



## NOTICE OF FUNDING OPPORTUNITY

Federal Fiscal Year 2024 Hazardous Materials Emergency Preparedness Grant Program

### AWARD INFORMATION

<b>Period of Performance:</b>	<b>Oct. 1, 2023 – Sept. 30, 2024</b>
<b>Sub-recipient performance period:</b>	<b>Twelve (12) months</b>
<b>Individual competitive projects:</b>	<b>\$20,000 maximum award amount</b>

One applicant may fill out and submit multiple applications within IntelliGrants. It is possible the applicant may receive funding for multiple projects or none. Partial awards may also be available, and applicants should anticipate utilizing other funding sources to fulfill a partially awarded project.

### APPLICATION DEADLINE

**Grant application(s) must be submitted no later than: 4:30 p.m. EDT on September 13, 2023.**

### PRE-APPLICATION REGISTRATION REQUIREMENTS

Applicants intending to apply for this funding opportunity must meet four (4) registration requirements. Two (2) are federal and two (2) are state stipulations. Prior to applying, an applicant must:

1. Have an active federal Unique Entity Identifier (UEI);
2. Be registered in the federal System for Award Management (SAM);
3. Be registered as an active supplier/vendor with the state of Indiana; and
4. Be registered as a bidder with the state of Indiana.

Detailed information regarding UEI, SAM, Supplier and bidder registration are provided in this Notice of Funding Opportunity (NOFO) in Appendix A and should be reviewed and followed to ensure these requirements have been satisfied prior to submitting an application.

### IDHS CONTACT INFORMATION

If applicants have any questions about the information contained within the NOFO or need technical assistance in completing a grant application, please contact IDHS Grants Management through the support ticket system at <http://dhs.in.gov/grants.htm>.

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# PROGRAM OVERVIEW

## INTRODUCTION

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

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

## PROGRAM SYNOPSIS

The HMEP grant program is to protect against the risks to life, property and the environment that are inherent in the transportation of hazardous material in intrastate, interstate and foreign commerce (Title 49 U.S.C. § 5101). The HMEP grant program supports the emergency preparedness and response efforts of states, federally recognized Native American tribes and territories that deal with hazardous materials emergencies, specifically those involving transportation. This grant also aids sub-recipients in meeting the requirements of §§ 301 and 303 of the Emergency Planning and Community Right-to-Know Act of 1986 (Title 42 U.S.C. Chapter 116).

EPCRA has established the following Local Emergency Planning Committee (LEPC) functions and priorities:

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

The purpose of this notice is to provide:

- Formal grant guidance and application materials needed to apply for funding under HMEP; and
- Administrative requirements that must be met by all sub-recipients in order to meet the requirements of federal regulations, mandates and orders should your application receive funding.

## **ELIGIBILITY CRITERIA**

Local units of government are eligible to apply for HMEP funding. Additionally, applicants are required to submit an active LEPC budget to be considered for funding. Each eligible applicant must have an active:

- Unique Entity Identifier and System for Award Management;
- Supplier registration with the state of Indiana; and
- Bidder registration with the state of Indiana

## **MATCH REQUIREMENT**

There is no match requirement for sub-recipients.

# FUNDING GUIDELINES

Funding guidelines established within this section support the development, improvement and implementation of emergency plans as established by the Hazardous Materials Transportation Uniform Safety Act. In general, applicants should consult with IDHS Grants Management prior to requesting any expenditure that does not clearly meet the allowable expense criteria established by this NOFO.

## PLANNING

The HMEP grant program can support a range of emergency preparedness and management planning activities associated with the transportation of hazardous materials.

Activities relating to **hazardous material plans** can include, but are not limited to, the following:

- Developing, improving and implementing emergency plans required under the Emergency Planning and Community Right-to-Know Act of 1986
- Workshops, drills and exercises associated with hazmat emergency plans
- Risk assessments to enhance plans
- Capability assessments that evaluate the ability for first responders, non-governmental organizations and other involved stakeholders to respond to a hazmat emergency
- Gap analysis to enhance planning objectives
- Improving interagency interoperability to better respond to and mitigate hazmat incidents
- Determining commodity flow transportation patterns of hazmat and developing and maintaining a system to keep such information current
- Assessing the need for regional hazmat emergency response teams
- Providing technical staff to support planning efforts and
- Aerial photography for use with commodity flow study research.

Activities relating to **planning courses** can include, but are not limited to, the following:

- Courses aimed at developing, improving and implementing emergency plans under the Emergency Planning and Community Right-to-Know Act (EPCRA) §§ 301 and 303 (Title 42 U.S.C. Chapter 116)
- Hazmat transportation emergency preparedness and response courses
- Hazmat risk analysis
- Commodity flow study courses and
- Regional response strategy selection courses.

## TRAINING

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

**Training activities** can include, but are not limited to, the following:

- Reimbursement for instructor(s) and trainees for tuition and travel expenses (lodging and per diem) to and from a training facility
- Facility rental cost reimbursement and
- Expenses associated with training (i.e., staff to support the training effort, evaluation forms, etc.).

National Fire Protection Association 472, Standard for Competence of Responders to Hazardous Materials/Weapons of Mass Destruction Incidents, or Occupational Safety and Health Administration 29 CFR § 1910.120, Hazardous Materials course activities can include, but are not limited to, the following:

- Hazardous Waste Operations and Emergency Response Standard (HAZWOPER) training with a transportation tie-in
- Hazmat Incident Command System (ICS), which includes the following courses:
  - ICS-100: Introduction to the Incident Command System
  - ICS-200: Incident Command System for Single Resources and Initial Action Incidents
  - ICS-300: Intermediate Incident Command System
  - ICS-400: Advanced Incident Command System
- Hazmat Awareness, Operations, Technician, Specialist and Refresher courses
- Hazmat Incident Commander
- Hazmat Officer/Safety Officer
- Industrial Fire Fighting (i.e., rail yards, fuel transfer facilities and ports)
- Confined Space Rescue
- Hazmat Basic Life Support/Advanced Life Support
- Chemistry for Emergency Responders
- Marine Operations (i.e., ship-board rescue, firefighting and hazmat)
- Airport Rescue Fire Fighting (i.e., aircraft response and rescue)
- Explosive Ordinance Disposal/Explosives in transportation
- Radiological (i.e., sources in transportation, but **not weapons of mass destruction**)
- Tank Car Specialty
- Intermodal Tank Specialty
- Marine Tank Vessel Specialty
- Flammable Liquid Bulk Storage
- Flammable Gas Bulk Storage
- Radioactive Material Specialty in Transportation
- First Receiver Awareness Training
- Crude Oil Training and
- Cargo Tank Specialty.

**Other preparedness training courses/activities** can include, but are not limited to, the following:

- Ammonia, ethanol, chlorine response

- Alternative fuels (i.e., used in transportation)
- Developing a Plan of Action
- Chemistry of Hazmat-Part I/II
- Surveying a Hazmat Incident
- Level A/Level B Personal Protective
- Hazmat for Emergency Management System (EMS)
- Hazmat for Dispatcher
- Hazmat Containers
- Hazardous Materials Monitoring Refresher
- Hazmat Level B Dress-out and Decon
- Hazmat Technical Decon Refresher
- Hazmat Containment and Control
- Haz-Cat Training
- Pro Board® Certification for Hazmat Training Courses
- Pipeline Incident in Transportation Response Training
- Hazmat IQ Training (i.e., above and below the line, advanced IQ, and tox medic)
- Emergency medical technician (EMT) training for hazmat
- Employee Hazmat Emergency Response Readiness Training
- Creating and maintaining hazmat emergency response training websites
- CAMEO training (i.e., related to transportation) and
- TRANSCAER® (travel and necessities\* for physical needs and comfort of trainers and training recipients)

\*Necessities, by ownership or rental, for the physical needs and comfort of the participants and training recipients such as, but not limited to: classroom tents, tables, chairs, water coolers, portable toilets, wash stations, public address systems, generators, fuel for generators, waste management, and outdoor fans; projector and screens, video recording services; safety gloves, safety glasses; pens, pencils, books, brochures, certificates; administrative services, advertising costs, trainer fees; and instructor accommodations, travel, and meals.

Equipment, supplies and materials related to training can include, but are not limited to, the following:

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



- Firefighting foam for specific transportation related exercises.

## EXERCISES

Exercises conducted with HMEP grant support must be related to the transportation of hazardous materials.

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

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

## EQUIPMENT

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

Examples of allowable preparedness expenditures include:

- Computer equipment dedicated to HMEP activities (i.e., use for operations purposes is not allowable) and
- Supplies and equipment required for HMEP-funded exercises and activities. (NOT FOR RESPONSE PURPOSES)

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

Supplies can include, but are not limited to, the following:

- Classroom tents
- Tables
- Chairs
- Water coolers
- Portable toilets
- Wash stations
- Public address systems
- Generators
- Fuel for generators
- Waste management
- Outdoor fans

- Projectors and screens
- Video recording services
- Safety gloves
- Safety glasses
- Pens, pencils, books, brochures, certificates and
- Advertising costs.

All equipment must, when practicable, be tagged with the following text: “Purchased with funds provided by the U.S. Department of Transportation – PHMSA”.

The Pipeline and Hazardous Materials Safety Administration (PHMSA) has developed an Expenditures Guide that outlines allowable costs and general guidelines the HMEP grant program must adhere to. The Expenditures Guide can be found at the following website:

<https://www.phmsa.dot.gov/grants/hazmat/hmep-expenditures-guide-pdf>.

## **TRAVEL**

Travel costs (i.e., airfare, mileage, per diem, hotel) are allowable expenditures for applicants who are on travel status as provided for in this NOFO. Travel activities can include, but are not limited to, the following:

- National Association of SARA Title III Program Officials (i.e., NASTTPO)
- Hazmat Continuing Challenge
- HOTZONE or COLDZONE
- Transportation Community Awareness and Emergency Response (i.e. TRANSCAER)
- TRANSCAER educates emergency responders and their communities and includes safety training cars from the Firefighters Education and Training.
- IAFC International Hazmat Conference and
- Midwestern Hazmat Conference.

# UNALLOWABLE COSTS

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

## PRE-AWARD EXPENDITURES

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

## TRAVEL

International travel is not an allowable cost under this program.

EMAI and IERC are not allowable costs under this program.

## UNAUTHORIZED EXERCISE COSTS

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

Additionally, unauthorized costs include durable and non-durable goods purchased for installation and/or use beyond the scope of exercise conduct.

## PROHIBITED EQUIPMENT

Grant funds may not be used for the purchase of prohibited equipment. Refer to IB 407 Use of Grant Funds for Controlled Equipment for the complete prohibited equipment list. For additional information on prohibited equipment see Executive Order (EO) 13688 Federal Support for Local Law Enforcement Equipment Acquisition, and the Recommendations Pursuant to Executive Order 13688. Per DOT policy, the purchase of weapons and weapon accessories is not allowed with HMEP funds. Small, unmanned aircrafts (i.e. drones) are not allowable for this grant cycle.

## FOOD COSTS

Except for food costs associated with travel/per-diem, food costs will not be approved. In all cases where food is permitted, costs must be reasonable. Costs will be determined to be reasonable if the per person (documented participants) cost for food is equal to or less than the permitted per-diem for the meal provided according to the U.S. General Services Administration thresholds. Unallowable food costs include: light refreshments for morning or afternoon breaks (such as coffee, tea, milk, juice, soft drinks, donuts, bagels, fruit, pretzels, cookies, chips or muffins) and any food costs associated with the cost of entertainment.

\*However, hydration beverages (water or sports drinks) provided during a training or exercise session is allowable provided the sub-recipient submits a roster showing the number of trained individuals and the quantity of hydration beverages purchased.

## **UNALLOWABLE PREPAREDNESS EXPENDITURES**

Unallowable preparedness expenditures can include, but are not limited to, the following:

- Natural disaster exercises (i.e., urban avalanches, pandemic flu, wildfire, earthquake etc.);
- All-hazards warning system drills;
- Joint terrorism task force exercises;
- Tier II chemical inventory reports;
- Tier II databases Web-emergency operations center mapping;
- Public officials conference (i.e., without a connection to hazardous materials transportation);
- Town-wide alert system;
- Development and distribution of a hazmat calendar;
- Expenses counted as match funds toward another federal grant program or cooperative agreement;
- Purchase of cellular telephone(s);
- Any costs unallowable or stated as ineligible in 49 CFR part 110 and 2 CFR 200 part 400;
- Any cost specifically prohibited in the general terms and conditions of the award, PHMSA policy as detailed in the expenditures guide, or special terms and conditions listed on the grant agreement;
- Membership fees and subscriptions, except as otherwise noted; and
- Stipends.

## **UNALLOWABLE TRAINING EXPENDITURES**

Unallowable training expenditures can include, but are not limited to, the following:

- Courses not related to hazmat emergency response;
- Professional board accreditation and certification;
- Emergency preparedness presentation to childcare providers;
- School violence prevention;
- Weapons of mass destruction (WMD) terrorism courses;
- Weapons of mass destruction (WMD) radiological training;
- Mobile meth lab training;
- Active shooter training;
- Pandemic flu exercises;
- Joint terrorism task force (JTTF) exercises;
- Equipment for the purpose of response operations including:
  - Self-contained breathing apparatus (SCBA);
  - Personal protective equipment (PPE); and
  - Monitoring equipment

- Overtime of trainees and any other employees who “backfill” positions of trainees during the period of training;
- Expenses counted as match funds toward another federal grant program or cooperative agreement;
- Entertainment costs;
- Purchase of cellular telephone(s);
- Any costs disallowable or stated as ineligible in 49 CFR part 110 and 2 CFR 200 part 400;
- Any cost specifically prohibited in the general terms and conditions of the grant award, or identified in PHMSA policy guidance, or as a special terms and conditions listed on the NGA; and
- Stipends.

**Other unallowable costs include**, but are not limited to, the following:

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

# GRANT INFORMATION

The following information about the proposed project is required to complete a grant proposal.

## FUNDING PROFILE

Applicants are required to provide information about previously funded HMEP projects, IDHS funding received and grant funding received from other entities.

## PROBLEM STATEMENT

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

## NEEDS ASSESSMENT

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

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

## PROJECT SUMMARY

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

## **PROJECT SCOPE**

Applicants will be asked to identify the scope of the project by selecting one or more of the following activities:

- Planning expenditures;
- Training expenditures;
- Equipment expenditures;
- Exercise expenditures; and
- Travel expenditures.

Applicants will be asked to provide additional information about the project activities selected in the project scope section.

## **PROJECT GOAL, OBJECTIVES AND OUTCOMES**

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

## **PROJECT MILESTONES**

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

## **FUNDING SUSTAINABILITY**

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

Applicants should also consider the future of the project if HMEP funds are eliminated.

## **CHALLENGES**

Applicants must describe any non-financial challenges that may impact the ability to successfully complete the proposed project. If challenges do not exist, an applicant must indicate this.

## **BUDGET**

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

The grant proposal and budget must be submitted by 4:30 p.m. EDT on July 15, 2022 via IntelliGrants to be considered for funding. Late submissions will not be accepted.



# AWARD DETERMINATIONS

## FINANCIAL RISK ASSESSMENT

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

## SCORING

The applications will be reviewed by the IDHS. Grant applications will be scored in accordance with federal and state requirements and funding priorities. The IDHS executive director has the ultimate discretion to award funding. Applicants who receive HMEP funding will be notified electronically.

**Application submission does not guarantee funding.**

## AWARD NOTIFICATION

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

- Sub-recipient name;
- Sub-recipient award amount;
- Sub-recipient performance period;
- Total amount of the federal award;
- Award date; and
- Grant type and CFDA Number.

Any special conditions placed on the sub-recipient's award will be communicated to the applicant during the award process. Special conditions must be met or resolved prior to reimbursement.

Sub-recipients may be asked to adjust their budget as a special condition of the award. Budget modifications must be submitted through IntelliGrants and approved before a grant agreement can be sent for signature through the state's supplier contracts module.

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

**NOTE:** IDHS must run clearance checks with the Department of Workforce Development, Department of Revenue, Indiana Secretary of State and the federal System for Award Management. If an applicant is not in good standing or has an outstanding issue with the state of Indiana, then the applicant cannot receive an award or proceed with the contracting process until these issues are addressed and made current. In the event IDHS finds that an entity does not pass a clearance check, IDHS will notify the entity and it is the entity's responsibility to correct the issue. IDHS cannot correct these matters on behalf of the sub-recipient. In the event a sub-recipient does not correct these matters, IDHS must rescind the sub-grant award.

## SUB-RECIPIENT GRANT AGREEMENT REQUIREMENTS

In order to receive funding, all HMEP sub-recipients must agree to the following:

- Enter into a sub-grant agreement with IDHS;
- Agree to abide by all provisions of the sub-grant agreement;
- Abide by all the federal terms and conditions in the sub-grant agreement;
- Sign the sub-grant agreement electronically using the state's supplier contracts module;
- Include the authorized signatory information in the submitted application;
- Submit all reports in the prescribed format and time frames as determined by IDHS;
- Comply with federal cost principals contained in the 2 CFR 200 located at the following:  
[http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

# REPORTING

## PROGRAM AND FISCAL REPORTS

Reimbursement requests will occur as part of the “Fiscal Reports” within IntelliGrants. Grantees will be limited to four (4) program and fiscal reports per year; one per quarter. This will coincide with quarterly reimbursements for eligible expenses.

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

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

## CLOSEOUT REPORTING REQUIREMENTS

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

Within 30 days of the end of the period of performance, sub-recipients must submit a final program report detailing accomplishments throughout the period of performance and a qualitative summary outlining the impact of all the accomplishments grant funds supported. If the final program report omits activities, the report will be returned and additional information will need to be included in order to satisfy this requirement. Funding obligations must be made prior to the end date of the sub-grant agreement. All outstanding expenses must be paid and final requests for expenditures must be submitted within 30 days from the end date of the sub-grant.

Additionally, the sub-recipient must liquidate all obligations incurred under this award no later than 30 calendar days after the end date of the performance period of the performance. If a sub-recipient fails to liquidate their obligations within this time period, IDHS may disallow the costs associated with those unliquidated obligations. The sub-recipient must have updated the IntelliGrants Inventory module to include any equipment purchased with grant funds.

After final reports have been reviewed and approved by IDHS Grants Management, a closeout notice will be completed to close out the grant. The closeout notice will indicate the period of performance as closed, list of de-obligated funds, address requirements for record retention and disposition and list equipment reporting requirements.

## OTHER REPORTS

IDHS Grants Management may ask for additional reports throughout the HMEP performance period. These reports could include but are not limited to:

- Exercise reports
- Training reports
- Financial data/reports and
- Equipment inventory reports.

# ADDITIONAL INFORMATION

## PERFORMANCE PERIOD

The FY 2024 HMEP performance period is Oct. 1, 2023, to Sept. 30, 2024. The following activities must be completed by Sept. 30, 2024:

1. Project activities listed in the applicant's grant application;
2. Funding obligations.

Within 30 days of Sept. 30, 2024, (i.e., end of the performance period) the following must be completed:

1. All outstanding expenses must be paid;
2. Final Fiscal Report must be submitted within IntelliGrants

## MONITORING

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

## SUPPLANTING

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

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

## FUNDING RESTRICTIONS

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

## TRAVEL

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

## 2 CFR. PART 200

Compliance with all the requirements in 2 CFR. Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) is obligatory under this program.

### SUPPORTING DOCUMENTATION REQUIREMENTS

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

- Occurred
- Are allowable and
- Are reasonable.

**Before reimbursement will be authorized for expenditures**, sub-recipients are required to upload supporting documentation via IntelliGrants.

### IDHS CONTACT INFORMATION

If applicants have any questions about the information contained within the NOFO or need technical assistance in completing a grant application, please submit a support ticket through the tracking system at <http://dhs.in.gov/grants.htm>.

# APPENDIX A: REQUIRED REGISTRATIONS

## UNIQUE ENTITY IDENTIFIER NUMBER

On **April 4, 2022**, the federal government stopped using the DUNS Number to uniquely identify entities. Now, entities doing business with the federal government use the Unique Entity ID created in SAM.gov. They no longer have to go to a third-party website to obtain their identifier. This transition allows the government to streamline the entity identification and validation process, making it easier and less burdensome for entities to do business with the federal government.

All applicants must have (or obtain) an Unique Entity Identifier (UEI) number. The UEI number is a required field in the HMEP application for funding. IDHS recommends that applicants review the <https://sam.gov/content/entity-information> to ensure their UEI number is updated and active.

Most large organizations already have a UEI number. Applicants should contact their grant administrator, financial department, chief financial officer or authorizing official to identify their UEI number.

## SYSTEM FOR AWARD MANAGEMENT (SAM)

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

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

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

**To register with SAM, go to the [SAM website](#) with the following information:**

- [UEI number](#);
- [Taxpayer Identification Number \(TIN\) or Employment Identification Number \(EIN\)](#);
- Identification of an E-Business Point of Contact (EBiz POC) for the organization.



## SUPPLIER REGISTRATION WITH THE STATE OF INDIANA

Applicants must be an active supplier in good standing with the state of Indiana. To register as a supplier with the state, please visit the State of Indiana Auditor's website at: <https://www.in.gov/auditor/forms/> and complete the W-9 Form and Automated Direct Deposit Authorization Agreement SF# 47551. Applicants must use the IRS legal name of the entity on these forms. Please send the completed forms to the IDHS Grants Management inbox at [grants@dhs.in.gov](mailto:grants@dhs.in.gov).

To assist in this process, title the subject line as "Supplier Number Application for [insert your applicant name here]." The forms will be assigned to a project manager to ensure a timely registration. Please plan accordingly and allow for a minimum of ten (10) days for this registration process to be completed once forms have been submitted. IDHS must relay this information to the Auditor's office for processing and does not have control over the speed at which the vendor form is processed. High volume requests to the Auditor's office will sometimes delay this process more than two weeks.

Once the completed forms have been processed and a supplier number has been generated, IDHS Grants Management will contact the applicant with the applicant's supplier number. Applicants who are unsure if a supplier number has already been registered for their agency should contact IDHS Grants Management through the support ticket system at <http://dhs.in.gov/grants.htm> for verification. **A supplier can only have one supplier number because the supplier number is linked to a suppliers federal tax ID (FEIN).** In order to verify the vendor information on file with the State, IDHS will need to have the correct FEIN.

## BIDDER REGISTRATION WITH THE STATE OF INDIANA

The state of Indiana requires all entities who receive funds from the state to be registered as a bidder. **An applicant can begin the bidder registration process while the supplier form paperwork is processed.** There is no cost to become a registered bidder and the process takes approximately 20 minutes to complete.

To become a registered bidder, applicants must go to this link: <http://www.in.gov/idoa/2464.htm>. After clicking on the link, click on the "Create New Bidder Profile" tab to start the registration process.

The state of Indiana will run a nightly batch process that will link the supplier number to the bidder registration number, but this process will not be run if the bidder registration is not fully completed. To register as a bidder the applicant will need a copy of the Instructions ([https://www.in.gov/idoa/procurement/files/SP\\_CreateABidderProfile.pdf](https://www.in.gov/idoa/procurement/files/SP_CreateABidderProfile.pdf)) and the following information:

- Organization's legal name
- Owner's gender: If the organization is a corporation or has multiple owners and is unable to declare an owner's gender, choose "Male" as the owner's gender
- Owner's ethnicity: If the organization is a corporation or has multiple owners and is unable to declare an owner's ethnicity, choose "Caucasian" as the owner's ethnicity.

- Taxpayer ID number
- CEO name
- Submitter name
- Email ID (Required in order to receive solicitations)
- Receive orders preference (email, mail or fax)
- Indiana Veteran Owned Small Business
- Minority/Women Business Enterprises
- Small business classification
- Secretary of State registration
- NAICS code
- The NAICS code is also called the Business Activity Code. It is on the following federal Income Tax returns: Individual - Form 1040 - Schedule C, Page 1, Line B Partnership - Form 1065 - Page 1, Line C Corporation - Form 1120 - Page 2, Schedule K, Line 2a Sub Chapter S Corporations - Form 1120S - Page 1, Line B
- Mailing address
- United Nations Standard Product and Services Code (UNSPSC)

Once all of this information is gathered, launch the Bidder Profile Registration process on Step 3 here: <https://www.in.gov/idoa/procurement/supplier-resource-center/requirements-to-do-business-with-the-state/bidder-profile-registration/>. After completing Part 2 of the Bidder profile registration the applicant will receive an email from GMIS that contains the Bidder profile user ID and temporary password to use to finalize profile set-up. Use the link in the email to navigate back to the profile or log-in to launch Part 3 from here <https://fs.gmis.in.gov/psp/fsprd/SUPPLIER/ERP/?cmd=login>.

If these processes have already been completed, the requirement has been met. Applicants should not duplicate the processes. Please keep in mind that until these processes are complete, a grant application will not be accepted.