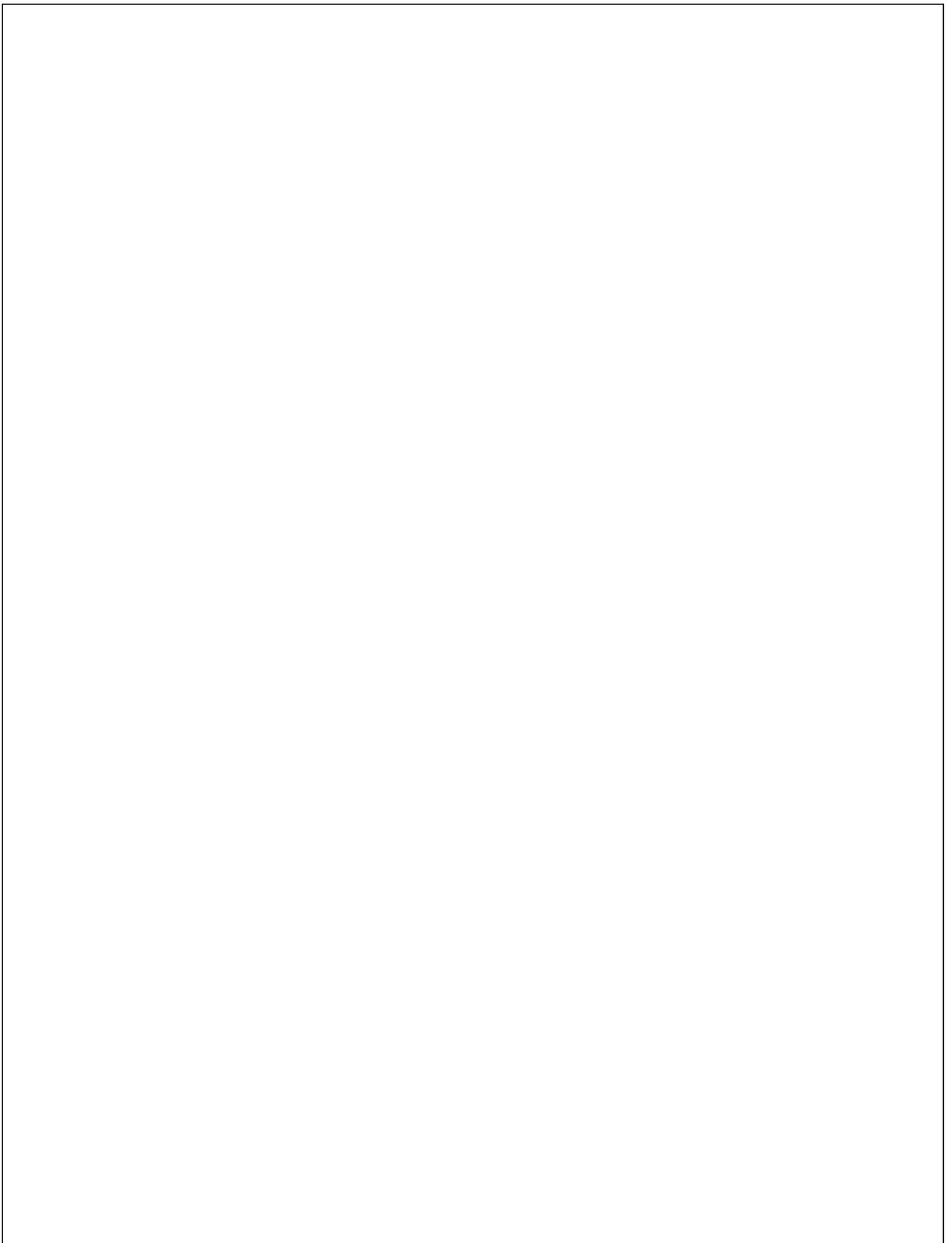


A large, faint, circular seal of the State of Indiana is visible in the background, centered behind the title text. The seal contains the text 'THE STATE OF INDIANA' and the year '1816'.

Administrative Plan for Preparedness Grants Managed by the Indiana Department of Homeland Security March 2012

Indiana Department of Homeland Security
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Administrative Plan for Grant Programs Managed by the Indiana Department of Homeland Security

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I. PURPOSE

Overview – The US Department of Homeland Security (DHS) awards various homeland security grants to enhance and develop state and local homeland security capabilities. These grants are administered by a single State Administering Agency (SAA). In Indiana, the Governor has designated Indiana Department of Homeland Security (IDHS) as the SAA. IDHS subsequently sub-grants these grants to the various state and local jurisdictions and/or agencies to meet mandatory pass-through requirements. This plan establishes the process by which IDHS will administer these grants awarded to Indiana. Additionally, it will include processes to apply for, receive, manage, and closeout funds that are sub-awarded to state and local jurisdictions and/or agencies, private or public.

Each federal grant comes with a specific grant program guidance and application instructions. The program guidance defines/establishes that grant program's unique initiatives, requirements, and restrictions to include specific allowable and non-allowable costs and activities. IDHS will ensure state and local jurisdictions and/or agencies receiving these funds will comply with the respective federal grant guidance. It must be recognized that the federal grant programs differ from year to year, and as such the allowable and non-allowable costs and activities differ from grant to grant. Grant recipients are responsible to review and adhere to the specific grant program guidance to understand its unique requirements and restrictions.

Further, DHS recognizes and permits the SAA to direct or specify how grant funds will be allocated and used provided that direction it is not inconsistent with federal grant guidance or federal regulations. The SAA may impose guidelines and parameters more strict or limited than federal guidance, but may not broaden those more than permitted by the federal guidance. As such, IDHS may issue its own specific grant program guidance that defines/establishes that unique state initiatives, requirements, and restrictions to include specific allowable and non-allowable costs and activities. IDHS will ensure grant recipients are aware and will comply with the state grant guidance.

Additionally, all federal laws and rules govern the administration and spending of federal grant funds. These requirements are defined in the Code of Federal Regulations (CFRs), Office of Management & Budget (OMB) Circulars, and respective federal agency financial guides. IDHS will ensure grant recipients are aware of and can comply with these federal regulations. However, the individual grant recipient is responsible to review, understand, and adhere to those federal regulations.

If there is a question regarding eligible grant activities or costs, or with state or federal guidance, the grant recipient will contact IDHS for clarification. If IDHS is unclear or uncertain on how to address or answer the grant recipient's request for clarification, IDHS will contact their respective DHS Program Analyst for clarification. Clarification will be relayed to all parties concerned in a timely fashion.

IDHS, as the SAA, is responsible for managing the day-to-day operations of grant and sub-grant supported activities. However, it is recognized that other sections/personnel within IDHS have trained and experienced personnel who will serve as Project managers and oversee specific tasks under the grant programs. Project managers will be responsible to monitor grant recipient activities and assure compliance with applicable state and federal requirements.

II. APPLICABLE REFERENCES & AUTHORITIES

- Federal Grant Program Guidance: See the respective federal grant guidance issued for each grant. FEMA grant guidance can be found at <http://fema.gov/grants> .
- Federal grant application, grant award and special conditions: See the respective federal Grant Award, to include any special conditions annotated on the award.
- For US DHS/FEMA Grants awarded in FY07 (except for FY07 EMPG) and later, the following federal provisions are applicable:
 - The grantee and any sub-grantee shall comply with all applicable laws, regulations and program guidance. A non-exclusive list of regulations commonly applicable to US DHS grants are as follows:
 - Administrative Requirements: 44 CFR Part 13, “Uniform Administrative Requirements for Grants and Cooperative Agreement to State and Local Governments” and 2 CFR Part 215, “Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations.”
 - Cost Principles: 2 CFR Part 225, State and Local Governments; 2 CFR Part 220, Educational Institutions; 2 CFR Part 230, Non-profit Organizations; and Federal Acquisition Regulation Sub-part 31.2, Contracts with Commercial Organizations.
 - Audit Requirements OMB Circular A-133, Audits of State, Local Governments, and Non-Profit Organizations.
- For US DHS/FEMA Grants awarded prior to FY07 and FY07 EMPG, the following federal provisions are applicable:
 - Federal Financial Guides: (as amended/revised) Dept. of Justice (DOJ), Office of Justice Programs, Office of Comptroller, “Financial Guide”, December 2006 ed. (applicable to HS grants issued prior to and including FY05) Dept. of Homeland Security (DHS), Office of Grant Operations, “Financial Management Guide”, January 2006 ed. (applicable to HS grants issued in FY06 and FY07 EMPG)
 - Title 28, Part 66, DOJ (on behalf of DHS) “Uniform Administrative Requirements for Grants and Agreement to State and Local Governments”
 - OMB Circulars: (as amended/revised) Grant Administration Requirements: A-102 “Grants and Cooperative Agreements with State and Local Governments” (codified in 28 CFR 66 [DOJ-DHS] . A-110 “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations” (codified in 28 CFR 70).
 - Allowable/Non-allowable Cost Principles: A-21 “Cost Principles for Educational Institutions” (codified in 28 CFR 66, by reference). A-87 “Cost Principles for State, Local, and Indian Tribal Governments” (codified in 28 CFR 66, by reference).
 - Audit Requirements: A-133 “Audits of States, Local Governments and Non-Profit Institutions” (codified in 28 CFR 66 & 70).

III. PUBLIC ACCESS TO INFORMATION

IDHS recognizes that some of the information submitted in the course of applying for funding under DHS grant programs, or provided in the course of its grant management activities, may be sensitive information, the release of which could threaten public safety by exposing a vulnerability to terrorist attack. This includes threat, intelligence, risk, capability, and/or needs assessment information, as well as discussions of response, government, demographic, transportation, public works, industrial, and/or public health infrastructures.

This information may meet the criteria for being withheld from release under IC 5-14-3-4(b)(19) or other provisions of the Indiana Access to Public Records Act. All determinations concerning the release of information made pursuant to the Indiana Access to Public Records Act will be made on a case-by-case by IDHS. All such requests will be forwarded to and coordinated by IDHS Public Information Officer and in consultation with, at a minimum, IDHS's General Counsel and the Grants Management Section Chief.

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IV. GRANT MANAGEMENT-ADMINISTRATION

Grant Management Administration will be accomplished in three distinct phases: Pre-Award, Active Grant Program Period, and Post-Award. The following identifies the processes for each phase of grant management.

PRE-AWARD PHASE

The Pre-Award Phase begins once the DHS announces that a new grant opportunity exists, continues thru the federal grant application, and concludes with approval of state, local, and/or district grant applications.

Initial Grant Review (IGR)

1. The IDHS Grants Management Section will secure information related to grants being made available from DHS. The grants management staff will identify the grant's potential function/use and identify those state and local agencies that will be supported by the grant. Grants Management Section Chief will brief the Policy Development and Research Branch Chief, Planning Division Director and Executive Director on the grant scope, purpose, eligibility and likely recipients.
2. The Grants Management Section Chief will identify a core group of IDHS program staff and any other state or local agency staff members that will/may be needed to complete the initial grant application and will administer the eligible program activities within the grant. Grants management staff will provide the core group copies of the federal grant program guidance and any supporting program documents or information. The Grants Management Section Chief will facilitate a meeting of the core group to review and establish the grant's program requirements, to include but not limited to:
 - a. Review amount of funding available.
 - i. Determine what funding, if any, must be allocated to a given entity or for a specific purpose
 - ii. Identify matching fund requirements.
 - b. Determine allowable and non-allowable program activities and costs,
 - c. Determine national or state goals or priorities that could be supported by the program.
 - i. Prioritize which programs must be accomplished first, second, third, etc, to include what levels of funding must be directed to each.
 - ii. Identify allowable activities/costs that the state wishes to NOT support in this grant.
 - d. Outline the eligible and non-eligible grant recipients,
 - i. Identify the requirements for a minimum pass-thru of funds to local recipients (i.e. 80%).
 - e. Determine whether to distribute funds based on a formula, competitive or blended application.
 - i. Identify what, if any, funds will be awarded to and spent by the state on behalf of local jurisdictions.
 - ii. Determine what agencies/associations will request a letter of consent authorizing the state spending on behalf of local jurisdictions.
 - f. Determine what information or deliverables are necessary to complete the grant application, and designate what staff will complete this process.

- g. Determine what information or tasks are necessary to award and subsequently administer the program to the grant recipients, and designate what staff will complete this process.

Federal Grant Application¹

1. The IDHS Grants Management Section Chief will oversee and coordinate the grant application process. The IDHS Grants Management Section Chief will ensure pre-application steps have been taken to permit access to and completion of the online grant application (i.e. obtain DUNS # or password to secure website).
 - a. Personnel designated during the IGR will gather information and develop any reports/data required for the grant application, and provide that data directly to the IDHS Grants Management Section Chief NO LATER THAN 10 business days prior to the grant application deadline.
 - b. The IDHS Grants Management Section Chief will present this to the Research and Policy Development Branch Chief and the Planning Division Director for review and approval, and then to Executive Director for review and approval.
2. The IDHS Grants Management Section Chief staff will make any necessary changes to the application materials, and then submit the application as directed in the federal grant program guidance.
 - a. The IDHS Grants Management Section Chief will ensure the grant application is completed on/before its defined deadline. Copies of the grant application will be maintained by the Grants Management Section Chief.
 - b. The Planning Division Director and Executive Director will be advised when the application is complete.
3. The IDHS Grants Management Section Chief will keep the federal program analyst informed as to the progress or problems encountered in developing or submitting the state's grant application.
4. Once the application has been submitted, all materials will be forwarded to the IDHS legal section to begin drafting the sub-grant agreement template and start the Attorney General form approval process. If the grant is formula based and an award is not certain at the time of application, this step may wait until after the award document is received to ensure effort is not wasted.

Grant Recipient Pre-Award Administration

1. Identify Grant Allocations
 - a. The Initial Grant Review (IGR) will define the amount of funding (by total or percentage) to be available to eligible state, local, and regional applicants as well as the method by which the funds will be allocated (by either a formula or competitive process).
 - i. For funds allocated by *formula*, Grants staff will develop a formula by which each eligible participant receives a specified amount of funding. The Executive Director will provide the factors that will be contained in the formula. Grants staff will provide the formula for review and

¹ Depending on the grant, the *Grant Recipient Pre-Award Administration* may occur prior to the *Federal Grant Application* e.g. Homeland Security Grant Program.

- approval to the Executive Director via the Research and Policy Development Branch Chief and Planning Division Director.
- ii. For funds allocated by a *competitive* process, the Executive Director will identify the range and/or maximum amount of funds that any one eligible grant participant may submit for in their application. The Executive Director will determine the parameters by which eligible applicants will submit projects for funding consideration.
 - b. The method, by which funds are to be allocated and awarded, will be clearly defined in the Request for Proposal (RFP) issued to eligible participants.
2. Identify Eligible Grant Applicants.
- a. Grants and programmatic staff will identify the likely grant applicants (e.g. local, regional, and state). The likely applicants will be those entities, jurisdictions, or agencies best suited to accomplish the programmatic goals of the federal and state grants and priorities. Grants staff will make a final recommendation on eligible applicants to the Executive Director for approval.
 - i. Should the grant program require a minimum pass-through of funds to local entities, the staff will ensure those minimums will be met before the recommendation is given to the Executive Director.
 - b. IDHS may choose not to offer or accept applications from those entities that are considered to be “high risk” applicants. An entity may be considered “high risk” if IDHS determines that the potential grant recipient:
 - i. Has a history of unsatisfactory performance;
 - ii. Is not financially stable;
 - iii. Has a management system which does not meet the management standards set forth in this part;
 - iv. Has not conformed to terms and conditions of previous awards; or
 - v. Is otherwise not responsible.
 - c. Grants staff will identify and brief the Research and Policy Development Branch Chief of any entity that should be considered “high risk” and provide such documentation that supports the cause (as defined above). The Planning Division Director, with concurrence of the Executive Director, will not offer the grant opportunity to the entity or will offer the entity the grant opportunity but apply special conditions/restrictions to the entity’s grant award (if approved). Grants staff will notify the entity wishing to participate but considered “high risk” as early as possible in the grant application process of:
 - i. The nature of any special conditions/restrictions that may be imposed upon them;
 - ii. The reason(s) for imposing conditions/restrictions;
 - iii. The corrective actions and the time allowed to address/resolve the imposed condition/restriction; and
 - iv. The method of requesting reconsideration of the conditions/restrictions imposed, and subsequent removal of the designation as “high risk”.
 - d. IDHS will also not issue any grant funds to any potential recipient which is debarred, suspended, or otherwise currently excluded from or ineligible to receive state or federal grant funds. Prior to issuing grant applications or developing grant allocations, Grants staff will review determine those persons or agencies for which findings exist and have not been resolved, and thus should not participate in the grant program.
3. Develop and Issue Grant Application and Program Guidance

- a. As an outcome of the Initial Grant Review, designated grants/program staff will develop grant application and program guidance that is sufficient for the eligible participants to apply for the respective grant funding. The guidance will define at a minimum the eligible and non-eligible program activities and the eligible and non-eligible costs.
 - i. The initial guidance will be developed within thirty (30) days of the IGR meeting will include all information necessary to submit a proposal via the Indiana Grants Management System (iGMS).
 - 1. If the grant applications are to be competitive, grants/program staff will also develop an evaluation methodology by which the applications are to be approved or denied. This methodology will be submitted for review and approval along with the grant guidance. The criteria will identify:
 - a. What information is to be evaluated and how;
 - b. What personnel, sections, and/or agencies will be responsible for the evaluation;
 - c. The timeframe in which applications will be reviewed and ultimately accepted or rejected; and
 - d. How eligible participants will be told their applications are accepted or rejected (in whole or part).
 - ii. The development of the draft guidance will be coordinated by Grants staff working directly with the respective program offices that will ultimately administer portions of the grant program's allowable activities. Grants staff will forward a final draft for review and adoption by the Executive Director.
 - b. Grant guidance will be issued to eligible grant participants to provide ample time to develop and submit grant applications. Participants should have at least thirty (30) days in which to complete their applications, but the timeframe may be compressed if required to meet federal deadlines.
 - i. Grant application deadlines may vary for state, local and regional applicants in order to facilitate development and evaluation of the applications.
 - ii. The Policy Development and Research Branch Chief, with Planning Division Director approval, will establish the appropriate deadlines for grant application submission of eligible state, local and regional participants.
 - iii. Waivers to the deadline will only be given and approved by the Policy Development and Research Branch Chief with the concurrence of the Planning Division Director.
4. Evaluation of Grant Applications
- a. Grants staff will receive applications and provide a cursory review and ensure completeness and content of the application packet.
 - i. Staff will contact eligible grant recipients should any forms/attachments be missing from the application.
 - ii. Clarifications of applications may be made with the submitting entity, but no changes will be made after the grant deadline.
 - b. Grants staff will compile a list showing each entity that has in fact submitted an application prior to but not later than the application deadline. Applications received after the deadline will be noted and filed, but will not be included for evaluation.

- c. The Grants Management Section Chief will establish the meeting date/time/location during which applications will be evaluated and which grants-program staff will participate in the review.
 - i. Grants staff will make a final list of applicants as well as copies of each application for review in accordance with the evaluation guidance applicable to the grant.
 - ii. At a minimum, grants and program staff will confirm all costs are eligible with federal grant program guidance:
 - a. Equipment costs must be listed on the Authorized Equipment List (AEL) specified for the grant with a clear nexus to homeland security and/or dual-use for all-hazard preparedness and response; and
 - b. General costs (e.g. personnel, travel) under planning, organization, training, exercise, and administration will also be evaluated as needed against the cost principles found in OMB Circular A-87.
 - d. Grants and program staff will determine which applications are funded in whole, which are to be funded in part, and those not to be funded. Staff will identify and document the reasons as to why project costs were determined to only be funded in part or not funded.
 - e. Staff will complete evaluations so that all funding can be fully committed to eligible grant recipients. Final funding allocations will then be briefed thru the Research and Policy Development Branch Chief, Planning Division Director and the Executive Director for final concurrence on funding allocations.
 - f. Once final allocations are determined, grants staff will:
 - i. Coordinate with fiscal and program management staff to develop grant packages for those entities whose applications were accepted; and
 - ii. Draft letters, for the Executive Director's signature, to those entities who application was not accepted to include the reason(s) why their application was rejected in part or whole.
5. Internal IDHS Budget Development
- a. As a final step within the pre-award phase, IDHS will develop its own budget and grant application that identifies what grant funds will be used by the agency to complete and fund eligible activities with the grant. This will not include costs allocated to individual grant recipients unless the agency is authorized to spend those funds on behalf of a state or local jurisdiction.
 - b. The Policy Development and Research Branch Chief will coordinate the budget development and subsequent application, but individual activities and costs will be scripted by the respective program areas.
 - c. The identified program areas will submit the agency's budget and grant application in the same timeframe and format as required of the other state agencies.

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ACTIVE GRANT PROGRAM PERIOD

This phase starts with the acceptance of the federal award and issuance of grant recipient awards. It includes the accomplishment of program activities, reimbursement of funds for those costs, and submission of grant reports throughout the approved grant performance period, to include any extensions to that period.

Acceptance of the Federal Award-Special Conditions

1. DHS will issue an initial grant award to IDHS (as the SAA). The grants staff will review the award, and confirm the funding total and the award/fiscal performance period.
 - a. Staff will also identify any special conditions that must be addressed before the respective funds are expended. Grants staff will determine what actions and staff/agencies are needed to address and resolve any special condition.
2. The Grants Management Section Chief will brief the Research and Policy Development Branch Chief, Planning Division Director and Executive Director on the award, to include the applicable steps needed to address/resolve any special conditions. The Executive Director will concur on actions needed to resolve the respective special conditions and then sign and initial the award as directed.
3. The Grants Management Section Chief will then:
 - a. Return the signed copy of the award to DHS.
 - b. Accept the award in the federal Grants Management System (GMS) and designate the Financial Point of Contact (FPOC).
 - c. Provide signed copies to IDHS Fiscal Branch and Legal Section.
 - i. The IDHS Fiscal Branch will use the award to make appropriate commitments in the state budget system and establish accounting lines for the grant program.
4. The Grants Management Section Chief will coordinate with respective staff/agencies on special conditions and the actions needed to address/resolve those conditions.
 - a. The defined staff/agencies will complete tasks needed to resolve the conditions and provide the Grants Management Section Chief the data necessary to document that the conditions are addressed.
 - b. The Grants Management Section Chief will forward this supporting documentation to DHS for subsequent removal of the special conditions.
 - c. DHS will issue a Grant Adjustment Notice (GAN) showing the special condition was removed. The Grants Management Section Chief will provide copies of the GAN with the same groups as noted in item 3 above.
5. The Grants Management Section Chief will forward the award acceptance and special conditions to IDHS Legal to finish the process of drafting the sub-grant agreement template and acquiring Attorney General form approval.

Issuance of Grant Recipient Notice of Awards

1. The state has forty-five (45) days to obligate and make available the funding from the federal award available to the respective grant recipients.
 - a. For awards based on formula allocations, this obligation will be satisfied by issuance of a Notice of Award (NOA) to each respective grant recipient.
 - b. For awards based on competitive application, this obligation will be satisfied by establishing how much is to be awarded via the competitive process, and

initiate the competitive application process before or within the forty-five day window. Funds will then be awarded promptly following the review of grant applications as discussed previously.

2. Grants will provide the IDHS Legal Section a list of each grant recipient to be funded under the given grant program.
3. Grants will create and issue via the Executive Director, an electronic NOA packet to each grant recipient. The packet will include all pertinent information regarding the grant including, but not limited to administrative requirements, fiscal requirements, deadlines, and reports.
 - a. Cover letter acknowledging the issuance of the grant award;
 - b. NOA and grant agreement serve as the commitment for the issuance, receipt, and use of federal grant funds between IDHS and the grant recipient. The NOA will include at a minimum the following information:
 - i. Appropriate award total and grant performance period;
 - ii. Summary of clauses or restrictions specified in the state or federal grant program guidance;
 - iii. Any special condition specified in the federal award that is applicable to a grant recipient;
 - iv. Appropriate references to applicable federal grant regulations or rules (i.e. CFR, OMB circulars, etc);
 - v. Appropriate grant reporting requirements; and
 - vi. Appropriate contact information for grant programmatic and fiscal support.
4. If IDHS determines to issue an award to a “high risk” grant recipient, special conditions and/or restrictions shall be included in the award and monitored by Grants staff. The special conditions/restrictions may include:
 - a. Completion and submission of corrective administrative actions needed resolve any fiscal or programmatic issues;
 - b. Submission of bid and procurement documentation before purchase orders are made or contracts issued;
 - c. Conduct of more frequent project monitoring throughout the program period;
 - d. Requiring additional, more detailed financial/programmatic reports
5. Grant recipient will acknowledge their consent and willingness to participate in the grant and comply with the requirements of the program by signing and returning those materials identified in the NOA and grant agreement packet. The materials are to be returned with original signatures via general mail (or special delivery, and not via fax or email) to the attention of the Grants Section.
 - a. Grants staff will validate the completeness of the submitted materials, and notify the grant recipient, via phone or email, that either a complete package was received or advise them of any materials missing that must still be submitted.
 - b. Grants staff will provide the sub-grant agreement to Legal Services for processing through the state signature process (Appendix G).
 - c. Once complete, grants staff will provide the fully executed sub-grant agreement to the grant recipient via the iGMS.
 - d. Grant recipients will not incur any programmatic costs until the agreement is fully executed.

Grant Recipient Activities

1. Upon receipt of the fully executed sub-grant agreement from IDHS, the grant recipient will immediately begin programmatic activities as defined in their approved grant application and reflected in their approved budget. Grant recipients must complete all grant activities and make final requests for cash in their defined grant program period. Grants/program staff will assist grant recipients in the accomplishment of their grant projects and ensure compliance with grant requirements.
2. Budget/Project Changes. Grant recipients are permitted to make budget and/or project changes to their approved grant projects.
 - a. Changes to the program include:
 - i. Any revision of project scope or objectives (regardless of whether there is an associated budget revision requiring prior approval);
 - ii. Any addition or deletion of budget item costs; or
 - iii. Any increase or decrease in total item cost by more than 10%.
 - b. Grant program changes shall require the prior written approval of the appropriate IDHS grants/program staff. Grant recipients requesting a change will provide notification via the iGMS using a Grant Adjustment Notice (GAN). Approval of the GAN will serve as official approval from IDHS of the request and signal to the sub-grantee that any programmatic or budget changes may be undertaken.
 - c. IDHS recognizes that events may occur that have significant impact upon the grant recipient's supported activities-costs. In such cases, it is the grant recipient's responsibility to inform IDHS as soon as the following types of conditions become known and will result in changes to the grant recipient projects or budgets. Issues include, but are not limited to:
 - i. Problems, delays, or adverse conditions which will materially impair the ability to meet the objective of the award or the grant period. This disclosure must include a statement of the action taken or contemplated, and any assistance needed to resolve the situation.
 - ii. Favorable developments which enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more beneficial results than originally planned.
 - d. The appropriate staff will promptly review and act upon such requests. Grants staff will provide the submitted GAN to the project manager for review and based on the Project manager's recommendation will approve a budget or project revision, in part or in whole, which is consistent with the following:
 - i. Terms and conditions of the grant program and award notice;
 - ii. Local jurisdiction's or entity's homeland security strategy;
 - iii. State-directed grant program priorities to include meeting one or more goals and objectives of the State Homeland Security Strategy; and
 - iv. Federally-directed grant program priorities.
 - e. If in doubt whether or not a revision properly adheres to the grant guidelines, staff will ask for further clarification from the grant recipient and/or consult the Grants Management Section Chief in order to clarify and then approve or disapprove the revision. If the revision requested by the grant recipient would result in a change to the recipient's approved project which requires federal prior approval, IDHS will obtain the federal agency's approval before approving the grant recipient's request. The Executive Director also reserves the right to approve or disapprove any revision if not consistent with the grant program. Approval may include restrictions or special conditions that must be

met in order to satisfy the amendment. Grants staff in coordination with program staff will ultimately issue either:

- i. A GAN approval via the iGMS;
 - ii. An amendment to the sub-grant agreement approving and authorizing, in whole or in part, the requested budget change; and as needed;
 - iii. A notice via the iGMS to accompany an approval amendment that identifies and explains those portions of the requested change that is not approved; or
 - iv. A notice via the iGMS denying and explaining why the entire requested budget change was not approved.
- f. The amendment or letter will be coordinated for issue through the Executive Director's office. The amendment or letter will be issued to the grant recipient. The grant recipient will sign and return an amendment to the Grants Section which will then process the amendment through the signature process. Grants staff will provide a copy of the signed amendment to the grant recipient when fully executed via the iGMS.
 - g. Grant recipients will not initiate, obligate, or incur any revised program cost until the signed amendment or denial letter is received. If it is discovered the grant recipient made changes to projects or budgets without prior approval, IDHS reserves the right to deny reimbursement of those costs even if they are eligible under the grant program. If funds were already paid to the recipient for the costs, IDHS reserves the right to request the issued funds be immediately repaid to the state.
3. Procurement - Grant recipients will use their own procurement procedures to incur costs under the grant program. These procedures must be consistent with applicable state (description of state procurement requirements contained in Appendix A) and federal procurement rules and regulations. All procurements will be conducted in a manner providing full and open competition. Methods of procurement to be followed include:
- a. Procurement by small purchase procedures;
 - b. Procurement by sealed bids (formal advertising);
 - c. Procurement by competitive proposals;
 - d. Procurement by noncompetitive (sole source) proposals and may be used only when:
 - i. The award of a contract is infeasible under small purchase procedures, sealed bids or competitive proposals and one of the following circumstances applies:
 - a. The item is available only from a single source;
 - b. After solicitation of a number of sources, competition is determined inadequate;
 - c. Failure to procure the item from the specified vendor will result in harm to the agency.
4. Cash Management. Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred. Recipients will time their drawdown requests to ensure that federal cash on hand is the minimum needed for disbursements to be made immediately or within a few days. Grant recipients will therefore implement procedures for minimizing the time elapsing between the transfer of funds from the state and disbursement.
- a. Reimbursement requests will be initiated by grant recipients only after they have incurred an eligible cost within the grant program guidelines and as per

approved projects and budgets. Grant recipient will submit requests for funds via the iGMS with accompanying proof of cost (e.g. invoices sent via fax, e-mail or standard mail). The iGMS will not accept reimbursement requests outside the liquidation period of the grant. When filed, staff will:

- i. Validate reimbursement request in next 5 business days by ensuring:
 - a. Costs are in line with program narrative and budget worksheets,
 - b. Supported by appropriate proof of costs; and
 - c. Adequate funds are in the recipient's budget with respect to funds being requested.
 - ii. Contact grant recipient for additional information or clarification for any costs that cannot be validated before submission for payment.
 - iii. Submit validated reimbursement requests to the Fiscal Section for payment and update the iGMS to reflect the approved reimbursement which will indicate the request has been sent for payment.
 - iv. Once funds have been disbursed by the Auditor of State, grants staff will update the Disbursements module of the iGMS to reflect the amount, date and warrant number.
- b. Grants/program staff, via the monitoring program, will randomly evaluate cash draw downs by grant recipients to assure conformance to cash management standards.
 - c. Every effort is made to avoid instances where the grant recipient is given more funds than was requested or that can be supported by inspection, review, or audit. If it discovered that the grant recipient receives more funds than requested or required, grants/program staff will:
 - i. Contact the grant recipient and identify the amount of funds overpaid; and
 - ii. Direct the grant recipient to remit the funds back to IDHS within fifteen (15) days.
 - iii. If the grant recipient refuses to pay back the funds requested, this would be cause for suspension or termination of grant award. Grants staff will also recommend the case be referred to the Attorney General's office for collection of the funds due. Grants Management Section Chief will coordinate this action thru IDHS Legal Services.
5. Performance Reports.
- a. Quarterly performance and fiscal reports will be submitted via the iGMS and document all pertinent programmatic and fiscal activity.
 - b. Grants/program staff will coordinate with grant recipients to request and receive programmatic or administrative reports as/if requested by the DHS or the Executive Director.
6. Performance Period². A grantee may only incur costs during the performance period specified in the iGMS. If grant activities cannot be completed within the original program period, the grant recipient will either request a performance period extension or will de-obligate their awards.
- a. Three months prior to the conclusion of a grant recipient's performance period, Grants/program staff will survey recipients via the iGMS to determine their ability to conclude activities within the performance period.

² The Performance Period of each sub-grant agreement is determined by the date of the full execution of the grant and recorded in the iGMS.

- b. Grant recipients that cannot complete activities within the performance period but desire additional time in which to complete activities will be directed to submit a GAN for a program extension to IDHS via the iGMS. IDHS may require justification to include:
 - i. Specific actions-steps needed to ensure completion of program activities;
 - ii. Changes to appropriate projects and budgets necessary to complete program activities;
 - iii. Timeline in which necessary steps will be accomplished; and
 - iv. Reasons why program activities were not completed within the original program period.
- c. Grants staff will evaluate all extension requests and provide a recommendation to the Grants Management Section Chief as to which extensions should or should not be granted, to include specific reasons for each. The Grants Management Section Chief will:
 - i. Determine which extensions to approve or reject, and brief Executive Director accordingly.
 - ii. Direct grants/program staff to initiate GAN approvals for approved requests or denials for rejected requests. Notices will detail reasons for denial of any such request.
 - iii. Notices will be sent within seven business days via the iGMS.
- d. Grant recipients that cannot complete activities and do not request a grant extension will receive a de-obligation notice at the end of their performance period. The award amount in the iGMS will be changed to reflect the award amount after de-obligation.
- e. De-obligated funds will be awarded to other grant recipients or expended by IDHS.
 - i. Primary focus will be given to awarding funds to local and district projects previously submitted that met grant guidelines for which funding was not available at the time.
 - a. If funding must be awarded to local units of government, eligible entities will be directed to submit projects for funding consideration.
 - ii. Secondary focus will be given to state agency projects previously submitted that met grant guidelines but for which funding was not available at the time.
 - a. Grants staff will first ensure the required allocation of funds to state agencies does not violate the requirement to pass-thru a minimum percentage of funds to local units of government.
 - iii. Final focus will be given to funding projects or costs for IDHS.
 - a. The Executive Director may determine that there is not enough time to re-obligate the remaining funds or the funds remaining are not sufficient enough to re-obligate as defined above. In this case, the Executive Director will direct the funds be obligated by IDHS.
 - iv. Final focus will be to de-obligate the remaining funds back to US DHS and conclude the grant program.
- f. Six months prior to the conclusion of the state's federal program period, grants/program staff will evaluate the need to request a federal extension in order to allow grant recipients additional time to conclude grant activities or time for the state to re-obligate funds.

- i. Grants Management Section Chief will coordinate with appropriate Program staff to provide the Research and Policy Development Branch Chief a recommendation on the need and reasons to request a federal extension. The recommendation will include a synopsis of which grant recipients required additional time to complete program activities, which did not require additional time and had funds to re-obligate, and how to re-obligate any remaining funds.
 - ii. Policy Development and Research Branch Chief, with concurrence of the Planning Division Director and Executive Director, will approve or modify the recommendation and direct grants staff to forward for federal approval, or direct staff to conclude the respective program.
 - iii. Once requested and approved, grants staff will forward copies of federal extensions to appropriate agency sections.
 - a. Staff will draft and issue GANs or issue new agreements to grant recipients based on approved recommendation.
- 7. Enforcement. If the grant recipient materially fails to comply with any term of an award, whether stated in a federal statute or regulation, an assurance, in state guidance, a notice of award, or elsewhere, IDHS may suspend, in whole or part, or terminate the recipient's award.
 - a. If suspension of the award is recommended, the Grants Management Section Chief, in coordination with appropriate grants/program staff, will:
 - i. Confirm what actions justify and warrant a suspension;
 - ii. Confirm what actions and timeframe are needed to resolve the situation;
 - iii. Brief recommended actions and timeframes with the Policy Development and Research Branch Chief who will in turn approve or modify actions and timeframes to be taken;
 - iv. Once approved, discontinue all reimbursements in the iGMS and advise the IDHS Fiscal Branch what to do with funds previously requested but not yet passed thru to the recipient.
 - v. Direct grants/program staff to issue a letter via the Executive Director's signature to the grant recipient that explains:
 - a. The findings/issues at hand;
 - b. Actions needed to be taken to resolve those issues;
 - c. The timeframe in which to complete those actions;
 - d. How grants/program staff will confirm the actions taken have/not resolved the situation;
 - e. How/if the temporary suspension will be lifted; and
 - f. How failure to comply may/will result in termination of the grant recipient's award.
 - vi. Grants/program staff will assist or monitor the actions taken by the grant recipient to resolve the situation, and will recommend either:
 - a. Lifting the temporary suspension once the situation is resolved. In this case, the Grants Management Section Chief will:
 - i. Confirm the situation is resolved;
 - ii. Direct staff to issue letter to the grant recipient that the suspension is lifted;
 - iii. Brief IDHS Fiscal Branch that the suspension is lifted and to resume funding as per the grant award.

- b. Terminate the grant recipient's award if/when actions taken do/will not satisfactory resolve the situation. In this case, the Grants Management Section Chief will follow the steps below to terminate the award in consultation with the IDHS Legal Section.
 - b. If termination of the award is recommended by grants/program staff or requested by the grant recipient, the Grants Management Section Chief will:
 - i. Confirm the desire to terminate the award;
 - ii. Brief recommended reasons for termination with the Policy Development and Research Branch Chief, Planning Division Director, Fiscal Branch Chief, and Legal Counsel (if needed), and subsequently the Executive Director. The Executive Director will:
 - a. Make final approval to terminate any such award; or
 - b. Direct grants/program staff to take necessary actions and timeframes to temporarily suspend the award and resolve the situation.
 - iii. Once termination is approved, grants staff will advise the IDHS Fiscal Branch to stop any/all payments to the grant recipient. Any funds currently requested will be denied.
 - iv. Direct grants/program to issue a letter to the grant recipient (for Executive Director's signature) that states:
 - a. Their award is terminated at that time;
 - b. Reasons for the termination;
 - c. What funds or equipment must be returned, if needed,
 - d. How/if to appeal the decision; and
 - e. That the grant recipient is still liable for all funds previously received and expended.
 - c. Grant recipients may, under their own initiative, notify IDHS and request in writing at any time the termination of their award.
- 8. Appeals. Grant recipients may appeal any decision by IDHS as it relates to any enforcement action taken in regards to the implementation of its grant program.
 - a. Grant recipient will request, in writing, an appeal of any action to the Executive Director. Grant recipient must provide sufficient information to allow the Executive Director to determine the facts and validity of the request. The appeal shall be in writing and submitted within thirty (30) days from the date of the action being appealed. The Executive Director will:
 - i. Issue a response, in writing, within 15 days from receipt of the appeal.
 - ii. Either uphold the actions taken, modify the actions taken, or reverse the actions taken.

Grant Program Monitoring-Assistance

IDHS is responsible for managing the day-to-day operations of grant and sub-grant activities. IDHS will assure grant recipients comply with applicable Federal requirements to include achievement of performance goals. Sub-grantee monitoring must cover each program, function, or activity. This will include a comparison of actual accomplishments and costs to the proposed objectives budgets established in the grant awards. Monitoring will be accomplished through Fiscal and Monitoring Reviews. IDHS will conduct on-site monitoring visits for six sub-recipients each state fiscal year and will continue its practice of office-based monitoring on a quarterly basis.

1. Fiscal Reviews will be accomplished in accordance with federal Single Act Audit requirements, or by audits conducted by the State Board of Accounts (SBOA) office and/or the DHS Office of Inspector General (OIG). Note, IDHS Grants and/or Fiscal staff will NOT complete independent financial or fiscal audits of grant recipients. Instead, they will monitor grant recipient fiscal activities as discussed below in item (2).
 - a. Grant recipients are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A133, "Audits of States, Local Governments, and Non-Profit Organizations." The Audit shall be made by an independent auditor in accordance with generally accepted government auditing standards covering financial audits. This requirement is defined in the sub-grant agreement and as well as the respective local and federal grant guidance. The results of each grant recipient's Single Audit will be reviewed by respective Grants/Program/Fiscal staff to identify, address, and resolve any findings directly with the grant recipient.
 - i. If findings are issued and necessitate taking action with/against a grant recipient, appropriate Grants/Program staff will:
 1. Review internal records, with internal Fiscal staff as needed, to confirm or deny the findings.
 2. Contact the grant recipient in question and review the findings, and identify steps/actions needed to address and resolve those findings.
 3. Document in the grant recipient's file those actions taken with/by the grant recipient to address and resolve the findings (to include an on-site monitoring Visit if warranted).
 4. If funds must be returned, direct how to repay those via the Fiscal office.
 - ii. If findings are not issued, appropriate Fiscal staff will simply annotate in the grant recipient's file that the Single Audit was reviewed and found to contain no findings.
 - b. Financial audits of grant recipients may be accomplished by the SBOA based on their internal agency requirements and timelines. Grants staff will review and address the SBOA audits as necessary and:
 - i. Identify the State accounting system a master list of grant recipients that received federal grant funding during the state fiscal year;
 - ii. Identify from that list those grant recipients receiving more than \$10,000;
 - iii. For those recipients, review the SBOA website and obtain released audit reports, and as necessary request any management letters issued by the SBOA for those audit reports;
 - iv. Identify any finding, recommendation, or corrective action related to homeland security grant funds in the audit reports and/or management letters; and
 - v. Compile and submit a summary report to IDHS Grants Management Section Chief with regards to each audit report and management letter, and will specifically identify those which require requirement action by IDHS.
 - c. The respective Grants/Program Staff will monitor the grant recipient to ensure they implement the directed steps/actions as intended. Failure to comply may

- result in the suspension or termination of the grant recipient's award. Staff will file all related reports and letters in the appropriate grant recipient file.
- d. Financial audits of grant recipients may also be accomplished by the US DHS OIG based on their internal agency requirements and timelines. Grants staff will review and address any finding or recommendation provided in the US DHS OIG audit. Recommended actions to take to resolve any finding or recommendation will be briefed to the Executive Director for concurrence before enacting any such action.
 - i. With the Executive Director's concurrence, the appropriate Grants/Program Staff will work with the grant recipient (as discussed above) to address the respective US DHS OIG finding and/or recommendation, and to implement the IDHS directed corrective actions.
 - ii. The respective Grants/Program Staff will monitor the grant recipient to ensure they implement the directed steps/actions as intended. Failure to comply may result in the suspension or termination of the grant recipient's award.
 - e. Programmatic reviews are accomplished to validate a grant recipient's compliance and adherence to the particular grant program's requirements and restrictions.
 - i. Scheduling of programmatic reviews will be completed on a risk based formula.
 - 1. The following risk based formula will be used to determine the priority of conducting a programmatic review.
 - a. Time since last programmatic review. (weighted times two)
 - i. Less than 1 year
 - a. 1 point
 - ii. Less than 2 years
 - 1. 2 points
 - iii. Less than 3 years
 - 1. 3 points
 - iv. Has not been monitored
 - 1. 4 points
 - b. Single Audit Result. (weighted times three)
 - i. No findings or management letter for sub-grantee or parent organization.
 - 1. 1 point
 - ii. No findings but management letter associated with Homeland Security Programs.
 - 1. 2 points
 - iii. Homeland Security Programs not reviewed in single audit.
 - 1. 3 points
 - iv. Finding for parent organization but not related to Homeland Security Programs.
 - 1. 4 points
 - v. Finding for sub-grantee but not associated with Homeland Security Programs.
 - 1. 5 points
 - vi. Finding for Homeland Security Programs.

- vii. 6 points
 - c. Level of funding. (weighted times 1)
 - i. \$0 to \$50,000.00
 - 1. 1 point
 - ii. \$50,000.01 to \$100,000.00
 - 1. 2 points
 - iii. \$100,000.01 to \$250,000.00
 - 1. 3 points
 - iv. \$250,000.01 to \$1,000,000.00
 - 1. 4 points
 - v. \$1,000,000.01 and higher
 - 1. 5 points
 - d. Statuses of recipient as “high risk³” (weighted times two)
 - i. Fewer than two criteria met
 - 1. 1 point
 - ii. Two criteria met
 - 1. 2 points
 - iii. Three criteria met
 - 1. 3 points
 - iv. Four criteria met
 - 1. 4 points
 - v. Five criteria met
 - 1. 5 points
- ii. Reviews will evaluate programmatic activities to include grant administration and fiscal compliance. Reviews of grant recipients’ files and processes are sufficient to:
- 1. Permit the tracing of funds to specific expenditures and to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable federal and state grant guidance;
 - 2. Accomplishing programmatic goals-objectives defined in the grant recipients’ application in support of specific State Homeland Security Strategy (SHSS) and the National Priorities.
- a. A program monitoring review may evaluate all or only a random sampling of grant activities within a given grant program. A review may include activities within one or more open grants and/or recently closed grants.
 - b. Program monitoring will be accomplished via Desk or On-site Monitoring Review as outlined below. Program reviews will be completed by the appropriate Grants and/or Program staff for those respective portions of the grant they administer on a daily basis. Grants/Program staff will also provide grant recipients routine technical assistance that enables them to comply with applicable federal and state grant guidance in the administration and implementation of the grant programs.
 - i. Desk Reviews are completed in the IDHS office by the respective staff and will evaluate a specific cost or activity within a single open grant. In the desk review process, Staff will:
 - 1. Contact the grant recipient, via phone or email, and identify the specific cost or grant activity that is to be reviewed;

³ “High risk” criteria specified in *Grant Recipient Pre-Award Administration* 2.b.i-v.

2. Direct the grant recipient to submit specific documentation that clarifies or further supports the specific cost or grant activity;
 3. Provide the grant recipient written feedback within five (5) days of receipt of the requested materials that shows the documentation:
 - a. Successfully validated the specific cost or activity and no further actions are needed;
 - b. Identified a weakness in the management of the cost or activity, and requires staff to make recommendations to correct the weakness and request feedback to show how the recommendations are to be implemented; or
 - c. Identified a finding that requires an immediate corrective action and possible suspension or termination of an award, and requires staff to direct the recipient to immediately initiate corrections and provide additional documentation to show how the corrective actions are to be implemented.
 4. Complete an on-site monitoring review to confirm any corrective actions were successfully implemented;
 5. Complete a minimum of one desk review per calendar year for each open grant for each grant recipient; and Document each review in the grant files to include date initiated, summary of the review, any recommendations or corrective actions needed, and the recommendations and corrective actions taken.
- ii. On-site monitoring reviews are completed at the grant recipient's office by a one or more Grants/Program staff and, if needed, one or more Fiscal or programmatic staff. The review will evaluate specific costs and fiscal/grant activities, to include programmatic achievements, within any open or recently closed grant. The review may also include the inspection of equipment purchased with grant funds. In the on-site review process, staff will:
1. Contact the grant recipient, a minimum of thirty (30) days prior to the review, and identify the intent to complete an on-site review and to set a date for the review;
 2. Provide the grant recipient, in writing, the specific costs and grants to be reviewed;
 3. Direct the grant recipient to prepare, and as able submit prior to the review, specific documentation that clarifies or further supports the specific costs or grant activity;
 4. Conduct the review, and as needed take additional information back to the office to complete the review;
 5. Provide the grant recipient via the Grants Management Section Chief a formal report, in writing, within fifteen (15) days of the review that identifies:
 - a. Program activities that are being successfully completed and could be shared with other grant recipients as a best practice.
 - b. Weaknesses in the management of a cost or activity, and requires staff to make recommendations on how to correct the weakness and requests the recipient to

- report back how the recommendations are to be implemented.
 - c. Findings that require immediate corrective actions and possible suspension or termination of an award, and requires staff to direct the Recipient to immediately initiate corrections and provide additional documentation to show how the corrective actions are to be implemented.
 - 6. Complete additional on-site reviews as necessary to confirm corrective actions were successfully implemented.
 - 7. Complete a minimum of one on-site review per grant performance period for each open grant in excess of \$100,000 for each grant recipient.
 - 8. Conduct on-site monitoring as warranted for high-risk recipients.
 - 9. Document each review in the grant files to include date initiated, summary of the review, any recommendations or corrective actions needed, and the recommendations and corrective actions taken.
 - iii. Technical Assistance will be provided to grant recipients via conferences, workshops, and one-on-one recipient training.
 - 1. Grants/program staff will provide instruction and guidance on grant programs during annual IDHS/EMA Conferences. Fall conference agendas will address upcoming grant opportunities to include any new federal or state initiatives.
 - 2. State and/or District workshops will be provided as needed to explain new federal or state initiatives in more detail or to address specific local-regional questions. Workshops will also be provided, schedule permitting, to groups of eligible grant recipients requesting specific training or education on grant program activities.
 - 3. One-on-one training will be limited to the availability of Grants/Program staff to provide assistance to a single grant recipient. Preference will be given to new grant recipient program managers or administrators.
- c. Grant recipients will comply with any corrective action recommendations or directives made as a result of a monitoring review. Failure to comply is grounds for suspension or termination of the grant recipient's award and inclusion as a high risk recipient.

Reporting Requirements

1. Quarterly Report. Grant recipients will complete and submit required quarterly financial and programmatic reports as per requirements in the sub-grant agreement via the iGMS. Grant staff will provide a reminder to grant recipients at the end of each quarter. The reports will be submitted via the iGMS with signed copies of each submitted report will be provided to the grants staff via mail, e-mail, or fax.
 - a. Quarterly reports are due no later than 15 days after the close of the reporting period. Delays in report submission will result in funding freeze.
2. Final quarterly reports must be submitted via the iGMS no later than 30 days after the close of the performance period of the grant.

Inventory Requirements

According to federal guidelines and regulations, sub-grantees are required to be prudent in the acquisition and management of property acquired with federal funds. A sub-grantee must submit a description of its property management system, either in its grant application or when otherwise requested by IDHS. If the sub-grantee does not employ an adequate property management system, project costs associated with the acquisition of the property may be disallowed.

1. Definition. Equipment is tangible, non-expendable property having a useful life of more than one year and an acquisition cost of \$500 or more **per unit**.
2. Maintain Accurate Property and Equipment Records. Property records shall include:
 - a. Description of the property
 - b. Manufacturer's model number
 - c. Manufacturer's serial number or other identification number
 - d. Vendor
 - e. Acquisition date
 - f. Award number
 - g. Federal grant number
 - h. Percentage of Federal participation in the cost of the project for which the property was acquired
 - i. Unit acquisition cost
 - j. Physical location of the equipment
 - k. Condition of the equipment as of the date the information is reported
 - l. Disposition of the equipment: Date of disposal, how and to what entity equipment was disposed, sales price
3. Conduct a Physical Equipment Inventory. The sub-grantee is required to conduct a physical equipment inventory and submit its physical equipment inventory report (Appendix B) with the quarterly progress report due on April 15th of each year to IDHS.
4. Implement Safeguards to Prevent Loss, Damage or Theft of Equipment. A control system shall be in effect to ensure adequate safeguards to prevent loss, damage, or theft of the property. A sub-grantee must submit a description of its control system either in its grant application or when otherwise requested by IDHS. Sub-grantees are responsible for replacing or repairing the property which is willfully or negligently lost, stolen, damaged or destroyed. Any loss, damage or theft of the property must be investigated and fully documented, and made part of the official project records. The investigation report and documentation shall be submitted with the annual physical equipment inventory report submitted to IDHS.
5. Implement Equipment Maintenance Procedures. Adequate maintenance procedures shall be implemented to keep the property in good condition. A sub-grantee must submit a description of its equipment maintenance procedures either in its grant application or when otherwise requested by IDHS.
6. Disposition. Equipment with a fair market value of \$5,000 or more must include reimbursement to the Federal government using the percentage of Federal participation in the original cost of the equipment. Equipment with a fair market value of less than \$5,000 may be used by a sub-grantee for other activities, sold, transferred, parted out as salvage, or otherwise disposed without reimbursement to the Federal government of its percentage share, and retain the proceeds. In any case, documentation must include the method used to determine current fair market value. All dispositions shall be coordinated with IDHS, and Federal reimbursements shall be processed through IDHS.

<u>Example:</u>	
Acquisition cost of a boat purchased in 2004:	\$50,000
Percentage of Federal funding at acquisition:	100%
If fair market value of the boat in 2009:	\$15,000
Then reimbursement to the Federal government in 2009:	\$15,000
If fair market value of the boat in 2014:	\$4,500
Then reimbursement to the Federal government in 2014:	\$0

File Management

1. Grants/program staff will maintain a separate grant recipient file each award issued. Grant files will be segregated and contain the following information for each award issued. Where practicable, these files will be kept via the iGMS and readily available to grant recipients.
 - a. Notice of Award & Grant Agreement, to include Amendments.
 - b. Project Narratives – Grant Application information
 - c. Equipment Budgets – Cash Requests
 - d. Planning, Organization, Training, Exercise, Admin Budgets – Cash Requests
 - e. Monitoring Review Activity Log – Reports
 - f. Audit Review Activity Log – Reports
 - g. General Correspondence with grant recipient
2. The Grant Management Section Chief will maintain a separate electronic folder to track each federal award issued to the state, to include:
 - a. Federal award
 - b. Grant adjustment notices
 - c. Federal program guidance, to include applicable Information Bulletins
 - d. State grant application materials, to include federal correspondence on same
 - e. Categorical Progress Reports
 - f. Financial Status Reports
 - g. Grant recipient guidance, to include applicable forms
 - h. General correspondence with federal granting agency
 - i. Final 269 reports and closeout documents to include information on final draws from federal treasury.
3. Fiscal Branch staff will maintain all financial reports/records necessary to document and show funds requested from federal agency and funds paid out to grant recipients through the state auditor.

POST-AWARD PHASE

This phase starts with the closeout and reconciliation of grant recipient awards, continues through the final reconciliation and reporting to DHS of fiscal/program costs/activities, and concludes with archival of grant materials.

Reconciliation and Closeout

Grant/program staff will close out individual grant recipient awards, and complete final entry/review of iGMS information. Grant staff will close out financial status for all grant recipients and IDHS awards with the Fiscal Branch. Respective Division and Executive Directors will be briefed on final status of grant. Final financial and program reports will be filed with appropriate federal program offices. Grant files will be consolidated for future auditing and eventual historical closure.

1. Grant Recipient Awards. Once a grant recipient has completed all work under the grant and has made their last cash request, Grants/program staff may initiate and complete the closeout process. This process may be completed even though the recipient's performance period is still open, but will be completed no later than 60 days after the end of their performance period.
 - a. If not already received, grants staff may request the grant recipient submit written notification and verification, certified by their fiscal office, that all funds drawdown have in fact been disbursed and no respective grant funds remain in any local account. This can be provided in the final quarterly report submission.
 - b. Complete a final desk review of the grant recipient file/account:
 - i. Confirm reimbursement requests total the grant recipient's final award total (as adjusted by any additions to or de-obligations of funding);
 - ii. Confirm a final budget (submit final GAN) is on file and that it accurately reflects the expenses incurred and paid for during the grant program period,
 - iii. Confirm all program projects are complete, and request proper documentation to certify final program activity status;
 - iv. Review the grant recipient's file to ensure all necessary reports and correspondences are on-hand. Note: Grant recipients will be required to complete final quarterly report. The respective grants/program coordinators will not close out the account unless the final report is complete.
 - v. Issue a letter to the grant recipient (Appendix C) noting that their respective grant award has been properly executed, all activities are complete and funds expended in accordance with grant guidelines, and thus their grant agreement has now terminated.
 - vi. Enter appropriate notation into the iGMS that spending is complete for the grant recipient.

Note: *If any errors, omissions, or mistakes are uncovered in any of the above steps, the grants staff will resolve the issues directly with the grant recipient and/or Fiscal. The grant recipient account will not be closed until all issues are resolved. All issues must be resolved NO LATER THAN 30 days following the end of the grant program period.*

- vii. The closeout of a grant does not affect:
 - a. IDHS's right to disallow costs and recover funds on the basis of an audit after the closeout or additional monitoring reviews; or
 - b. The grantee's obligation to return any funds due as a result of later refunds, corrections, or other transactions.
 - viii. The Grants Management Section Chief will cross-check the iGMS and to confirm *all* grant recipients' accounts have been properly closed. They will then cross-check total grant figures with Fiscal Branch to confirm all funds have been properly drawdown and disbursed to grant recipients (including IDHS). Discrepancies will be resolved NO LATER THAN sixty (60) days following the end of the grant period.
 - ix. Final grant recipient allocations and expenditures will be briefed to respective agency directors by the Grants Management Section Chief.
2. State-Federal Award
- a. As grants/program Staff reconcile and close out grant recipient awards, the Grants Management Section Chief will coordinate with the Fiscal Branch to complete final reconciliation of the state's federal award. Grants and fiscal staff will reconcile federal drawdown reports as compared to state revenue and disbursement reports.
 - b. The Fiscal Branch will prepare records necessary to complete and submit final Financial Status Report (SF-269) in conjunction with the Grants Management Section Chief. The Fiscal Branch will submit the report NO LATER THAN ninety (90) days following the end of the federal program period.
 - i. If it is determined that IDHS cannot complete such a report by that deadline, the Grants Management Section Chief will submit thru the Research and Policy Development Branch Chief, the Planning Division Director and Executive Director a request for a federal extension of the reconciliation period.
 - ii. Grants staff will provide the appropriate documentation to justify the need for the extension.
 - iii. Once an extension is approved, grants and fiscal staff will ensure final reconciliation will be submitted within the extended period.
 - c. Grants staff will oversee submission of the final Bi-Annual Strategy Implementation Report (BSIR). Grants will coordinate with the applicable Program offices to confirm final programmatic activities and reports have been completed and submitted as directed. Grants will then draft and submit thru the Executive Director a final letter to the grantor indicating all grant activity and spending is complete.

Long-Term Grant Management

- 1. Grant Recipient.
 - a. Record Management. Once the state submits its final fiscal and programmatic reports to the grantor, the Grants Management Branch will issue a letter to all grant recipients that the final state report for closeout has been submitted. The recipients will then plan to maintain their grant files for a minimum of three (3) years from that date unless local record retention rules

dictate a longer timeframe or as dictated by the grantor. However, as per federal regulations, the retention period for equipment records starts from the date of the equipment disposition.

- i. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later.
 - ii. Once retention period is complete, grant recipient will follow local procedures to archive the files as necessary.
- b. Equipment Management. Equipment shall continue to be used for which it was acquired as long as needed or until disposition takes place, whether or not the project or program continues to be supported by federal funds. When no longer needed for the original program or project, the equipment may be used in other activities currently or previously supported by a federal agency. When original (or replacement) equipment is no longer needed, disposition of the equipment will be coordinated by the grant recipient with IDHS.
- c. Grants staff will continue to monitor and review single audit and Auditor of State records for closed grants, and will respond to any recommendations, findings, or issues as per monitoring procedures as previously defined.

2. IDHS

- a. Record Management. Grants staff will coordinate with appropriate program and fiscal staff to gather applicable grants records to ensure they contain appropriate documentation. Except as otherwise provided, records must be retained for three years starting from the day IDHS submits to the grantor its last expenditure report for the respective grant. However, the retention period for equipment records starts from the date of the equipment disposition.
 - i. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later.
 - ii. Once retention period is complete, grants staff will coordinate with the Legal Branch for submission of files for archive.
- b. Equipment Management. The equipment will continue to be used for which it was acquired as long as needed or until disposition takes place, whether or not the project or program continues to be supported by federal funds. When no longer needed for the original program or project, the equipment may be used in other activities currently or previously supported by a federal agency. When original (or replacement) equipment is no longer needed, disposition of the equipment will be made per 28 CFR 66 and/or appropriate grantor guidelines.
 - i. Local support staff will document the disposition of all equipment and forward copies of that disposition to the Grants Management Branch when practicable. Grants staff will add that information into grant files unless already submitted for archive. In this case, Grants will forward the disposition records for archive with the original grant files.

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APPENDICES

Appendix A – Procurement Requirements

Federal Requirements Applicable to State and Local Government Grant Recipients

The following is a very brief summary of a complex federal regulation (44 CFR 13.36). These requirements are applicable to all procurements (including procurements for services) using any federal grant funds. In addition to complying with any applicable state or local procurement requirements, grant recipients must comply with the following federal procurement requirements:

(1) GENERAL REQUIREMENTS

- Maintain a contract administration system which ensures that contractors perform in accordance with the terms, conditions, and specifications of the contract or purchase order.
- Maintain a written code of standards of conduct of their employees engaged in the award and administration of contracts. No employee, officer, or agent of the recipient shall participate in the selection, award or administration of a contract (supported by federal funds) if a conflict of interest, real or apparent, would be involved.
- Maintain records which detail the history of a procurement including rationale for selection, etc.
- Not use time and material contracts unless no other type of contract is suitable and other specified criteria are applicable.
- Have protest procedures to handle and resolve disputes.
- Take necessary and affirmative steps to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible.
- A cost and price analysis must be performed in connection with every procurement action (including amendments).

(2) COMPETITION REQUIRED

- All procurements will be conducted in a manner providing full and open competition consistent with the standards established in Section 13.36.
- The use of in-state or local geographical preferences is prohibited.
- Grant recipients must have a written selection procedure for procurements that govern the following:
 - Clear and accurate description of the technical requirements.
 - Identify all requirements that bidders must fulfill and all other factors to be used in the evaluation of bids.

(3) METHODS OF PROCUREMENT

The following methods of solicitation shall be followed:

- **Small Purchase Procedures (\$100,000 or less):** These can be relatively simple and informal procurement methods to obtain price or rate quotations from an adequate number of qualified sources.
- **Procurement by Sealed Bids:** Bids are publicly solicited and a firm fixed price contract is awarded to the responsible, qualifying bidder whose bid is the lowest in price.

- Needs a complete, adequate, and realistic specification or purchase description.
- Two (2) or more responsible bidders are willing and able to compete for the business.
- The procurement lends itself to a firm fixed price contract and the selection of the bidder can be made principally on the basis of price.
- Invitation for bids must be publicly advertised, bids shall be solicited from an adequate number of known suppliers, and they shall be provided sufficient time to respond to the bid request.
- **Procurement by Competitive Proposals:** This procurement method is normally conducted with more than one source submitting an offer, and either a fixed-price or cost-reimbursement type contract is awarded. It is generally used when the conditions are not appropriate for the use of sealed bids.
 - Requests for proposals will be publicized and identify all evaluation factors and their relative importance.
 - Proposals will be solicited from an adequate number of qualified sources.
 - The local recipient must have a method for conducting technical evaluations of the proposals and for selecting the awardees.
 - Awards will be made to the responsible bidder whose proposal is most advantageous to the program, with price and other factors considered.
- **Procurement by Noncompetitive Proposals:** This procurement method is conducted by solicitation of a proposal from only one source, or after solicitation of a number of sources, competition is determined inadequate. This method may only be used when the award of a contract under small purchase procedures, sealed bids or competitive proposals is infeasible and one of the following is applicable:
 - The item is available only from one source.
 - The public exigency or emergency for the requirement will not permit the delay that would result from a competitive solicitation.
 - The federal awarding agency authorized noncompetitive proposals.
 - After solicitation of a number of a number of sources, competition is determined inadequate.

For all noncompetitive procurements, a cost analysis is required and the grant recipient may be required to obtain approval from the awarding agency for pre-award review.

Under the Homeland Security Grant Program (which includes the State Homeland Security Program (SHSP), Law Enforcement Terrorism Prevention Program (LETPP), Citizen Corps Program (CCP), Metropolitan Medical Response System (MMRS), and the Urban Areas Security Initiative (UASI)), Emergency Management Performance Grant Program, and Buffer Zone Protection Program, the Indiana Department of Homeland Security has to conduct a pre-award review of any proposed noncompetitive award of \$100,000 or more.

State Requirements Applicable ONLY to State Government Grant Recipients

Streamlining Program

All agencies have the delegation of authority to solicit their own quotations with an estimated dollar amount of less than \$5,000. However, certain agencies have special delegation under the streamlining program. The program consists of the delegation of purchasing authority up to \$25,000 or \$75,000 for agencies who qualify. These agencies are required to follow the same statutes, laws and policies that the Department of Administration, Procurement Division follows. Under IC 5-22-8, the Indiana Department of Administration may use Small Purchasing Procedures for all requisitions not exceeding \$75,000.

Agencies with the delegation of authority to procure under the new streamlining delegation have the authority to request telephone quotations and pay by Claim Voucher, a method of payment, directly to the Auditor's Office on Requests for Quotation with an estimated dollar amount of less than \$5,000 or \$25,000 depending on delegation authority. For quotations with an estimated dollar amount greater than \$2,500 and less than \$75,000, the requesting agencies have the authority to solicit their own quotations. However, these are still currently being processed through the Procurement Division for a Purchase Order, when they are above the agency's delegation. To find the delegation level for a specific agency, visit the IDOA Procurement Division website at <http://www.in.gov/idoa/proc/personnel.html> and click on the link titled Agency Purchasing Administrators.

Requests for Quotation (RFQ) - \$500 to \$2,500

Requests for Quotation less than \$2,500 are solicited by the agency. The agency may contact bidders by phone or in writing. The agency must contact bidders in writing for quotes for printing purchases within this dollar amount. The agency must select at least three (3) known vendors to contact concerning the Requests for Quotation, along with the specifications. There is not a set time frame by law that these quotations must be on the street. However, we ask the agencies to allow at least seven days whenever possible. After quotations are received by the vendor and they have responded, the agency reviews the quotations and makes an award. Upon an award, a purchase order is issued. The agency will make payment for POs within this dollar amount by claim voucher.

Requests for Quotation (RFQ) – \$2,500 to \$75,000

Requests for Quotation with an estimated dollar amount greater than \$2,500 but less than \$75,000 are solicited by the agency. The agency determines the need and writes the specification. The agency then selects at least three (3) known vendors to send the Requests for Quotation to, along with the specifications (IC 5-22-8-3(b)). The agencies must allow the solicitation to remain open for at least seven (7) days whenever possible. After quotations are received by the vendor and they have been reviewed, the agency awards the quote and creates the PO up to their authority. If the solicitation is above their streamline authority the agency sends the request with all necessary paperwork to the Procurement Division for processing. A Procurement Division Purchasing Administrator reviews the quotations and makes an award. Upon an award, a purchase order is issued. Agencies will make payment for the PO created by claim voucher up to \$5,000 or \$25,000 depending on their streamline delegation (\$25,000 or \$75,000). If the

PO is above the streamline delegation the funds will be encumbered by Procurement with the Auditor of State.

Small Business Set-Aside Program

Created by IC 5-22-14, the Small Business Set-Aside program was put in place to promote the growth and success of small businesses. Commodities (including printing) (IC 5-22-14-4) identified below have been chosen to participate based on the small business community that is known to be capable of supporting the needs of the State, while still allowing fair and equitable competition in the procurement process. The program is applicable to commodity purchases between \$5,000 and \$25,000, and printing purchases between \$5,000 and \$15,000.

Soliciting quotations for purchases that qualify under the Small Business Set-Aside requirement should be done using the same documents and the same processes as would be used for any other purchase within these estimated dollar amounts. Indiana Code (IC) 5-22-14-6, however, dictates that only bidders who qualify as small businesses should be solicited. See Appendix G for definition of a Small business (IC 5-22-15-23).

ITEM	UNSPSC CODE
• First Aid/Safety Equipment	42170000, 42290000, 46180000
• Hardware and relative items	24110000, 31162700, 46171500
• Badges/Emblems	55120000
• Hand Tools	27111500
• Personal Computer Hardware/Peripherals	43000000, 26121600
• Personal Computer Software	43190000, 43230000
• Police Equipment	46000000
• Plumbing Equipment	30180000
• Building Maintenance Materials	72100000
• Printing	82121500

Invitation for Bid (IFB) – Greater than \$75,000

Invitations for Bid vary from Requests for Quotation only in procedural requirements, and that the processing of IFB is done by the Procurement Division buyers. Invitations for Bid are issued and must be open for fourteen (14) days. They must be publicly advertised for two consecutive weeks. Bids obtained by Invitations for Bid rules are opened, read publicly and microfilmed at the bid closing date and time.

Negotiated Bidding – Greater than \$75,000

Negotiated Bids vary from an Invitation for Bid in several procedural requirements. Per IC 5-22-7.3, unlike an Invitation for Bid, Negotiated Bids are not opened publicly but opened by two (2) or more employees of the purchasing agency. Negotiated Bids are only for purchasing by agencies under the Executive Branch. The most significant difference is that a solicitation designated as a Negotiated Bids will allow the purchasing agency to conduct discussions with bidders before a contract is awarded. During the discussions with bidders all discussions must be consistent with fair competition among all bidders. Also, any bid that is released as a negotiated bid the bidders will be provided details of the process.

Request for Proposal (RFP) – Greater than \$75,000

The Request for Proposals method is used for procurements in which factors other than cost play a significant role. Per IC 5-22-9, when a purchasing agent makes a written determination that the use of competitive sealed bidding is either not practicable or not advantageous to the governmental body, the purchasing agent may award a contract using this procedure instead of competitive sealed bidding. This provides a formal process for the procurement of goods and/or services for which price is not the sole factor in the selection of a vendor or vendors.

By using the RFP process, the State intends to award a contract to the responsive/responsible Respondent (s) whose proposal is determined to provide the “best value” to the State. Because the requesting agency determines the specifications of what is being solicited through the RFP, it allows the agency more control over the process, which in turn helps the agency to obtain the “best fit” for its needs. Because the evaluation criterion is explained throughout the RFP, Respondents have the opportunity to concentrate, in their proposals, on the areas most critical to the requesting agency. The RFP provides an agency with the opportunity to enter into contract negotiations with the Respondent or Respondents that submit the best and most cost effective proposal(s).

An Agency may choose to research information on a proposed RFP without having to commit to doing an RFP by doing a Request for Information (RFI). The RFI is used by agencies to gain information on specifications and pricing for new products, programs or services. The RFI strictly requests information and a contract will not result from the RFI. The RFI is not to be used as a tool to “pre-select” vendors. Responses to the RFI will remain confidential until after the RFP is complete. If no RFP is issued, the RFI responses become public information after the decision is made not to proceed with an RFP.

In order to ensure that state agencies are developing RFP’s that are reflective of the latest technology and processes, and that the agency has input from local industry representatives a Pre-RFP Informational Session is required prior to the planned issuance of any RFP. In some cases, IDOA may determine a combined session of the Pre-RFP informational session and the pre-proposal conference may best suit the process. This session is a great opportunity for Indiana certified minority and women businesses to identify prime bidders they may wish to partner with.

A representative of IDOA Procurement will attend each session to discuss/explain the RFP process. A representative of the IDOA M/WBE Division will also attend to discuss/explain the M/WBE requirements in an RFP. The balance of the session is geared to sharing information with the vendor community and gaining their input on the best way to develop an RFP to assure the best possible responses from the vendor community. Once the Pre-RFP Informational Session meeting is complete the vendors will have generally a minimum of one (1) week before the RFP is advertised on the web. During the time between the Pre-RFP Session and RFP the vendors are encouraged to contact the Agency to ask more questions. Once the RFP is placed on the web the only contact the vendor can have is with the buyer associated with the RFP.

The RFP is advertised in two publications of general circulation for two successive weeks, it will generally remain “on the street” for a minimum of three to four weeks following the advertisements depending on the complexity of the RFP.

Proposals in response to RFPs should be delivered to the Indiana Department of Administration, reception desk no later than the due date and time. Late proposals will not be accepted. The RFP number and due date are to be clearly indicated on all packages submitted to the Procurement Division in response to the RFP.

Once all proposals are processed the requesting agency will complete the evaluation of the proposals using the evaluation criteria listed in the RFP and determine the recommended respondent, or determine that additional discussions, orally or in writing, should be conducted, after which a Best and Final Offer (BAFO) may be solicited.

The State selects a group of personnel to act as a proposal evaluation team. Subgroups of this team, consisting of one or more team members, will be responsible for evaluating proposals with regard to compliance with RFP requirements. All evaluation personnel will use the evaluation criteria stated in RFP. The Commissioner of IDOA or his designee will, in the exercise of his sole discretion, determine which proposals offer the best means of servicing the interests of the State. The exercise of this discretion will be final.

The procedure for evaluating the proposals against the evaluation criteria will be as follows:

1. Each proposal will be evaluated for adherence to requirements on a pass/fail basis. Proposals that are incomplete or otherwise do not conform to proposal submission requirements may be eliminated from consideration.
2. Each proposal will be evaluated on the basis of the categories included in Section 3.2 of the RFP. A point score has been established for each category and scoring may vary in the categories of Management Assessment/Quality and Price in some solicitations.
3. If technical proposals are close to equal, greater weight may be given to price.

Only after the Commissioner of IDOA or designee has approved the recommendation can the vendor or vendors be contacted to commence contract negotiations. Upon approval of the recommendation signed by the Director of Procurement and the Commissioner of IDOA or designee, the RFP staff will send notification of acceptance to the selected respondent(s) and notification of declination to respondents whose proposals did not meet the agency’s needs.

Based on the results of this evaluation, the qualifying proposal determined to be the most advantageous to the State, taking into account all of the evaluation factors, may be selected for further action, such as contract negotiations. If, however, it is decided that no proposal is sufficiently advantageous to the State, the State may take whatever further action is deemed necessary to fulfill its needs. If, for any reason, a proposal is selected and it is not possible to consummate a contract with the Respondent, IDOA

may begin contract preparation with the next qualified Respondent or determine that no such alternate proposal exists.

Quantity Purchase Agreement (QPA)

The Quantity Purchase Agreement (QPA) is an opportunity for the State, or a particular agency, to enter into an agreement by which a selected vendor provides an estimated quantity of goods and services at a stated unit price guaranteed for a specific time frame, usually a year.

Products or services available on QPA must be purchased from these contracts. *There are two exceptions:* a substantial cost savings or the agency functional requirements can't be met.

If a substantial cost savings can be realized by purchasing outside the QPA, justification must be provided documenting the estimated per item cost savings, and how that figure was determined. Use of the Fair Market Value principal may help determine the overall savings. If the QPA product or service does not meet the agency's functional requirements, justification must also be provided indicating specifically which specifications are inadequate.

The State establishes ASA (All State Agency) QPAs, from which any agency may submit a Purchase Order to receive a commodity. The processing time of a QPA Purchase Order is much less than those of a purchase order – an average of only 2-5 days once it reaches the Procurement Division.

All current QPAs are listed on the Procurement page of the State's web site. (<http://www.in.gov/idoa/proc/qpa.html>). Even though QPAs are generally in effect for only two years, they may be renewed according to the terms of the original contract, with the State generally limiting the length of a QPA to four years total (original term plus renewals).

Contracts

A contract contains these essential elements: competent parties, lawful subject matter, sufficient consideration and consent of minds. A contract creates a "state procurement relationship". In other words a procurement contract should be used whenever the state agency wishes to buy, lease, or exchange property or services for the direct benefit of a state agency. Also, when a state agency's principal purpose is to acquire an intermediary's services, which ultimately may or may not be delivered to an authorized recipient, then a contract is required.

Special Procurements

Competitive open solicitation is required for any purchase over \$500 but in situations as provided for by Indiana Code IC 5-22-10, Special/Emergency purchasing methods may be used when unique circumstances exist, allowing standard practices to be circumvented. The need for this type of purchase must qualify under at least one of the criteria defined in IC 5-22-10 sections four (4) to nineteen (19). The Source Selection Authorization for Special Procurement document and justification must be provided explaining why this type of procurement is necessary on the Special Procurement Recommendation of Award document.

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Appendix B – Property Inventory Report⁴

	a	b	c	d	e	f	g	h	i	j	k	l
Item #	Property Description	Model #	Serial #	Vendor	Acquisition Date	Award #	Fed Grant #	% Fed Part	Unit Acq Cost	Location	Condition	Disposition
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												

⁴ Worksheet available for download at

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Appendix C – Description of State Contract Drafting and Signature Process

Activity	Time	Comment
Grant Agreement Template Requested (ideally, when grant application submitted to feds)		
Grant Agreement Template Drafted:	10 days	Could be more or less depending on the priority of the other projects that are needed from legal.
Grant Agreement Template Review by Grants (and others if needed):	2 days	
Finalize Grant Agreement Template:	2 days	
Submit for AG Approval:	10 calendar days	If there is a justified need to expedite AG approval, approval can be obtained in a week or less.
Provide approved template to Grants	< 1 day	
Receive Grant Award	?	Determined by awarding agency
Grants send out Grant Agreements to recipients:	10 days	
Recipient returns signed grant agreement to Grants:	?	
Grants reviews and give to legal	2 days	
Legal-logs in, runs tax clearance and creates EDS sheet (may need info from IDHS Fiscal or the project manager):	4-6 days	
Fiscal approval, prepare requisition, return to Legal Services:	2-4 days	
Agency signature:	3-4 days	
Legal delivers to IDOA:	1 day	
IDOA-Review and Approval:	3 days	
SBA-Review and Approval:	5 days	
AG Review and Approval:	10 days	If form approval is already obtained, this step can be skipped.
IDOA-Scanning:	3 days	
Legal gets back Agreement and gives signed copy to Grants:	1 day	
In this table, when “days” is used (unless otherwise noted), it means business days. Therefore, when developing a project schedule based on this schedule, weekends need to be accounted for; otherwise the timeline will not be accurate. For example, If IDOA takes 3 days and SBA takes 3 days this is 6 business days, but since it would have to include one weekend, it would be 8 calendar days.		

Department of Revenue and Department of Workforce Development Tax Clearance

Indiana law prohibits any state agency from entering into a contract or sub-grant agreement with any entity that has an outstanding liability with either the Department of Revenue (DOR) or the Department of Workforce Development (DWD). Prior to a contract or sub-grant agreement being signed, IDHS verifies the entity is clear of all liabilities with DOR and DWD.

Department of Revenue

If a designated contractor or grant recipient is designated as NOT CLEAR by the Indiana DOR, it is likely the contractor or grant recipient has a delinquent tax warrant. Before IDHS can continue to process this contract or grant agreement, the contractor or grant recipient must contact the Compliance Check Unit of the DOR at 317-232-5977 and resolve the delinquent tax liability. The individual calling the DOR needs to have the correct tax id number of the entity that has the delinquency. The auditor or fiscal officer for the contractor or grant recipient is typically the person who should initiate this contact with DOR.

Once the contractor or grant recipient resolves this issue, it may take a week or two for the tax warrant list to be updated.

Department of Workforce Development

If a designated contractor or grant recipient is designated as NOT CLEAR by the Indiana DOR, it is likely the contractor or grant recipient has an unresolved employment issue. Notices of non-compliance always go to the financial contact at an employer, so the individual calling DWD regarding the issue should engage with their financial contact prior to making an inquiry.

Because of the sensitivity of the information, DWD is not permitted to share financial details about a particular employer with anyone but representatives of the employer. When contacting DWD, the caller must have the correct tax id number of the entity who has the problem. The following DWD employees may be contacted ONLY by the grantee or contractor:

Beverly Korobkin
(317) 232-7487
bkorobkin@dwd.in.gov

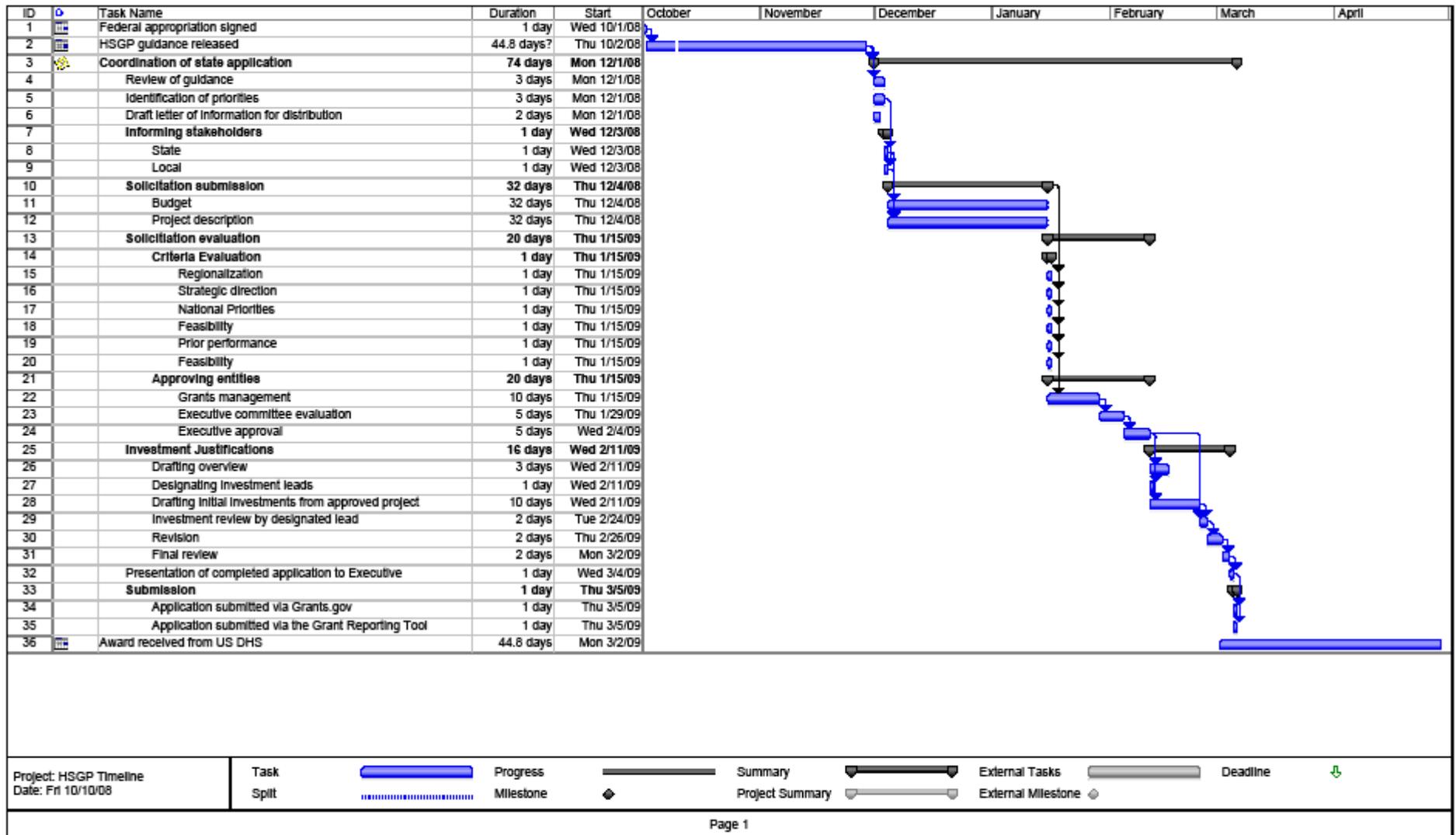
Cindy Kisenko
(317) 233-5340
ckisenko@dwd.in.gov

Additionally, payments may be made online at <http://www.in.gov/dwd/3657.htm> or via USPS mail.

Once the contractor or grant recipient resolves this issue, it may take a week or two for the clearance to update in the system.

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Appendix D – Homeland Security Grant Program Timeline from Appropriation to Award⁵



⁵ This timeline generally reflects the process for the US DHS Homeland Security Grant Program. Other programs may vary. Contact the Project manager for more information.

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Appendix E – Acronyms

Acronym	Description
AAR	After Action Report
ACH	Automated Clearing House
ADDIE	Analysis, Design, Development, Implementation, and Evaluation
INDOT	Indiana Department of Transportation
AEL	Authorized Equipment List
AFG	Assistance to Firefighters Grant
ING	Indiana National Guard
ANSI	American National Standards Institute
APCO	Association of Public-Safety Communications Officials
ARF	Action Request Form
ASAP	As Soon As Possible
ASAP	Automated Standard Application for Payments
ATAC	Anti-Terrorism Advisory Council
BSIR	Biannual Strategy Implementation Reports
BZP	Buffer Zone Plan
BZPP	Buffer Zone Protection Plan
CAP	Corrective Action Plan
CAPR	Categorical Assistance Progress Reports
CBP	Customs and Border Protection
CBRN	Chemical, Biological, Radiological and Nuclear
CBRNE	Chemical, Biological, Radiological, Nuclear, and Explosive
CCP	US Citizen Corps Program
CCTV	Closed-Circuit Television
CDC	Centers for Disease Control and Prevention
CDP	Center for Domestic Preparedness
CEDAP	Commercial Equipment Direct Assistance Program
CEO	Chief Executive Officer
CERT	Community Emergency Response Training
CERT	Community Emergency Response Teams
CFA	Capability Focus Area
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulations
CHIP	Capability & Hazard Identification Program
CI	Critical Infrastructure
CI/KR	Critical Infrastructure/Key Resources
CIP	Capital Improvement Program
CIP	Critical Infrastructure Protection
CIRA	Catastrophic Incident Response Annex
CME	Continuing Medical Education
CMIA	Cash Management Improvement Act
CNE	Continuing Nursing Education

CO-OP	Cooperative Training Outreach Program
COTS	Commercial-off-the-Shelf
CSID	Centralized Scheduling and Information Desk
CST	Civil Support Team
D&B	Dun and Bradstreet
DEC	Department of Environmental Conservation
DFO	Disaster Field Office (old term)
DHS	U.S. Department of Homeland Security
DHS&EM	Division of Homeland Security and Emergency Management
DHSS	Department of Health and Social Services
DMAT	Disaster Medical Assistance Team
DMORT	Disaster Mortuary Operational Response Team
DNDO	Domestic Nuclear Detection Office
DOD	Department of Defense
DOE	U.S. Department of Justice
DOJ	US Dept of Justice
DOJ	U.S. Department of Energy
DOS	U.S. Department of State
DOT	Department of Transportation (see ADOT/PF)
DOT	U.S. Department of Transportation
DPC	State Disaster Policy Cabinet
DPETAP	Domestic Preparedness Equipment Technical Assistance Program
DPH	Department of Public Health
DPI	Disaster Preparedness Improvement
DRF	Disaster Relief Fund
DUNS	Data Universal Numbering System
EA	Environmental Assessment
EBS	Emergency Broadcasting System
ECRT	Emergency Communications Response Team
EEG	Exercise Evaluation Guide
EIS	Environmental Impact Statement
ELO	Enabling Learning Objectives
EMA	Emergency Management Agency
EMAP	Emergency Management Accreditation Program
EMEDS	Emergency Medical Support
EMI	Emergency Management Institute
EMI	Emergency Management Institute
EMPG	Emergency Management Performance Grants
EMS	Emergency Medical Services
EMT	Emergency Medical Technician
EOC	Emergency Operations Center
EOD	Explosive Ordnance Device
EOP	Emergency Operations Planning

EOP	Emergency Operations Plans
EPA	U.S. Environmental Protection Agency
EPW	Exercise Planning Workshop
ETA	Estimated Time of Arrival
ETD	Estimated Time of Departure
FAR	Federal Acquisition Regulations
FBI	Federal Bureau of Investigation
FDA	Food and Drug Administration
FE	Functional Exercise
FEMA	Federal Emergency Management Agency
FGDC	Federal Geographic Data Committee
FICA	Federal Insurance Contributions Act
FOIA	Freedom of Information Act
FSE	Full-Scale Exercise
FSR	Financial Status Report
FTE	Full-Time Employees
G&T	Preparedness Directorate's Office of Grants and Training
GAN	Grant Adjustment Notice
GAO	Government Accountability Office
GEA	Geospatial Enterprise Architecture
GIS	Geographic Information System
GISWG	Global Infrastructure and Standards Working Group
GJXDM	Global Justice XML Data Model
GML	Geography Markup Language
GMS	Grants Management System
GOTS	Government-off-the-Shelf
GPS	Global Positioning Systems
GRT	Grant Reporting Tool
HAZMAT	Hazardous Materials
HDER	Homeland Defense Equipment Reuse
HHS	U.S. Department of Health and Human Services
HMEP	Hazardous Material Emergency Preparedness
HMGP	Hazard Mitigation Grant Program
HRSA	Health Resources and Services Administration
HSAC	Homeland Security Advisory Council
HSC	Homeland Security Council
HSEEP	Homeland Security Exercise and Evaluation Plan
HSEEP	Homeland Security Exercise and Evaluation Program
HSGP	Homeland Security Grant Program
HSIN	Homeland Security Information Network
HSOC	Homeland Security Operations Center
HSPD	Homeland Security Presidential Directive
HSPTAP	Homeland Security Preparedness Technical Assistance Program

HSVAC	Homeland Security Virtual Assistance Center
IAB	InterAgency Board
IAFIS	Integrated Automated Fingerprint Identification System
IAIP	DHS Information Analysis & Infrastructure Protection Directorate
IBSGP	Intercity Bus Security Grant Program
ICS	Incident Command System
ICTAP	Interoperable Communication Technical Assistance Program
IED	Improvised Explosive Device
IEEE	Institute of Electrical and Electronics Engineers, Inc.
IMAWS	Information Management Alert Warning Section
INCITS	International Committee for Information Technology Standards
IP	Improvement Plan
IPRSGP	Intercity Passenger Rail Security Grant Program
ISAC	Information Sharing and Analysis Center
ISIP	Initial Strategy Implementation Plan
ISIP	Initial Strategy Implementation Plan
ISO	International Standards Organization
IWN	Integrated Wireless Network
JFHQ	Joint Field Headquarters
JFO	Joint Field Office
JOC	Joint Operations Center
JRIES	Joint Regional Information Exchange System
JTTF	Joint Terrorism Task Force
KA	Key Asset
KR	Key Resource
LAP	Lesson Administration Page
LEO	Law Enforcement Online
LEP	Limited English Proficient
LEPC	Local Emergency Planning Committee
LEPD	Local Emergency Planning District
LETPP	Law Enforcement Terrorism Prevention Program
LLEA	Lead Law Enforcement Agency
LLIS	Lessons Learned Information Sharing
LMR	Land Mobile Radio
LNG	Liquid Natural Gas
LOCES	Letter of Credit Electronic Certification System
M&A	Management and Administration costs
MARSEC	Maritime Security
MEDS	Minimum Essential Data Sheets
MIPT	National Memorial Institute for the Prevention of Terrorism
MMRS	Metropolitan Medical Response System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding

MRC	Medical Reserve Corps
MS&G	Models, Simulations, and Games
MVCIAS	DOT X-Ray Machine
NAWAS	National Warning System
NCIC	National Crime Information Center
NCJA	National Criminal Justice Association
NCR	National Capital Region
NDMS	National Disaster Medical System
NDPC	National Domestic Preparedness Consortium
NEPA	National Environmental Policy Act
NFA	National Fire Academy
NFPA	National Fire Protection Association
NGA	Notice of Grant Award
NGO	Non-Governmental Organization
NIC	NIMS Integration Center
NIEM	National Information Exchange Model
NIMCAST	NIMS Capability Assessment Support Tool
NIMS	National Incident Management System
NIOSH	National Institute for Occupational Safety and Health
NIPP	National Infrastructure Protection Plan
NIST	National Institute of Standards and Technology
NLT	No Later Than
NOAA	National Oceanic & Atmospheric Administration
NRCC	National Response Coordination Center
NRP	National Response Plan
NSDI	National Spatial Data Infrastructure
NSGIC	National States' Geographic Information Council
NSSE	National Special Security Event
NTE	Not-To-Exceed
OC	Office of the Comptroller, US DOJ Office of Justice Programs
OC	Office of the Comptroller
ODP	US Office for Domestic Preparedness
OGC	Office of General Counsel
OGC™	Open Geospatial Consortium
OGO	USDHS Office of Grant Operations
IDHS	Indiana Department of Homeland Security
OIC	Office for Interoperability and Compatibility
OJP	Office of Justice Programs
OJP	Office of Justice Programs
OMB	Office of Management and Budget
OSHA	Occupational Safety and Health Administration
PA	Public Affairs
PAPRS	Phone Activated Paperless Request System

PD	Police Department
PDM	Pre-Disaster Mitigation
PHS	Public Health Service
PIO	Public Information Officer
POC	Point of Contact
POETE	Plan, Organize, Equip, Train, Exercise
POI	Point of Interest
POMSO	Plans Operations and Military Support Office
PPE	Personal Protective Equipment
PSA	Protective Security Advisor
PSD	Protective Security Division of DHS IAIP
PSGP	Port Security Grant Program
PSTN	Public Switched Telephone Network
RAD/NUC	Radiological and Nuclear
RAT	Rapid Assistance Team
RDT&E	Research, Development, Testing and Evaluation
RKB	Responder Knowledge Base
RRCC	Regional Response Coordination Center
RTSWG	Region Transit Security Working Group
S&T	Science and Technology
SAA	State Administrative Agency
SAAT	Standardized Awareness Authorized Trainer
SARA	Superfund Amendments & Reauthorization Act
SDSFIE	Spatial Data Standard for Facilities, Infrastructure, and Environment
SECC	State Emergency Coordination Center
SEL	Standardized Equipment List
SERC	State Emergency Response Commission
SHSAS	State Homeland Security Assessments and Strategies
SHSEEP	State Homeland Security Exercise and Evaluation Program
SHSGP	State Homeland Security Grant Program
SHSP	State Homeland Security Program
SHSS	State Homeland Security Strategy
SITREP	Situation Report
SLA	State Local Assistance
SLE	State & Local Exercise
SLGCP	DHS Office of State and Local Government Coord. & Preparedness
SME	Subject Matter Expert
SOP	Standard Operating Procedure
SoR	Statement of Requirements
SPOC	Single Point of Contact
SRM	Service Reference Model
SWAT	Special Weapons and Tactics
TA	Technical Assistance

TCL	Target Capabilities List
TEW	Terrorism Early Warning
TLO	Terminal Learning Objectives
TOPOFF	Top Officials Exercise
TPOC	Training Point of Contact
TRM	Technical Reference Model
TSA	Transportation Security Administration
TSGP	Transit Security Grant Program
TSP	Training Support Package
TTX	Tabletop Exercise
UAWG	Urban Area Working Group
UHF	Ultra High Frequency
USAR	Urban Search and Rescue
USCG	United States Coast Guard
USDA	U.S. Department of Agriculture
USGS	U.S. Geological Survey
UTF	Unable to Fill
UTL	Universal Task List
VHF	Very High Frequency
VIPS	Volunteers in Police Service
VMI	Vendor Managed Inventory
VRPP	Vulnerability Reduction Purchase Plan
WFS	Web Feature Service
WMD	Weapons of Mass Destruction
WMS	Web Map Service
XML	Extensible Markup Language
XSTF	XML Structure Task Force