigate to the “Narrative” text box
   a. Enter an explanation of what matching funds are included within the “Amount” text box
9. Click on the “Save” button to save the line item within the budget

To **enter grant funds into a budget line item**, please follow the subsequent steps:

1. Navigate to the “Budget Items” section of budget
   a. Instructions on how to navigate to the budget in iGMS have been included within the “Grant proposal requirements” section of this NOFO
2. Click on the “Create New Item” button
3. Navigate to the “Description” text box
   a. Enter the description of the item to be entered into the budget (i.e. Commodity Flow Study)
4. Navigate to the “Solution Area” dropdown box
   a. Select the option that best fits the line item (i.e. planning, training, exercise, equipment, or travel)
5. Navigate to the “Category” dropdown box
   a. Select “Not applicable”
6. Navigate to the “Discipline” dropdown box
   a. Select “Not applicable”
7. Navigate to the “Amount” text box
   a. Enter in the total amount of the line item
8. Navigate to the “Narrative” text box
   a. Enter an explanation of what costs are included within the “Amount” text box
   i. Applicant should provide a breakdown of aggregated costs
      1. For example, a line item is created for equipment expenditures totaling $5,000. An explanation of how the $5,000 amount was calculated must be included. The explanation could be: 5 items at $1,000 per item.
9. Click on the “Save” button to save the line item within the budget
10. Use the “Submit This Budget” link at the top of the page to submit BOTH the proposal and the budget
    a. The proposal has only been submitted for review if the status changes from “initial” to “submitted”

If items listed in the budget are not allowable, grant funding may be reduced by that amount. IDHS Grants Management **will not** contact applicants for clarification. Any missing information within the budget may
disqualify the item for funding. If applicants are unsure if an item is allowable, please contact IDHS Grants Management for clarification.

The proposal may be edited and saved up until the due date, even if it has already been submitted. If applicants need to adjust the budget after submitting, please contact IDHS Grants Management.
# APPENDIX D

**HMEP CONFERENCE REQUEST FORM**

## Conference Information

<table>
<thead>
<tr>
<th>Requesting agency/Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conference name</td>
</tr>
<tr>
<td>Conference location</td>
</tr>
<tr>
<td>Conference dates</td>
</tr>
<tr>
<td>Conference start time and end time</td>
</tr>
</tbody>
</table>

**Purpose**

Please provide justification for the conference. In addition to explaining the conference’s overarching goals and objectives, please detail why federal grant funds should be spent on personnel attending the conference.

## Attendee Information

<table>
<thead>
<tr>
<th>Attendee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Please include the name/title of the conference attendee</td>
</tr>
<tr>
<td>Please provide a brief description of the conference attendee’s job responsibilities</td>
</tr>
<tr>
<td>Please explain how attending the conference will benefit the agency/department or the attendee (i.e. will going to the conference improve the attendee’s ability to perform their assigned tasks etc.).</td>
</tr>
</tbody>
</table>

## Expenditure Information

<table>
<thead>
<tr>
<th>Hotel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Please include name of hotel (note if hotel is hosting the conference), the cost per night, and the number of nights required</td>
</tr>
</tbody>
</table>

**Conference registration fees**

Please include cost of registration and note if an “early bird” registration fee is available

**Mode of travel: Air**

Please include transportation to and from airport/conference venue & baggage fees, if required

**Mode of travel: Automobile**

Please include if vehicle is government/personal, the number of miles anticipated by utilizing MapQuest (or similar application), the anticipated fuel costs, and the parking costs at hotel/conference venue

**Car rental**

Please include the car rental cost, the number of miles anticipated by utilizing MapQuest (or similar application), the anticipated fuel costs, and the parking costs at hotel/conference venue

*Car rentals are not allowed if staying at conference hotel

**Mode of travel: Bus or train**

Please include cost of ticket and transportation to/from depot/hotel/conference venue, if required

**Per diem**

Please include the rate of per diem and the number of days on travel status
APPENDIX E

FY2019 HMEP: New iGMS user
Complete the New iGMS user form and return via to IDHS Grants Management via: grants@dhs.in.gov

<table>
<thead>
<tr>
<th>Applicant Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Legal name of applicant</td>
</tr>
<tr>
<td>2. Point of contact for the grant</td>
</tr>
<tr>
<td>3. Point of contact’s email address</td>
</tr>
<tr>
<td>4. Point of contact’s telephone number</td>
</tr>
</tbody>
</table>

- Please enter “FY2019 HMEP: New iGMS user” into the subject line of the email, when sending the New iGMS user form to IDHS Grants Management via grants@dhs.in.gov.

- After applicants receive notification that an account has been established in iGMS, all contact information must be entered. **iGMS will not permit users to submit grant applications until user information has been entered within the “Contact Info” tab.** The “Contact Info” tab can be located at the top of the iGMS dashboard, to the left of the “Logout” tab, and is in green font.

- Please contact IDHS Grants Management via grants@dhs.in.gov if an incorrect email address (or no email address) is visible within the “Contact Info” tab.
APPENDIX F

System for Award Management (SAM)

Background
The System for Award Management (SAM) is a computer system accessed by the Internet managed by the U.S. Government. Entities must have an active registration in SAM to do business with the U.S. Government. An “entity” is the company, business, or organization registering in SAM. Each entity is represented by a nine-digit unique entity identifier, the Data Universal Numbering System (DUNS®) Number as issued by Dun & Bradstreet.

Only individuals who are authorized to represent a particular entity, or individuals representing themselves as an entity, may register an entity in SAM. Accessing or using SAM, or information contained therein, for any unauthorized or illegal purposes, may have civil and criminal penalties, and may negatively impact the status of the SAM registration maintained for the entity.

Instructions to Entity

1. **Single Entity.** Use this template to formally appoint an Entity Administrator for 1) a single, domestic entity located in the U.S. or its outlying areas, or 2) a single, international entity that uses banking information from a U.S. financial institution in their SAM entity registration.

2. **Complete the template.** Fill in the blanks. Enter the highlighted information on the next two pages. **Do not include this instruction page in your letter.**

3. **Print the letter on your entity’s letterhead.** If you don’t have letterhead, enter your entity’s legal business name and physical address at the top of the letter before printing.

4. **Sign the completed letter in the presence of the notary.** Make sure the person who signs the letter is someone with signatory authority, i.e. who can make commitments on behalf of the entity like an executive, officer, partner, or other authorized signatory. The notary will confirm the signatory’s identity in accordance with your state’s notary procedures.

5. **Mail the completed, signed, notarized letter.** Your letter will be reviewed for completeness upon receipt at the Federal Service Desk at:

FEDERAL SERVICE DESK
ATTN: SAM.GOV REGISTRATION PROCESSING
460 INDUSTRIAL BLVD
LONDON, KY 40741-7285
UNITED STATES OF AMERICA

If incomplete or incorrect, you will be contacted. **Your registration will not be activated until an approved letter is on file.**
FEDERAL SERVICE DESK  
ATTN: SAM.GOV REGISTRATION PROCESSING  
460 INDUSTRIAL BLVD  
LONDON, KY 40741-7285  
UNITED STATES OF AMERICA

SUBJECT: Information Required to Activate SAM Entity Registration

Purpose of Letter

The purpose of this letter is to formally appoint an Entity Administrator for the named Entity and to attest to the accuracy of the information contained in the entity registration.

Designation of Entity Administrator

I, [Insert Name and Title of Signatory], the below signed individual, hereby confirm that the appointed Entity Administrator is an authorized officer, agent, or representative of the Entity. This letter authorizes the appointed Entity Administrator to manage the Entity's registration record, its associated users, and their roles to the Entity, in the System for Award Management (SAM).

Entity Covered by this Letter

DUNS® Number: ____________________________  
Legal Business Name: ____________________________  
Physical Address: ____________________________

Entity Administrator Contact Information

Full Name: ____________________________  
Phone Number: ____________________________  
Email Address: ____________________________

*The Entity Administrator must have an individual user account in SAM associated with the email address listed.

Account Administration Preference (ONLY CHOOSE ONE)

You must choose ONE of the two following statements by checking the applicable box. Remember, there is no cost to register in SAM -- it is free. However, if you choose to have a third-party agent administer your SAM registration, with or without an associated fee, you must check the Third-Party Agent Designation box below.

☐ Self-Administration Confirmation

For the purpose of registering with the United States Government through the online System for Award Management (SAM), I do not authorize any third party to act on behalf of the Entity listed above. I have checked the Self-Administration Confirmation box to indicate that the designated Entity Administrator is not a third-party agent.

☐ Third-Party Agent Designation

For the purpose of registering with the United States Government through the online System for Award Management (SAM), I do hereby authorize [insert full name, phone number, address, and email address of the Third-Party Agent] (Designated Third-Party Agent) to act on behalf of the Entity listed above. This...
authorization permits the Designated Third-Party Agent to conduct all normal, common business functions within SAM while binding the signatory to all actions conducted and representations made as a result of authorization granted herein. I have checked the Third-Party Agent Designation box and completed the above information to indicate that the designated Entity Administrator is a third-party agent.

Attestation

I, the below-signed, attest to the following:

- All information contained in this letter is complete and accurate.
- The designated Entity Administrator listed above has an individual SAM User Account created with the email address provided in this letter.
- The banking information provided for Electronic Funds Transfer on the Financial Information Page in the SAM.gov registration for the Entity above is correct and accurate.

Respectfully,

[Insert Full Name of Signatory]
[Insert Title of Signatory (i.e. Executive etc.)]
[Insert Email of Signatory]
[Insert Entity Legal Business Name]
[Insert Entity Physical Address]

TO BE COMPLETED BY NOTARY
(in accordance with State notary requirements)

State of _____________________________
County of ___________________________

This instrument was acknowledged before me this _____day of _____________ (month), _________ (year), by ________________________________ (name of officer or agent, title or officer or agent) of ________________________________ (name of entity).

_____ Personally Known

_____ Produced Identification

Type of ID and Number on ID ____________________________

(Seal)

____________________________
Signature of Notary

____________________________
Name of Notary
(Typed, Stamped or Printed)

Notary Public, State of ______________