Administrative Plan

For grant programs administered by the Indiana Department of Homeland Security

Division of Planning and Assessment

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

I. PURPOSE **3**

II. APPLICABLE REFERENCES & AUTHORITIES **4**

III. PUBLIC ACCESS TO INFORMATION **4**

IV. GRANT MANAGEMENT-ADMINISTRATION **5**

PRE-AWARD PHASE **5**
Initial Grant Review 5
Federal Grant Application 6
Grant Recipient Pre-Award Administration 6

ACTIVE GRANT PROGRAM PERIOD **10**
Acceptance of the Federal Award-Special Conditions 10
Issuance of Grant Recipient Notice of Awards 10
Grant Recipient Activities 11
Grant Program Monitoring-Assistance 18
Reporting Requirements 23
Inventory Requirements 23
File Management 25

POST-AWARD PHASE **26**
Reconciliation and Closeout 26
Long-Term Grant Management 27

V. APPENDICES **31**

Appendix A – Indiana Department of Administration Methods of Solicitation **31**

Appendix B – Sole Source Justification Worksheet **37**

Appendix C – Property Inventory Report **39**

Appendix D – Closeout Letter **41**

Appendix E – iGMS Manual **43**
iGMS Dashboard 44
My Proposals 46
Creating a Budget 48
Reimbursements 49
Quarterly Reports 50

Appendix F – IDHS Exercise Grant Guidance **52**
A. Exercise Guidance 57
B. Exercise Proposal 60
C. Exercise Conduct 61
D. Exercise Types 62
E. Minimum Planning Timelines 66
F. Allowable Exercise Expenditures 67
G: Unauthorized Exercise Costs 70
H. Exercise Reimbursement 71

Appendix G – Description of State Contract Drafting and Signature Process **74**

Appendix H – Homeland Security Grant Program Timeline from Appropriation to Award **76**

Appendix I – Sample Sub-Grant Agreement **77**

Appendix J – Acronyms **87**

I. PURPOSE

Overview – The US Department of Homeland Security (DHS) awards various Homeland Security (HS) grants to enhance and develop state and local homeland security capabilities. These HS 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 the HS grants to the various state and local jurisdictions and/or agencies to meet mandatory pass-through requirements. This Plan establishes the administrative process by which IDHS will administer the HS grants awarded to Indiana. This Plan will include processes to apply for, receive, manage, and closeout HS funds that are sub-awarded to state and local jurisdictions and/or agencies, private or public.

Each federal HS grant comes with a specific grant "Program Guidance and Application Kit." 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 Officer 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
- Federal Grant Application, Grant Award and Special Conditions: See the respective federal Grant Award Notice (GAN), to include any Special Conditions annotated on the GAN
- For US DHS/FEMA Grants awarded in FY07 (except for FY07 EMPG) and FY08: 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.

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 exits, continues thru the federal grant application, and concludes with approval of state, local, and/or regional grant applications.

Initial Grant Review

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 unallowable program activities and costs,
    c. Determine National or State Goals that could be supported by the program,
        i. Prioritize which Goals 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, and
ii. Determine what agencies/associations can/will sign a MOU 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 Application[1]

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 Initial Grant Review 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. If necessary, the Executive Director will obtain approval of the application from the Governor's office.
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 Officer 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.

Grant Recipient Pre-Award Administration

1. Identify Grant Allocations
    a. The Initial Grant Review 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).

[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.

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 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 grant guidance 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-agencies for which findings exist and have not been resolved, and thus should not participate in the grant program.

3. Develop-Issue Grant Application-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 Initial Grant Review meeting. It will include forms necessary to submit a "paper" application <u>or</u> to use as an outline to complete an "online" application.
            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.
            1. The Executive Director, may as required, obtain final approval from the Governor's office before issuing the guidance to eligible grant participants.
    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 Policy Development and Research Branch 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.

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. Provide signed copies to IDHS Fiscal office.
        i. Fiscal will use the Award to make appropriate commitments in the state budget system and establish accounting lines for 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 Legal Services a list of each grant recipient to be funded under the given grant program.
3. Grants will create and issue via the Executive Director, a Notice of Award packet to each grant recipient. The packet will in 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. Notice of Award and Grant Agreement which serves as the commitment for the issuance, receipt, and use of federal grant funds between IDHS and the grant recipient. The Notice of Award 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, 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 Notice of Award 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 sub-grantee'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 approving and authorizing, in whole or in part, the requested budget change; and as needed;
iii. A letter to accompany an approval amendment that identifies and explains those portions of the requested change that is not approved; or
iv. A letter 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 return a copy of the signed amendment to the Grant Recipient when fully executed.
g. Grant Recipients will not initiate, obligate, or incur any revised program cost until the singed 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 <u>and</u> 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.
ii. Grant recipient submits a Sole Source Justification Worksheet (contained in Appendix B) for procurements in excess of $75,000 to Grants Staff justifying the proposed procurement prior to initiating the purchase.
a. Grants Staff will evaluate the justification with appropriate Program, Fiscal and Legal to validate the need to proceed with or deny the noncompetitive purchase. Grants staff may direct the Grant Recipient to submit additional information should the originally submitted justification be inadequate to make a decision on whether or not to approve the purchase.

b. Grants staff will provide a recommendation thru the Planning Division Director to the Executive Director, who will make the final determination, to proceed with the noncompetitive purchase or not.
c. Grants staff will provide the Grant Recipient, in writing, either the approval to proceed with the purchase or refusal to proceed with the specific reasons as to why such a purchase is not approved. If not approved, the Grant Recipient will be directed to make the purchase using appropriate competitive means or to modify the budget in order to make another purchase.

4. Cash Management. Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated. 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 U.S. Treasury 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). Staff will:
        i. Validate cash 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; and then
        iii. Submit validated cash requests to Fiscal office for payment and update the iGMS to reflect the approved reimbursement which will indicate the request has been sent for payment.
    b. Grants/Program staff, via the monitoring program, will randomly evaluate cash drawdowns 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 has submitted another cash request for other costs that has not yet been paid or will submit a cash request for other costs in the next five (business days), Fiscal will be directed to reduce the amount to be paid accordingly. Staff will annotate the correction on the respective cash requests.

iv. 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 the IDHS Legal Services representative.

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 Period[2]. 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 to determine their ability to conclude activities within the performance period.
    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 the Grants Branch 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 Branch will evaluate all extension requests and provide a recommendation to the Policy Development and Research Branch Chief as to which extensions should or should not be granted, to include specific reasons for each. The Branch 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 letters for rejected requests. Letters will detail reasons for denial of any such request.
        iii. Approvals and letters will be issued at least one month prior to the end of the grant recipient's performance period.
    d. Grant Recipients that cannot complete activities and do not request a grant extension will receive a de-obligation letter at the end of their performance period.
    e. De-obligated funds will be awarded to other Grant Recipients or expended by IDHS.

[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.

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.
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.
    b. If funding must be awarded to local units of government, eligible entities will be directed to submit projects for funding consideration.
iii. Final focus will be given to funding projects or costs for IDHS.
    c. 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 Director will direct the funds be obligated by IDHS or returned to DHS.
iv. Final focus will be to de-obligate the remaining funds back to 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 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 Fiscal department 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 Fiscal office 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.

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, advise the Fiscal office to stop any/all payments to the Grant Recipient. Any funds currently requested will be denied and rejected back to the federal awarding agency, unless this creates a greater burden/issue, and in that case those funds may be passed-thru and will be the final funds issued.

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; and
        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.

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. Grants staff will annually remind Grant Recipients of the requirement. 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; and

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 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, copies of which will be given to the Internal Audit section for coordination (or action as needed).
d. Financial audits of grant recipients may also be accomplished by the DHS OIG based on their internal agency requirements and timelines. Grants staff will review and address any finding or recommendation provided in the 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 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. Statues of recipient as "high risk[3]" (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

[3] "High risk" criteria specified in *Grant Recipient Pre-Award Administration* 2.b.i-v.

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 Preparedness Goals.

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;
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 a 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; and
    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; and
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 statewide conferences, regional 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 than provided in statewide conferences 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.

Reporting Requirements

1. Quarterly Report. Grant Recipients will complete and submit required quarterly fiscal reports as per requirements in the sub-grant agreement. 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 provided to the Grant staff.
   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 association 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 $5,000 or more **per unit**.
    a. Radios with a per unit value of $4,500, quantity 20, with a cumulative acquisition price of $90,000 need not be inventoried and reported.
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 C) 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 $5000 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 $5000 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.

Example:	
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. Grant Section Chief will maintain a separate file/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 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 thru 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 award with 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, request the Grant Recipient to 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.
    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 D) 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 Fiscal office to complete final reconciliation of the state's federal award. Grants and Fiscal will reconcile federal drawdown reports as compared to state revenue and disbursement reports.
   b. Fiscal office will prepare records necessary to complete and submit final Financial Status Report (SF-269) in conjunction with the Grants Management Section Chief. Fiscal 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 Management will provide the appropriate documentation to justify the need for the extension.
      iii. Once an extension is approved, Grants Management and Fiscal 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 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 section 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 Grants 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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V. APPENDICES

Appendix A – Indiana Department of Administration Methods of Solicitation

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 – Sole Source Justification Worksheet

Requirements for Consideration of Sole Source Procurement in excess of $75,000 – The following must be provided in writing and approved prior to the procurement being initiated.

I. Introduction - Justification to awarding agency for non-competitive procurement (sole source contracting)
    a. Note: This is NOT the same as a single vendor responding to a competitive solicitation.
II. A brief description of the project and what service/equipment is being contracted.
III. Explanation of why is it necessary to contract non-competitively with specified contractor.
    a. Expertise and experience of the contractor
    b. Management capability and
    c. Responsiveness
    d. Knowledge of the project
    e. Past performance of contractor
    f. Results of a market survey to determine availability of competition or, if none was conducted, why not?
IV. Time Constraints
    a. Project timeline
    b. Impact on project if timeline is not met
    c. How long would it take another contract to reach the same level of competence (equate to dollars if desired)
V. Uniqueness of project (e.g. single vendor or source)
VI. Additional information to support a non-competitive procurement (e.g. public emergency)
    a. Federal agency approval may be required.
    b. Costs exceed the simplified acquisition threshold.
VII. Declaration that this action is in the best interests of the agency.

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Appendix C – Property Inventory Report[4]

	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 D – Closeout Letter

RE: Closeout of Grant Award [name] [number]
Subgrantee Agreement #(s):

Date
Authorizing Signatory Official
Jurisdiction Name
Address
City, State, Zip

Dear xxxx:

This letter is to inform you that IDHS has received, reviewed and approved the final narrative, financial and property inventory reports. All applicable administrative actions and project deliverables have been completed for [name of grant] with EDS# C44P-xx-xxxx for the performance period date to date.

Your final request for reimbursement was processed, and warrant #____ in the amount of $_____ was issued date, leaving a balance of [$0] [$_____] which has been de-obligated.

We have officially closed this grant in accordance with the general closeout principles and guidance in the Office of Management and Budget *Common Rule for Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*, as adopted by the [applicable federal agency] and applicable grant program guidance.

Sub-grantees are required to retain grant records and documentation for three (3) years after the final reports have been submitted to IDHS. *Property/Equipment Inventory Reports*, if applicable to this grant, are required until disposition of all property/equipment purchased with these grant funds is complete. Sub-grantees who expend $500,000 or greater en federal funds in a fiscal year are required to comply with the Single Audit Compliance regulation in OMB Circular A-133.

If you have any questions regarding this final closeout, please contact the Program Manager [xxxx xxxxx] at (317) xxx-xxxx or xxxxxxxxx@dhs.in.gov

Sincerely,

cc: Jurisdiction Project Manager
Jurisdiction Financial Officer
IDHS Project Manager

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Appendix E – iGMS Manual

iGMS Dashboard

screen shot of topic areas are forthcoming!

My Proposals
This section displays all proposals either created by the user or assigned to the user as the Project Manager.

By selecting a specific proposal name within *My Proposals*, the Project Manager can view and edit the contents of the project including the summary, applicant information, point of contact, management team and other details.

- Reimbursements – Each proposal may have reimbursements attached to it (depending on the project's progression) and selecting *Reimbursements* will display all reimbursements associated with the proposal.

General Budget Information
This section provides access to budget information including the following:

- *Complete Budget List* – This will display all allocations for a specific user independent of proposals. Project Specific budget information can also be accessed through the proposal.

- *Funding Tree* – This will show the complete budget list , broken down by year and state or local funding.

- *Funding Adjustments* – From here, the project manager can edit the award given to a sub-recipient. The Edit function allows changes in the dollar amounts. Changes between proposals or sub-grantees can be explained I the note section.
- *Reimbursements* – All reimbursements for the Project Manger will be displayed.

- *Disbursements* – This will show all disbursement activity. A disbursement is created by Grants Management and details when the funds were transferred from the Auditor of State to the recipient.

- *GANs* – This will display a list of all GANs in process or complete. GAN information can also be accessed by visiting the specific proposal.

My Sub-Recipients (IDHS Project Managers only)
This section allows Project Managers visibility into sub-recipients participating in project for which they are responsible. A Project Manager has read-only access for all projects assigned to him/her. From here, a Project Manager can review proposals, budgets and reimbursements for a specific sub-recipient.

My RFEs (IDHS Project Managers only)
This section shows two sections of Requests for Expenditure: those needing immediate attention and those recently added.

- RFEs requiring auditing – Any RFE created by the user will be elevated (using an exclamation point and isolated) to show the action required. Once the RFE has been audited, it will be available with other RFEs created by the user.
- Latest RFEs – This section will display the five most recently created RFEs.
- More – This will take the user to the balance of RFEs created by him/her.

Agreement Tracking (IDHS Project Managers Only)
This section allows the user to view the status of any agreement for which s/he is responsible. Most users will have read only access to this feature. If an update is made to an agreement in process and that update sits idle for seven (7) days, both the user who entered the update and the Project Manager will be notified that the item is idle.

Other IDHS Applications
This section shows the other applications available via the portal for IDHS users including:
- Agency Calendar
- Training Calendar
- Fixed Asset Inventory
- Request for Expenditure
- Fiscal Reports (for users with state funds)
- Project Manager Report – This report will display each proposal, the fund source, amount and obligation rating.

My Help
This section provides a centralized area to provide user help services including:
- iGMS Manual – Link to the most updated system manual.
- Help Desk – Users can submit iGMS problem reports, suggestions or comments regarding the system via this form. These suggestions/comments will be addressed with any technical issues being resolved immediately and enhancement requests being categorized and considered for implementation by the iGMS User Group.
- User Profile – Customization of user experience including color scheme and font.
- Contact Us – Users can send any other feedback to IDHS using this form.

My Proposals

My Proposals is where a user should start when defining a specific project. This format is based on information required in a number of grant applications.

Create new Proposal
By creating a new proposal, users will be required to complete the following:

I. Title

II. Funding Source[5] – Users must have a funding allocation available in order to like a funding source to a specific proposal. Typically, users will be notified by a Project Manager or other IDHS representative of the presence of an allocation which will allow for budget submission.

III. Two-Sentence Summary -This section should include information for those readers who will not read the entire document but who will need a summary of the proposal.

   a. The purpose and anticipated end result of this proposal
   b. The type and amount of support requested
   c. The total anticipated budget
   d. Other information you deem pertinent

IV. Applicant Information

V. Primary Point of Contract

VI. Management Team - State all federal, state, local, non-profit, private, and educational organization partners here. Describe the management team that is directly responsible for the implementation of this project. Specifically, describe any key project roles and responsibilities, structures, and subject matter expertise required by this project, **including at least the project manager and the contracts management structure**. An organizational chart may be included in the response.

   a. Note: this is **NOT** a description of an organizational chart. In addition to the project manager and SMEs, consider including admin functions such as accounting and procurement.

VII. Strategy Alignment (State/Federal)

VIII. Current Status of Project - Describe the current status of this project, specifically including any outcomes that have already been achieved (**be specific!**). Discuss other options that were considered and why this project was selected over other options.

IX. Project Detail/Capability Enhancement - Describe the overall, long-term purpose of this project, including how this project supports the Indiana Strategy for Homeland

[5] See "Creating a Budget" for information on budget creation.

Security Goals and Objectives, the National Priorities, and the Target Capabilities identified.

X. Milestones - Provide detailed information on the expected timetable/milestones for the project. **The three phases are indicated – Pre-Grant, during Grant Period, and after Grant**.

   a. **Appropriate level of detail** includes entries such as: obtain support and feedback from first-responder stakeholders; complete training on newly purchased GPS trackers; integrate communications systems across fire/police departments and hospitals, etc. **Inadequate** detail includes entries such as: stakeholder engagement; training; exercises.

XI. Project Challenges - Identify any challenges to the effective implementation of this project. Include the probability that the challenge will occur, and the level of impact should it occur, as well as a description of how the challenge will be mitigated.

   a. **Possible areas** of challenges include Schedule, Costs, Feasibility, Dependencies and Interoperability between this project and others, Management, Organizational and change management, Technology, Strategy, and project resource availability.

   b. **Specific examples** of challenges include schedule delays cost overruns, inability to continue due to dependency on another related project, or changes in overall strategy or priorities.

XII. Evaluation/Impact - What outcomes will indicate that this project is successful at the end of it? What outcomes will indicate that this project is successful at the end of the FY 2007 HSGP period of performance? Include:

   a. Outcomes that will be demonstrated throughout the project;

   b. Outcomes that will be expected at the conclusion of the grant period;

   c. Measurable outputs that will lead to these outcomes

   d. How the outcomes will mitigate the risks in Indiana

   e. **Sample outputs**: Increased # of firefighters trained in mass casualty response; # of personal protective suits purchased; number of biohazards detected.

   f. **Sample outcomes**: increased mass casualty response capacity; shorter response time to bomb; interoperability across all EOCs within the county; ability to detect biohazard presence within shorter amount of time.

g. **Note**: The Target Capabilities List and the performance measures associated with critical tasks included within may be a useful reference when developing measurable outputs.

XIII. Sustainability - What is the long-term approach to sustaining the capabilities developed by this project? Describe any additional sources of funding to be used, and future plans or milestones for sustaining the investment. Response should reference the impact (XII. above) and how progress in addressing the capability gaps (identified in VIII. and IX. above) will be sustained.

Creating a Budget

Creating a budget is a critical piece of proposal submission and includes the detailed spending plan for the proposal. In order to enter a new or edit an existing budget, it must be accessed through the specific proposal. This is done by selecting the proposal and then choosing the hyperlinked budget to edit.
Once the selected allocation/budget is loaded, much information can be gathered from the allocation line including:

I. Award – Amount of funding available to be budgeted.

II. Budget – Amount of award which has been budgeted.

III. Funds to be reallocated – Balance of funds not budgeted.

IV. Contact – Primary point of contact for the budget.

V. Performance Period End Date – At what date the grant will expire.

VI. Fully Executed Agreement – Once through the state signature process and executed, the sub-grant agreement or MOU will be available for download.

VII. GAN – From here, a user can create a Grant Adjustment Notice (GAN) for an approved budget. If a budget is not approved, a GAN cannot be created. Once a GAN is created, the process for creating or editing items is the same as the budget creation process.

Creating a New Item

I. Project – Specify proposal.

II. Fund – If multiple funds are associated to a single proposal, specify to which fund this item is associated.

III. Solution Area (see specific grant guidance for information on allowable costs)

a. Planning

b. Organization

c. Equipment

d. Training

e. Exercise

f. Management and administration

IV. Category – Specific to the solution area, specify the category of expenditure.

V. Discipline – Which primary discipline will benefit

VI. Description – Description of item.

VII. Narrative – Description (when applicable) of how the budget numbers were determined. For instance, if there is a $5,000 travel line, the *Narrative* would be a good place to explain the nature of that line item.

Users should continue to add items until all funding has been allocated. Once all funding has been allocated, the user must ***submit*** the budget using the ***Submit*** button. Only once a budget is submitted, will it be considered.

Reimbursements

Users can access Reimbursement requests associated to a specific proposal from this area.

Create New Reimbursement

When creating a new reimbursement request, the following information is required:

I. Vendor – Name of entity with whom the document is associated.

II. Amount – Total amount of reimbursement request.

III. Description – Brief description of request.

IV. Document – Type of document i.e. invoice, P.O., receipt, check, other.

V. Document ID – Number associated with document.

VI. Document Date – Date on document.

VII. Requested Date – Date reimbursement requested.

Auditing a Reimbursement

Once this information is complete, the reimbursement must be audited. Auditing a reimbursement connects that reimbursement to a specific approved budget line item. To do this, once the reimbursement is created, click the *Post to Budget* button.

I. Approved Budgets – From the drop down menu, select the appropriate budget.

II. Radial Button – On the appropriate budget detail item line, click the corresponding radial button.

III. Amount – Enter the amount to be posted to that detail item then click “add”.

IV. Repeat – Repeat steps II & III until the audited amount equals the total amount of the reimbursement request.

NOTE: the system will show a running balance and will notify when the audit is balance by showing a green complete under the audit status

V. Click "end audit"

VI. Submit the reimbursement request

VII. Forward accompanying documentation to IDHS.

Quarterly Reports

Grantees are required to submit Quarterly Progress and Financial Status Reports on project activities and accomplishments. It is expected that reports will include data appropriate to this stage of project development and in sufficient detail to provide a clear idea and summary of work and accomplishments to date. The following should be observed in preparation and submission of progress reports:

Reports are due on a quarterly basis -- 15 calendar days after June 30, September 30, December 31 and April 30 -- for the life of the grant as follows:

I. Grantees should log into the iGMS to complete the report. In the dashboard, click on the proposal for which you wish to submit a report.

II. Click on the associated budget.

III. Click the "Quarterly Progress and Financial Status Reports" button.

IV. Select "create new report".

V. Complete form by filling out all fields. You can get the "amount of the grant award" and "total expenditures to date" on the iGMS budget screen.

a. CFDA #: This number can be located on your fully executed agreement.

b. Quarter: (drop down menu)

Period	Reporting Period:	Due No Later Than:
1	July 1 – Sept. 30	October 15
2	Oct 1 - December 31	January 15
3	January 1- March 31	April 15
4	January 1 - June 30	July 15

c. Amount of grant award: Located on the iGMS Subgrants screen

d. Total expenditures to date: Located on the iGMS Subgrants screen

e. Total obligations: Any PO's or contracts, etc. for which grant funds have been obligated but reimbursement has not been requested.

f. Expenditure projection: will the funds be fully expended before the end of the performance period award the sub-grantee

g. Extension GAN: If the previous field is no, confirm a GAN has been submitted

h. Objectives and Performance Indicators: List each project objective and performance indicator from the grant application and indicate the progress toward fulfilling the stated objective in a narrative paragraph following each objective.

i. Implementation Schedule: Will the project be completed on schedule? If not, indicate the timeframe for completion, reason for the delay and the effect of these problems on the remaining schedule for achieving the remaining objectives of the project. If appropriate, identify changes which are needed in the implementation plan specified in the grant application to overcome problems. Changes which alter objectives and/or performance indicators set forth in the application require prior approval from IDHS and a formal grant revision.

j. Technical Assistance Needed: State what technical assistance IDHS might provide during the next six month period to help resolve implementation problems. If technical assistance has been provided to resolve implementation problems, state the problems (or tasks) addressed and the results (or impact) of the assistance provided.

k. Equipment Status: Have items listed in the EQUIPMENT and OTHER Budget Categories been ordered? Please provide a list of all equipment in the grant application with the date ordered, date received and remaining status. Use additional pages, if necessary.

l. Personnel Status: Have all personnel been hired? Please provide a list of personnel hired for this project with name of hire, date of hire and position.

m. Other Issues: Please describe how other significant activities/initiatives are enhancing the overall preparedness and responder capabilities on your jurisdiction.

n. Project Director: Name of person responsible for grant projects

o. Date of Report: Date report is completed

p. Financial officer: Name of person responsible for actual fiscal activity of the grant.

NOTE: Signatures constitute certification of data on the report and must be originals.

VI. Click “save”.

VII. Click “submit”. NOTE: Submitted reports cannot be altered. Before you submit, you may print a draft of the report to proof by clicking on “create pdf”. This is a DRAFT only and cannot be used as the report submitted to the State.

VIII. When asked “Submit this report?”, click “submit”

IX. Click on the quarter of the current report.

X. Click on “create pdf”. Print the report.

XI. Have Project Director sign report (Box 7) submit to the Financial Officer for signature (Box 14) and date (Box 15). Mail completed **original** to IDHS Grants Management.

Appendix F – IDHS Exercise Grant Guidance

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Indiana Department of Homeland Security
Exercise Guidance
FY 07

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Executive Summary

The Indiana Department of Homeland Security has developed this Exercise Guidance to provide Indiana's emergency response agencies who participate in U.S. DHS funded training exercises useful information regarding the policies and procedures that must be followed when requesting reimbursement for training exercise expenses; and to provide information regarding expenses that are allowed under the U. S. DHS Grant programs.

The Indiana Department of Homeland Security receives federal grants to use for exercise training. It is the obligation of the Indiana Department of Homeland Security to ensure that all jurisdictions receiving exercise funding for the design, development and conduct of training exercises use these funds in compliance with federal and state requirements.

The purpose of exercise training is to validate plans, policies and procedures, and the capabilities of the participating entities. In addition, exercises assist IDHS in identifying additional needs at both the State and local level for training of emergency response personnel. Training exercises can provide valuable lessons learned and best practices that will aid IDHS and local jurisdictions in future planning and training. These lessons learned can and most likely will be used in the design and development of future exercises.

The Indiana Department of Homeland Security has adopted the U.S. Department of Homeland Security's *Homeland Security Exercise and Evaluation Program* (HSEEP) as the planning methodology for the planning, conduct, and evaluation of all training exercises funded by USDHS Grant Funds in accordance to HSPD8. This Exercise Guidance references and incorporates the requirements of HSEEP. The HSEEP and this Exercise Guidance can be a beneficial tool for the development and conduct of training exercises. For further information on HSEEP, please visit: http://www.hseep.dhs.gov/

This *Indiana Department of Homeland Security Exercise Guidance FY 07* is effective for Grant Year 2007 Homeland Security Grant Funds.

TABLE OF CONTENTS

A. Exercise Guidance **57**

B. Exercise Proposal **60**

C. Exercise Conduct **61**

D. Exercise Types **62**

E. Minimum Planning Timelines **66**

F. Allowable Exercise Expenditures **67**

G: Unauthorized Exercise Costs **70**

H. Exercise Reimbursement **71**

H.1 REIMBURSEMENT FOR EXERCISE SERIES 73

A. Exercise Guidance

1. This Guidance applies to jurisdictions or agencies that receive grant funding from the Indiana Department of Homeland Security (IDHS) to plan and conduct training exercises.

2. All training exercises designed and conducted with the financial support of the Indiana Department of Homeland Security are subject to the approval of the Executive Director of the Indiana Department of Homeland Security.

3. The use of training exercise funding must comply with guidance set forth by the United States Department of Homeland Security and the Indiana Department of Homeland Security.

4. The scenarios used in HSGP-funded exercises must be based on the Indiana's Homeland Security Strategic plan and Multi-Year Training and Exercise Plan. Acceptable scenarios for SHSP, UASI, MMRS, and CCP exercises include: chemical, biological, radiological, natural disaster (Earthquake); and Task Force Deployment. LETPP exercises funded under this grant must involve a terrorist element as part of the scenario unless otherwise approved by the Indiana Department of Homeland Security.

   Maintaining the HSEEP methodology, all training and exercises for each subject matter will be conducted over a 3-year exercise cycle according to the chart below:

Year	Exercise Type
1	Table Top
2	Functional
3	Full Scale

   All exercises listed above shall be a multi-agency, multi-jurisdictional, district level exercises. However, in order to achieve the goal of raising capabilities of districts to respond to large-scale events, districts are encouraged to develop a comprehensive training and exercise program focused on preparing all entities to perform successfully in the exercises described above. The comprehensive training and exercise program may include a combination of smaller-scale discussion or operations-based exercises (as defined by HSEEP). The comprehensive training and exercise program should be developed during the required annual Training and Exercise Planning Workshop.

5. Indiana has identified one subject matter to test each year in a major, state-level, large-scale Full Scale Exercise (FSE). IDHS One District scheduled to do a FSE on the selected subject matter selected by the State , and the district assigned to do a FSE on TF Deployment will be asked to participate in the State exercise. This exercise offers participants an opportunity to work with agencies and organizations with which they rarely have an opportunity work.

6. Exercise Venues**:** IDHS is most concerned with developing the capabilities needed to respond to a catastrophic event in Indiana in accordance to Indiana's Strategic Plan. Each district full scale exercise proposal will be evaluated to determine if the planned exercise meets both the district's and the state's goals. While Indiana encourages the use of Muscatatuck Urban Training Center, districts are not mandated to utilize this facility if the capabilities being tested can best be tested within the jurisdiction. However, IDHS reserves the right to approve exercise venues and to request that all or some elements of a district exercise be conducted outside the jurisdiction in order to meet the overall objective of developing the capability to respond to a catastrophic event in Indiana.

7. The fiscal/legal agent shall be responsible for the acceptance and disbursement of all funds related to the design, planning, conduct, after action reporting and improvement planning for the exercises.

8. A sub-grant agreement providing funding for the exercise must be signed by both the Fiscal/Legal Agent and the State at least 30 days prior to the exercise or the exercise may be required to be canceled or postponed.

9. Any costs incurred before the date that the sub-grant agreement is signed by all parties, including exercise planning costs, will not be reimbursed.

10. When developing a schedule for an exercise, the time it takes to draft and obtain signatures on the sub-grant agreement must be included in the schedule. After IDHS receives the sub-grant agreement back from the fiscal/legal agent, it may take 45-60 days for it to be signed by all State signatories. (See Section E. Minimum Planning Timeline).

11. Indiana has adopted the Homeland Security Exercise and Evaluation Program (HSEEP) Methodology for exercise design, planning, conduct, and after action/improvement process. IDHS will not reimburse any exercise costs for exercises that are not HSEEP compliant from inception to completion.

    - All requests for direct funding support from the Indiana Department of Homeland Security must be accompanied by an "Exercise Proposal" as described in "B" below.

12. If a sub-grant agreement is already in place, a proposal for **each** exercise activity planned **must** still be submitted to the Indiana Department of Homeland Security prior to incurring any costs related to the planning or conduct of the exercise activity, otherwise the costs incurred for the conduct of the exercise will not be reimbursed.

13. All exercises must be scheduled on the U.S. DHS National Exercise Schedule (NEXS), to include all required information as listed on the NEXS. The NEXS can be located at: https://hseep.dhs.gov/. This is a requirement of U.S. DHS. No reimbursement may be made without the exercise entered in the NEXS.

14. All exercise activities must be conducted at the Indiana Department of Homeland Security District level unless otherwise directed and approved by IDHS.

15. **NIMS Compliance*:*** Exercises conducted using HSGP funding must be NIMS compliant, as defined by the2007 NIMS compliance matrices. More information is available online at the NIMS Integration Center, http://www.fema.gov/emergency /nims/index.shtm.

16. **Training and Exercise Plan Workshop*:*** Each IDHS District is required to conduct an annual Training and Exercise Plan Workshop (T&EPW). A Multi-year Training and Exercise Plan must be produced from the T&EPW and submitted to the State Preparedness & Training Branch Chief. This plan must be updated annually. The Training and Exercise Plan will include the District's training and exercise priorities (based on the homeland security strategy and previous year improvement plans), associated capabilities, and a multi-year training and exercise schedule (to be updated annually and resubmitted to IDHS within 30 days of the Workshop). The schedule should reflect all training and exercises that are being conducted throughout the District, including Urban Areas, and not just those that are sponsored by IDHS. A template of the Multi-year Training and Exercise Plan can be found in HSEEP Volume IV. The Multi-year Training and Exercise Plan should employ a cycle of activity that includes training and exercises of increasing levels of complexity. The training cycle will follow a building block approach that identifies, for each State priority, the related capability(ies), and the focus of the training necessary to address the associated capabilities. States and Urban Areas are encouraged to use exercises as an opportunity to meet the requirements of multiple exercise programs. To this end, grantees are encouraged to invite representatives /planners involved with other Federally-mandated (e.g., HHS, Chemical Stockpile Emergency Preparedness Program, Radiological Emergency Preparedness, and Federal Aviation Administration) or private (e.g., Joint Commission on accreditation of Healthcare Organizations) exercise activities. Districts and Urban Areas are encouraged to share, at a minimum, the multi-year training and exercise schedule with those departments, agencies, and organizations included in the plan. Further guidance concerning Training and Exercise Plan Workshops can be found in the HSEEP Volumes.

B. Exercise Proposal

The following guidance applies to those jurisdictions or agencies that request direct funding support from the Indiana Department of Homeland Security for conducting exercise training.

1. The exercise planning team for the District will be required to give a formal presentation on the proposed exercise to the Executive Director of the Indiana Department of Homeland Security and/or other officials within the Indiana Department of Homeland Security.

2. The exercise proposal shall be submitted to the Indiana Department of Homeland Security Preparedness & Training Branch for review. The proposal should be submitted in an electronic format to ghusband@dhs.in.gov

3. The exercise proposal shall include:

    a. An estimated detailed budget worksheet that includes the expenses that is anticipated in the design, planning, and conduct of the exercise and After Action/Improvement items. Budgets shall be provided in a format approved by IDHS.

    b. A justification for the expenses shall be included with the detailed budget worksheet to ensure that the expenses comply with this Exercise Guidance and the United States Department of Homeland Security exercise and grant guidance documents.

    c. Points of contact for the requesting jurisdiction and participating agencies.

    d. Proof that the exercise is being planned and designed in accordance with the HSEEP methodology including:

        - Proof of entry into the National Exercise Scheduling System.
        - Goals and Objectives
        - Needs/Capability Assessment
        - Scope
        - Statement of Purpose
        - Narrative (Scenario)
        - Major Events

    e. Any other relevant information as requested by IDHS

4. If a sub-grant agreement is not already in place, this information will be used to develop the sub-grant agreement. When developing a schedule for an exercise, the time it takes to fully execute the sub-grant agreement must be included in the schedule. After IDHS receives the sub-grant agreement back from the fiscal/legal agent, it will take 45-60 days for it to be signed by State signatories. (See Section E. Minimum Planning Timeline and Appendix 1).

C. Exercise Conduct

The process of exercising is well established in operational documents and courses. For exercises to be effective, they must be conducted with a frequency that the jurisdiction can support. The State of Indiana subscribes to the Standard Operating Procedures that you must learn to "crawl before you walk, and walk before you run." Thus, the types of exercises should progress from Seminars, Workshops, Tabletops, Games, Drills, Functional exercises through Full-scale. This is particularly useful in the arena of terrorism-based exercises because of their uniqueness and potential for increased complexity.

Acts of terrorism or disasters will result in a multi-jurisdictional response. Therefore, it is recommended that the jurisdiction's Emergency Operations Center be an element in all exercises and activated in functional and full-scale exercises. The phrase fully activated means the majority of the Emergency Operations Center members are involved and the site's equipment is physically used. Players will respond to simulated events in the field or will actively work with Players in the field to manage the scenario. This activation will need to be accomplished during either a functional or full-scale exercise. A tabletop exercise will not fulfill this requirement because tabletop exercises do not physically use equipment during the exercise. For those jurisdictions that have alternative Emergency Operations Centers, they should test or activate the alternative Emergency Operations Centers during an exercise to determine their functionality.

D. Exercise Types

Utility/Purpose		Type of Player Action	Duration	Real-Time Play?	Scope
Discussion-Based Exercises	Familiarize players with current plans, policies, agreements, and procedures; develop new plans, policies, agreements, and procedures	Notional; player actions are imaginary or hypothetical	Rarely exceeding 8 hours	No	Varies
Seminar	Provide overview of new or current plans, resources, strategies, concepts or ideas	N/A	2-5 hours	No	Multi- or Single-agency
Workshop	Achieve specific goal or build product (e.g., exercise objectives, SOPs, policies, plans)	N/A	3-8 hours	No	Multi-agency/ Single function
Tabletop Exercise (TTX)	Assist senior officials in the ability to understand and assess plans, policies, procedures, and concepts	Notional	4-8 hours	No	Multi-agency/ Multiple functions
Game	Explore decision-making process and examine consequences of those decisions	Notional	2-5 hours	No (though some simulations provide real- or near-real-time play)	Multi-agency/ Multiple functions
Operations-Based Exercises	Test and validate plans, policies, agreements, and procedures; clarify roles and responsibilities; identify resource gaps	Actual; player action mimics reaction, response, mobilization, and commitment of personnel and resources	May be hours, days, or weeks, depending on purpose, type, and scope of the exercise	Yes	Varies
Drill	Test a single operation or function of an agency	Actual	2-4 hours	Yes	Single agency/ Single function
Functional Exercise (FE)	Test and evaluate capabilities, functions, plans, and staffs of Incident Command, Unified Command, intelligence centers, or other command/operations centers	Command staff actions are actual; movement of other personnel, equipment, or adversaries is simulated	4-8 hours or several days or weeks	Yes	Multiple functional areas/ Multiple functions
Full-Scale Exercise (FSE)	Implement and analyze plans, policies, procedures, and cooperative agreements developed in previous exercises	Actual	One full day or several days or weeks	Yes	Multi-agency/ Multiple functions

1. Discussion-based Exercises

   Discussion-based exercises are normally used as a starting point in the building-block approach of escalating exercise complexity. Discussion-based exercises include seminars, workshops, tabletop exercises (TTX's), and games. These types of exercises typically highlight existing plans, policies, interagency/interjurisdictional agreements, and procedures. Discussion-based exercises are valuable tools for familiarizing agencies and personnel with current or expected jurisdictional/organizational capabilities. Discussion-based exercises typically focus on strategic, policy-oriented issues. Facilitators and/or presenters usually lead the discussion, keeping participants on track toward meeting exercise objectives.

   a. Seminars

      Seminars are informal discussions, unconstrained by real-time portrayal of events and led by a seminar leader. They are generally employed to orient participants to, or provide an overview of, authorities, strategies, plans, policies, procedures, protocols, response resources, and/or concepts and ideas. Seminars provide a good starting point for jurisdictions/organizations that are developing or making major changes to their plans and procedures.

   b. Workshops

      i. After seminars, workshops represent the second tier of exercises in the HSEEP building-block approach. They differ from seminars in two important respects: participant interaction is increased, and the focus is on achieving or building a product (such as a draft plan or policy). Some workshops are employed in conjunction with exercise development to determine objectives, develop scenarios, and define evaluation criteria.

      ii. A workshop may also be used to produce new standard operating procedures (SOPs), emergency operations plans (EOP's), MAAs, multi-year plans, or improvement plans. To be effective, workshops must be highly focused on a specific issue, and the desired outcome or goal must be clearly defined. A district Training & Exercise Planning Workshop can also be funded with exercise grant funds.

   c. Tabletop Exercises (TTX)

      i. Tabletop Exercises (TTXs) involve key personnel discussing simulated scenarios in an informal setting. This type of exercise is used to assess plans, policies, and procedures or to assess the systems needed to guide the prevention of, response to, and recovery from a defined incident. TTXs typically are aimed at facilitating understanding of concepts, identifying strengths and shortfalls, and achieving changes in attitude. Participants are encouraged to discuss issues in depth and develop decisions through slow-paced problem solving, rather than the rapid, spontaneous decision making that occurs under actual or simulated emergency conditions. The effectiveness of a TTX is derived from the energetic involvement of participants and their assessment of recommended revisions to current policies, procedures, and plans.

      ii. TTX methods are divided into two categories: basic and advanced. In a basic TTX, the scene set by the scenario materials remains constant. It describes an event or emergency incident (i.e., scenario) and brings discussion participants up to the simulated present time. Players apply their knowledge and skills to a list of problems presented by the leader/moderator; problems are discussed as a group; and resolution is generally agreed on and summarized by the leader.

iii. In an advanced TTX, play revolves around delivery of pre-scripted messages to players that alter the original scenario. The exercise controller (or moderator) usually introduces problems one at a time in the form of a written message, simulated telephone call, videotape, or other means. Participants discuss the issues raised by the simulated problem, applying appropriate plans and procedures.

iv. TTX's are effective for evaluating group problem solving, personnel contingencies, group message interpretation, information sharing, interagency coordination, and achievement of specific objectives, among other issues.

d. Games

i. A game is a simulation of operations that often involves two or more teams, usually in a competitive environment, using rules, data, and procedures designed to depict an actual or assumed real-life situation. A game does not require use of actual resources, and the sequence of events affects, and is in turn affected by, decisions made by players. The goal of a game is to explore decision-making processes and the consequences of those decisions.

ii. With the evolving complexity and sophistication of current simulations, opportunities to provide enhanced realism for game participants have increased. Computer-generated scenarios and simulations can provide a more realistic and time-sensitive method of introducing situations for analysis. Planner decisions can be input into realistic models to show the effects of decisions made during a game. Internet-based, multi-player games offer many additional benefits, such as saving money by reducing travel and travel time, offering more frequent training opportunities, and taking less time away from primary functions. They also provide a collaborative environment that reflects realistic occurrences.

2. Operations-based Exercises

Operations-based exercises represent the next level of the exercise cycle. They are used to validate the plans, policies, agreements, and procedures solidified in discussion-based exercises. Operations-based exercises include drills, functional exercises (FEs), and full-scale exercises (FSEs). They can clarify roles and responsibilities, identify gaps in resources needed to implement plans and procedures, and improve individual and team performance. Operations-based exercises are characterized by actual reaction to simulated intelligence; response to emergency conditions; mobilization of apparatus, resources, and/or networks; and commitment of personnel, usually over an extended period of time.

a. Drills

A drill is a coordinated, supervised activity usually employed to test a single, specific operation or function in a single agency or organizational entity. Drills are commonly used to provide training on new equipment, develop or test new policies or procedures, or practice and maintain current skills.

b. Functional Exercises (FE)

i. The functional exercise (FE), also known as a command post exercise (CPX), is designed to test and evaluate individual capabilities, multiple functions, activities within a function, or interdependent groups of functions. Events are projected through an exercise scenario with event updates that drive activity at the management level. An FE simulates the reality of operations in a functional area by presenting complex and realistic problems that require rapid and effective responses by trained personnel in a highly stressful environment.

ii. Response and recovery-focused FE's are generally focused on exercising the plans, policies, procedures, and staffs of the direction and control nodes of Incident Command and Unified Command. Movement of personnel and equipment is simulated.

iii. Prevention-focused FE's are usually focused on exercising the plans, policies, procedures, agreements, networks, and staffs of fusion centers or law enforcement agencies with counterterrorism missions. Adversary actions are largely simulated and delivered in the form of shared intelligence; however, some of these actions may be carried out by simulated adversaries, or Red Teams, in a separate but coordinated category of exercise play. See HSEEP Volume V: Terrorism Prevention Exercises for more information.

c. Full-Scale Exercise (FSE)

i. The FSE is the most complex type of exercise. FSE's are multi-agency, multi-jurisdictional, multi-organizational exercises that test many facets of preparedness. They focus on implementing and analyzing the plans, policies, procedures, and cooperative agreements developed in discussion-based exercises and honed in previous, smaller, operations-based exercises. In FSE's, the reality of operations in multiple functional areas presents complex and realistic problems that require critical thinking, rapid problem-solving, and effective responses by trained personnel. During FSE's, events are projected through a scripted exercise scenario with built-in flexibility to allow updates to drive activity. FSE's are conducted in a real-time, stressful environment that closely mirrors real events. The level of support needed to conduct an FSE is greater than that needed during other types of exercises.

ii. Response-focused FSE's include many first responders operating under the principles of the National Incident Management System (NIMS) to effectively and efficiently respond to an incident. First responders and resources are mobilized and deployed to the scene where they conduct their actions as if a real incident had occurred (with minor exceptions).

E. Minimum Planning Timelines

Discussion-Based Exercises

All time frames below are the **MINIMUM** recommended by HSEEP

Milestones	Fully Executed Sub Grant	Concepts & Objectives Meeting	Initial Planning Conference	Presentation to State w/Budget	State Approval	Mid-Term Planning Conference (if needed)	MSEL Conference	Final Planning Conference	Conduct Exercise	Draft AAR/IP	After-Action Conference	ARR/IP Final Draft
Months prior to Exercise Date	5	NA	3	2.5	2.5	2	NA	1.5		-1	-1.25	-2

Operations-Based Exercises

All time frames below are the **MINIMUM** recommended by HSEEP

Milestones	Fully Executed Sub Grant	Concepts & Objectives Meeting	Initial Planning Conference	Presentation to State w/Budget	State Approval	Mid-Term Planning Conference	MSEL Conference	Final Planning Conference	Conduct Exercise	Draft AAR/IP	After-Action Conference	ARR/IP Final Draft
Months prior to Exercise Date	8	7	6	5.5	5	4	3.5	1		-1	-1.25	-2

Exercise Planning Timelines

Exercise planning timelines establish target timeframes for attaining significant, exercise-related milestones, such as planning conferences, training, exercise conduct, after-action reporting, and improvement planning. These timelines should be consistent with the scheduling component of the entity's Multi-Year Training and Exercise Plan.

Timelines will vary based on exercise scope and complexity. For example, exercise planners generally employ longer timelines for tabletop exercises (TTXs) than for workshops and seminars, and even longer timelines for complex or multi-jurisdictional full-scale exercises (FSEs). Timelines also may vary based on the entity's experience in conducting exercises, available resources, and exercise planning team size. Examples of exercise planning timelines containing milestones are available in Appendix C: Exercise Planning Timelines and in HSEEP Volume IV. (Excerpt from USDHS HSEEP Vol I)

F. Allowable Exercise Expenditures

There are federal requirements that apply to procurement and contracting initiated using federal funds for training exercises. Exercise grant funding can be used for the following types of expenditures (Please refer to Section H-Other Important Information of this exercise guidance for a description of some of these federal requirements training):

1. **Funds Used to Design, Develop, Conduct and Evaluate an Exercise** – Includes costs related to planning, meeting space and other meeting costs, facilitation costs, consumable materials and supplies, travel, and documentation. Some examples of allowable expenses include:
    a. Paper
    b. writing utensils
    c. copy fees
    d. printing manuals
    e. identification badges
    f. signs
    g. rental items
    h. light refreshments
    i. working lunches, and meals for large exercises (over 4 hours in duration)

2. **Self-Sustaining Exercise and Evaluation Program:** Includes costs related to developing and maintaining a self-sustaining District Homeland Security Exercise and Evaluation Program modeled on the national HSEEP, including HSEEP awareness seminars, exercise training courses, and AAR/IP tracking.

3. **Travel Expenses:** Travel costs (e.g. airfare, mileage, per diem, and hotel) are allowable expenses by employees who are on travel status for official business related to planning and conduct for the exercise project(s**).** Vehicle costs related to the planning or conduct of an exercise is reimbursable in the form of mileage or fuel, not both. If mileage is claimed, the mileage rate shall be based on the rate paid by the State of Indiana ($0.40/mile).

4. **Consultants/Contractors**: The services of contractors/consultants may also be procured to support the design, development, conduct, and evaluation of exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) **[SEE MY COMMENT IN THE E-MAIL—COMPLIANCE WITH FAR IS REQUIRED IN THE FEDERAL GRANT GUIDANCE FOR THESE PARTICULAR COSTS ASSOCIATED WITH EXERCISES; HOWEVER, FAR IS NOT APPLICABLE TO ANY OTHER GRANT EXPENDITURES—I THINK THIS MAY BE A MISTAKE IN THE FEDERAL GUIDANCE]**–whichever is more stringent – must be followed. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities (See other important information on page 21). The sub grantee shall be responsible for any agreements or contracts for the procurement of contractors/consultants to assist in the development/design and execution of the exercise. The contractor/consultant expenses shall be part of the detailed estimated budget and the final detailed exercise budget.

5. **Personnel Expenses:**
    a. **Overtime**: Actual wages paid by an employer incurred by participating agencies to personnel involved in exercise activities over and above their normal scheduled work hours. Invoices must contain documentation showing the names of the employees involved, their normal pay and overtime rate, the fact that the employee is overtime eligible and a copy of the employer's overtime policy. (see H. Exercise Reimbursement) In no case is dual compensation allowable. Fringe benefits on overtime hours are limited to FICA, Workers' Compensation and Unemployment Compensation.
        i. Overtime may include part time or half time employees who work over and above their normal scheduled work hours or work week.
        ii. Requests for overtime reimbursement exceeding 12 hours per 24-hour period require written justification and approval from IDHS prior to the exercise
        iii. Safety is a primary concern of IDHS for all exercises. Exercise Safety Officers are urged to evaluate responder's ability to return to their home district, if the exercise is conducted away from the home jurisdiction. IDHS will reimburse expenses related to responder rehab, including hotel expenses, if safety officers determine such action is in the best interest of the responder.

    b. **Backfill (Also called overtime as backfill):** personnel costs of employees who work over and above their normal scheduled work hours, or work week, in order to perform the duties of those temporarily assigned to participate in approved exercise activities outside their core responsibilities.

        i. This may include part time or half time employees who work over and above their normal scheduled work hours or work week.
        ii. Requests for overtime reimbursement exceeding 12 hours per 24-hour period require written justification and approval from IDHS prior to the exercise.
        iii. Safety is a primary concern of IDHS for all exercises. Exercise Safety Officers are urged to evaluate responder's ability to return to their home district, if the exercise is conducted away from the home jurisdiction. IDHS will reimburse expenses related to responder rehab, including hotel expenses, if safety officers determine such action is in the best interest of the responder.
    c. **Paid-For-Call/Paid-On-Call personnel:** If a department relies upon paid-for-call/paid-on-call or paid-by-call personnel, and opts to include them in the approved homeland security exercise, grant funds may be used to pay for their participation in accordance with their departments established payroll policy, to include both hourly and flat rate costs. In no case is dual compensation allowable (see above). Fringe benefits on overtime hours are limited to FICA, Workers' Compensation and Unemployment Compensation.

    d. Volunteers.-Certain volunteers may receive a stipend when participating in an exercise funded by the National Preparedness Directorate (NPD) Homeland Security Grant Program (HSGP).

i. For the purpose of this stipend, a volunteer is defined as an individual who is a member of an emergency response organization and are completely unpaid and no legal agreement exists to support pay for training and exercise activities. This includes volunteer firefighters as defined under IC 36-8-12-2. . The volunteer may not receive payment from any other source while participating in the exercise activities; this includes vacation or sick time for their employer. . This does not include volunteers from specific exempt organizations such as the American Red Cross or Community Emergency Response Teams (CERT).

ii. Stipend –The stipend for volunteers is $19.81 per hour for each hour the volunteer is deployed to the exercise that includes the time actually at the training venue. This stipend includes any time spent in planning for the exercise including attendance at planning conferences and meetings in accordance to HSEEP guidelines.

iii. If a district determines that they want to provide this stipend to eligible volunteers, the stipends shall be included in the organization's budget and will be distributed by the district fiscal/legal agent to the organization.

iv. In no case will a volunteer receive dual funding from his/her full/part-time paid job and from National Preparedness Directorate (NPD) Homeland Security Grant Program (HSGP) funding for participation in the same approved Homeland Security training and/or exercise activity". An employee is eligible for the stipend if the exercise is outside his or her normal work hours. An employee is not eligible for the stipend if the exercise occurs during his or her vacation or sick leave. It is the responsibility of the approving authority to record all volunteer hours for which stipends are requested and to provide a written report to IDHS as part of final budget documentation.

6. **Management and Administrative Costs (M&A):** Up to 3.5% of the amount of grant funds awarded can be used to reimburse for M&A costs incurred by the recipient of the funds. M&A costs are direct costs that are incurred to administer a particular program/award. M&A costs are identifiable and unique to each program/award and are charged based on the activity performed for that particular project. M&A costs may include:

   a. Salaries of full-time or part-time staff or contractors/consultants to assist with the management of the program

   b. Hiring of full-time or part-time staff or contractors/consultants to assist with the implementation and administration of the program

   c. Travel expenses

   d. Meeting-related expenses

7. It is the responsibility of the fiscal/legal agent to ensure that all anticipated exercise expenditures are allowable. If there are any questions concerning allowable items, IDHS should be consulted prior to incurring the expense. Any costs incurred and later determined to be unallowable will not be reimbursed.

G: Unauthorized Exercise Costs

US DHS Grant funds for exercise and training are “reimbursement” grants and do not allow payment for any expense until all conditions set forth in this Grant Guidance are met. In addition, there are some expenses that are not allowed and include:

1. Costs incurred prior to the effective date of the sub-grant agreement (the date the sub-grant agreement has been fully executed) are not allowable.

2. Reimbursement for maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles) and emergency response apparatus (e.g., fire trucks and ambulances).

3. Equipment that is purchased for permanent installation and/or use, beyond the scope for exercise conduct (e.g., radios, vehicles, furniture, computers, etc).

4. Replacement cost for lost, stolen or broken equipment.

5. Fringe benefits, except for those listed in section F6a & b.

6. Supplanting (replacing a currently budgeted full-time position with one or more full time employees)

H. Exercise Reimbursement

The following guidance applies to jurisdictions or agencies that request direct funding support from the Indiana Department of Homeland Security for the purpose of planning and conducting exercise training. Funding for approved exercises shall be disbursed after all of the following conditions have been met:

1. A fully executed sub-grant agreement is in place between the Indiana Department of Homeland Security and the jurisdiction responsible for coordinating the exercise.
2. All required exercise documentation is submitted to the State Exercise Training Officer (rarcher@dhs.IN.gov). All documents and materials shall be submitted within 45 days after the execution of the exercise. (Electronic format is desired for reporting of all exercise documentation (MS Word, PDF, Excel, Scanned Documents). Failure to submit exercise documentation within 45 days may result in funds being withheld until received.
3. Documentation for Full Scale, Functional, Tabletop, and Drill exercises include:
    a. Minutes and sign-in forms from HSEEP planning conferences
    b. After Action Reports (AAR)
    c. Improvement Plan (IP)
    d. Exercise participant rosters and evaluations
    e. Personnel cost documentation
    f. Any and all other documentation related to or part of the complete exercise process as may be required by IDHS.
4. Documentation for Seminars, Workshops, Games and Simulations include:
    a. Minutes and sign-in forms from planning meetings
    b. Multimedia presentations including PowerPoint files, video files, sound files, etc.
    c. Policies or Procedures developed during workshops
    d. Evaluation documents used in seminars, games or simulations
    e. A written overview of any training activity funded by IDHS that does not produce a measurable outcome describing who conducted the activity, the learning achieved, and how the training contributes to the local and State preparedness.
5. The final detailed budget shall be accompanied by the invoices or readable receipts for **all** allowable expenses including vehicle costs, (fuel or mileage, not both), planning and conduct consumable costs, personnel costs, consultant/contractor costs, and all other allowable and approved expenses related to the total project, and presented in a format acceptable to IDHS.

a. Reimbursement for fuel or mileage: All mileage or fuel reimbursement shall be documented by the planning team and included in the draft detailed estimated budget and the final detailed budget. Either mileage of fuel may be reimbursed for an exercise--not both.

   i. Fuel: Copies of all fuel receipts showing fuel consumed during the planning and execution of the exercise are received by IDHS.

   ii. Mileage: Copies of all mileage logs indicating miles traveled during the planning and execution of the exercise are received by IDHS. The reimbursement rate for mileage shall be based on the rate paid by the State of Indiana ($0.44/mile. Mileage logs shall include the:

      1. Date of Travel
      2. Starting Location Address
      3. Destination Address
      4. Total Miles Driven
      5. Signature of the individual requesting the mileage reimbursement.

b. An overtime reimbursement document must be completed by each agency requesting overtime/backfill/volunteer reimbursement for participation in exercise activities on a form approved by IDHS. All overtime/backfill/volunteer reimbursement submissions shall be completed, signed and submitted by the Chief Executive Officer of the submitting agency and must include:

   i. The exercise participant's name.

   ii. Number of hours spent participating in the exercise.

   iii. Hourly rate of participant.

   iv. Overtime rate of the participant

   v. Total amount of stipend for volunteers (must include the name, number of hours and rate for each volunteer).

   vi. Copies of exercise attendance sheets must be included in this documentation verifying the person's participation.

   vii. An agency overtime policy must accompany the reimbursement request.

c. Any other documentation requested by IDHS

6. The Exercise design, conduct, and after-action activities complied with HSEEP methodology and all required information as defined by the National Exercise Schedule has been entered into the NEXS.

7. The Indiana Department of Homeland Security shall transfer funds to reimburse the requesting agency or jurisdiction for the approved amount after all documentation has been reviewed and approved by the Indiana Department of Homeland Security. It shall be the responsibility of the requesting agency or jurisdiction fiscal/legal agent to ensure that all parties eligible for reimbursement receive payment.

8. The reimbursement provided shall not exceed the amount of the signed sub-grant agreement.

9. Partial reimbursement may be available for full-scale exercises for consumable expenses prior to submission of After-Action Reports and other deliverables with approval from the Preparedness & Training Branch Chief.

H.1 REIMBURSEMENT FOR EXERCISE SERIES

1. IDHS supports the HSEEP building block approach to exercise design and development. During the first year of the exercise cycle, the development of a series of discussion based exercises may best support the goals and objectives of a district or agency.
2. Each exercise in an exercise series may be reimbursed individually. To obtain this reimbursement, the full series of exercises must have prior approval as specified in SECTION B.
3. All required documentation as listed in Section H above must be submitted to the State Exercise Training Officer (rarcher@dhs.IN.gov) within 45 days of completion of the exercise.

Appendix G – 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):	5 days	
Legal Review--reviewing the document (checking the Secretary of State if needed):	5 days	
Fiscal signature:	2 days	Many times completed within a day, can take longer.
Agency signature:	3-4 days	
Legal delivers to IDOA:	1 day	
IDOA-Review and Approval:	3 days	
SBA-Review and Approval:	3 days	
AG Review and Approval:	0	(form approval already obtained)
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:

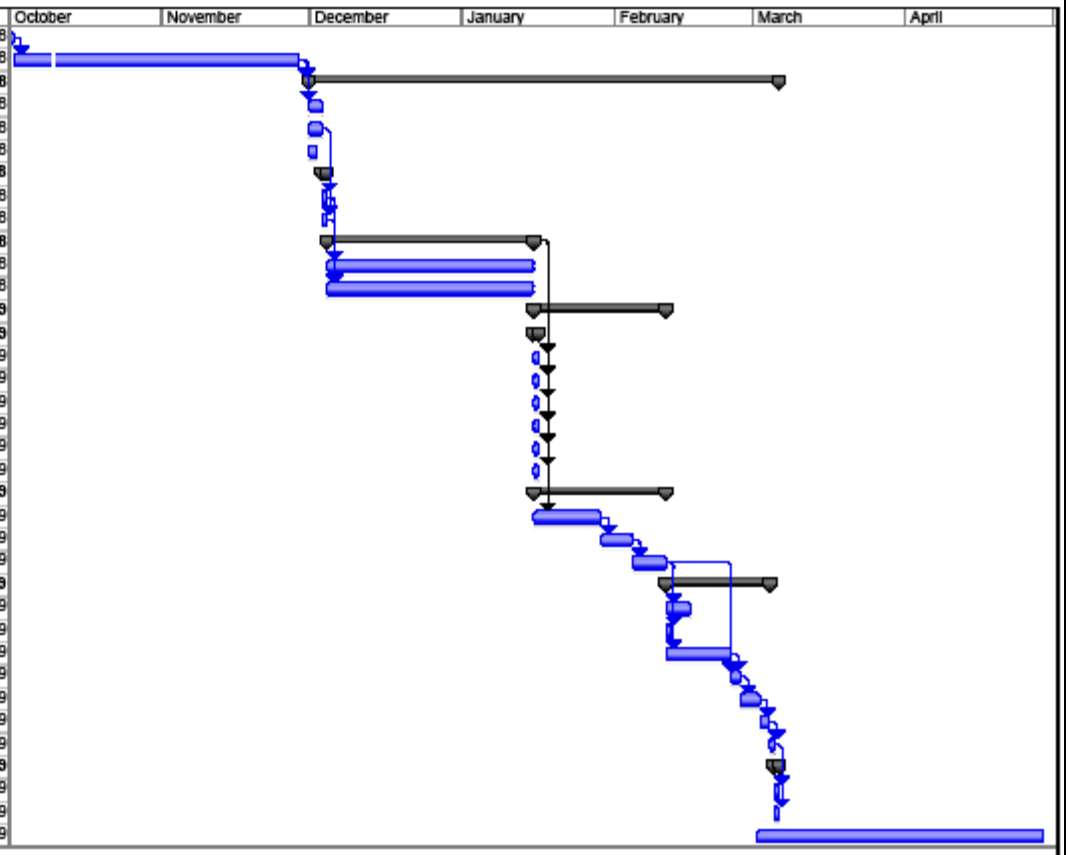
Beverly Korobkin	Cindy Kisenko
(317) 232-7487	(317) 233-5340
bkorobkin@dwd.in.gov	ckisenko@dwd.in.gov

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.

Appendix H – Homeland Security Grant Program Timeline from Appropriation to Award[6]

ID	Task Name	Duration	Start
1	Federal appropriation signed	1 day	Wed 10/1/08
2	HSGP guidance released	44.8 days?	Thu 10/2/08
3	**Coordination of state application**	**74 days**	**Mon 12/1/08**
4	Review of guidance	3 days	Mon 12/1/08
5	Identification of priorities	3 days	Mon 12/1/08
6	Draft letter of information for distribution	2 days	Mon 12/1/08
7	**Informing stakeholders**	**1 day**	**Wed 12/3/08**
8	State	1 day	Wed 12/3/08
9	Local	1 day	Wed 12/3/08
10	**Solicitation submission**	**32 days**	**Thu 12/4/08**
11	Budget	32 days	Thu 12/4/08
12	Project description	32 days	Thu 12/4/08
13	**Solicitiation evaluation**	**20 days**	**Thu 1/15/09**
14	**Criteria Evaluation**	**1 day**	**Thu 1/15/09**
15	Regionalization	1 day	Thu 1/15/09
16	Strategic direction	1 day	Thu 1/15/09
17	National Priorities	1 day	Thu 1/15/09
18	Feasibility	1 day	Thu 1/15/09
19	Prior performance	1 day	Thu 1/15/09
20	Feasibility	1 day	Thu 1/15/09
21	**Approving entities**	**20 days**	**Thu 1/15/09**
22	Grants management	10 days	Thu 1/15/09
23	Executive committee evaluation	5 days	Thu 1/29/09
24	Executive approval	5 days	Wed 2/4/09
25	**Investment Justifications**	**16 days**	**Wed 2/11/09**
26	Drafting overview	3 days	Wed 2/11/09
27	Designating investment leads	1 day	Wed 2/11/09
28	Drafting initial investments from approved project	10 days	Wed 2/11/09
29	Investment review by designated lead	2 days	Tue 2/24/09
30	Revision	2 days	Thu 2/26/09
31	Final review	2 days	Mon 3/2/09
32	Presentation of completed application to Executive	1 day	Wed 3/4/09
33	**Submission**	**1 day**	**Thu 3/5/09**
34	Application submitted via Grants.gov	1 day	Thu 3/5/09
35	Application submitted via the Grant Reporting Tool	1 day	Thu 3/5/09
36	Award received from US DHS	44.8 days	Mon 3/2/09



Project: HSGP Timeline
Date: Fri 10/10/08

Task | Progress | Summary | External Tasks | Deadline
Split | Milestone | Project Summary | External Milestone

Page 1

[6] This timeline generally reflects the process for the US DHS Homeland Security Grant Program. Other programs may vary. Contract the Project Manager for more information.

Appendix I – Sample Sub-Grant Agreement

2008 HOMELAND SECURITY GRANT PROGRAM SUB-GRANT AGREEMENT
EDS# C44P-_-____

This Sub-grant Agreement, entered into by and between the **Indiana Department of Homeland Security** (the "State"), Sub-grant and _____ (the "Sub-grantee"), is executed pursuant to the terms and conditions set forth herein. In consideration of those mutual undertakings and covenants, the parties agree as follows:

1. Purpose of this Sub-Grant Agreement.
The purpose of this Sub-grant Agreement is to enable the State to award a Sub-grant of _____ Dollars and _____Cents ($XXX,XXX.XX) to the Sub-grantee for eligible costs of the project (the "Project") or services as described in Exhibits A and B of this Sub-grant Agreement. This sub-grant is from the following Fiscal Year 2008 grant program(s):
[U.S. Department of Homeland Security, Federal Emergency Management Agency, Fiscal Year 2008 Homeland Security Grant Program, Award Number XXX:
[State Homeland Security Program, CFDA 97.073]
[BZPP]
[HMEP]
[BZPP]

The funds shall be used exclusively in accordance with the provisions contained in this Sub-grant Agreement.

2. Term.
This Sub-grant Agreement shall commence on the date it has been signed by all parties and approved as required under Indiana law (the "Effective Date") and shall remain in effect through _____ ("Expiration Date").

3. Design and Implementation of Project.

The Sub-grantee shall be solely responsible for the proper design and implementation of the Project as described in Exhibit A, attached hereto and incorporated fully herein. The Sub-grantee agrees to complete the Project in accordance with the plans and specifications contained in its application which is on file with the State and is incorporated by reference. Modification of the Project shall require prior written approval of the State.

4. Monitoring Reviews by the State.

The State may conduct an on-site monitoring review of the Project. Such monitoring review will document the following:

A. Whether Project activities are consistent with those set forth in Exhibit A, the Sub-grant applications, and the terms and conditions of the Sub-grant Agreement.

B. A complete, detailed analysis of actual state, local and/or private funds expended to date on the Project and conformity with the amounts for each budget line item as set forth in

Exhibit B, attached hereto and incorporated herein.

C. A detailed listing of all Project costs by project budget line item which are accrued yet unpaid, if any.

D. A written evaluation as to the Sub-grantee's timely progress in project management, financial management and control systems, procurement systems and methods, and performance relative to timely submission of project reports.

5. Payment of Sub-grant Funds by the State.

The payment of this Sub-grant by the State to the Sub-grantee shall be made in accordance with the following schedule and conditions:

A. This Sub-grant Agreement must be fully signed by all parties and approved as required under Indiana law.

B. All Sub-grant Agreement conditions must be met to the State's satisfaction.

C. The State may require evidence furnished by the Sub-grantee that substantial progress has been made toward completion of the Project prior to making the first payment under this Sub-grant. All payments are subject to the State's determination that the Sub-grantee's performance to date conforms with the Project as approved, notwithstanding any other provision of this Sub-grant Agreement.

D. Unless authorized by statute and previously agreed, all payments will be made in arrears only upon presentation of approved and signed State of Indiana Claim Vouchers. Such Claim Vouchers must be submitted with the budget expenditure report detailing disbursements of state, local and/or private funds by project budget line items.

E. The Sub-grantee shall submit to the State written progress reports until the completion of the project. These reports shall be submitted on a quarterly basis. These reports must detail progress made toward the completion of the Project described in Exhibit A.

F. If advance payment of a portion of the sub-grant funds is permitted by statute, and the State agrees to provide such advance payment, it shall be made only upon submission of a proper claim setting out the intended purposes of those funds. After such funds have been expended, Sub-grantee shall provide the State with a reconciliation of those expenditures.

G. Failure to complete the Project and expend State, federal, local and/or private funds in accordance with this Agreement may be considered a material breach, and shall entitle the State to impose sanctions against the Sub-grantee including, but not limited to, suspension of all Sub-grant payments, and/or suspension of the Sub-grantee's participation in State Sub-grant programs until such time as all material breaches are cured to the State's satisfaction. Sanctions may also include repayment of all State funds expended that are not in the scope of this Project or the Budget.

H. If this Agreement is terminated by either party prior to the Expiration Date, the State may promptly conduct an onsite monitoring of the Project and complete a Project monitoring report.

I. All payments shall be made in arrears in conformance with State fiscal policies and procedures and, as required by IC 4-13-2-14.8, by electronic funds transfer to the financial institution designated by the Sub-grantee in writing unless a specific waiver has been obtained from the Auditor of State. No payments will be made in advance of receipt of the goods or services that are the subject of this Sub-grant except as permitted by IC 4-13-2-20.

J. The Sub-grantee shall be in compliance with all applicable federal and State requirements for any federal or State grant programs administered by the State.

K. The Sub-grantee shall obligate (which includes, but is not limited to ordering, accepting delivery, installing equipment and full completion of performance of any service agreements or contracts) the funds within six (6) months of the effective date of this Agreement or by _____, whichever is earlier (the "Obligation Deadline"). The Sub-grantee shall liquidate (expend) the funds within ninety (90) days of the Obligation Deadline. The Sub-grantee may request, in writing, and the State may, at its sole discretion, provide written approval allowing the Sub-grantee additional time to obligate or liquidate the funds.

L. The Sub-grantee shall comply with the requirements in the State's "Grants Management Policies and Procedures Guidebook" ("Guidebook") in effect on the Effective date of this Sub-grant Agreement. The Guidebook is available at: http://www.in.gov/dhs/2338.htm.

M. The Sub-grantee shall comply with all applicable laws, regulations and program guidance applicable to these federal funds. A non-exclusive list of regulations commonly applicable to these funds is as follows:

[Insert specific federal regulations here.]

6. Audits and Maintenance of Records.

A. The Sub-grantee shall maintain all books, documents, papers, accounting records and other evidence pertaining to this Sub-grant Agreement. The Sub-grantee shall maintain these books, documents, papers, accounting records and other evidence pertaining to this project for a period of at least three (3) years, beginning on the date that the State makes the final payment to the Sub-grantee. Notwithstanding this provision, if the federal regulations governing this grant (44 CFR 13.42) require additional records to be maintained or require the records to be maintained for a longer period of time, the Sub-grantee shall adhere to these federal requirements.

B. The Sub-grantee shall give the State, the United States Comptroller General and the U.S. Department of Homeland Security, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to this Sub-grant Agreement or any Projects funded under this Sub-grant Agreement (including the applicable records maintained by it contractors and sub-grantees) Copies thereof shall be furnished at no cost to the State or United States government representatives if requested.

7. Project Budget and Budget Modification.

A. The approved Project Budget is set forth as Exhibit A of this Sub-grant Agreement. The Sub-grantee shall not spend more than the amount for each line item, as described in the Budget, without the prior written consent of a duly authorized representative of the State, nor shall the Project costs funded by this Sub-grant Agreement and those funded by the local and/or private share be amended without the prior written consent of the State.

B. In addition to all other applicable requirements, the Sub-grantee must comply with all applicable requirements in the U.S. Department of Homeland Security guidance document titled "Fiscal Year 2008 Homeland Security Grant Program: Guidance and Application Kit." A copy of this guidance document is available from the following US DHS website: http://www.ojp.usdoj.gov/odp/grants_programs.htm.

Sub-grant funds shall not be used to pay for expenditures otherwise budgeted for with state or local funds.

8. Statutory Authority of Sub-grantee.

The Sub-grantee expressly represents and warrants to the State that it is eligible to receive these monies and it expressly agrees to repay all monies paid to it under this Sub-grant, should a legal determination of its ineligibility be made by the State or U.S. Department of Homeland Security.

9. Use of Sub-grant Funds by Sub-grantee.

The funds received by the Sub-grantee pursuant to this Sub-grant Agreement shall be used only for allowable expenditures under the federal grant to implement the Project or provide the services in conformance with the Budget and for no other purpose. Reimbursement of any expenditure is not a final State decision about the allowability of such cost and is not a waiver of any violation by the Sub-grantee of the terms of this Agreement. If the U.S. DHS or the State determine that any amount paid to the Sub-grantee was for an unallowable expenditure, the Sub-grantee is required to refund the monies for the identified unallowable expenditure.

10. Compliance with Laws.

A. The Sub-grantee shall comply with all applicable federal, state and local laws, rules, regulations and ordinances, and all provisions required thereby to be included herein are hereby incorporated by reference. The enactment or modification of any applicable state or federal statute or the promulgation of rules or regulations thereunder after execution of this Sub-grant Agreement shall be reviewed by the State and the Sub-grantee to determine whether the provisions of this Sub-grant Agreement require formal modification.

B. The Sub-grantee and its agents shall abide by all ethical requirements that apply to persons who have a business relationship with the State as set forth in IC § 4-2-6 *et seq.*, IC § 4-2-7, *et. seq.*, the regulations promulgated thereunder, and Executive Order 04-08, dated April 27, 2004. If the Sub-grantee is not familiar with these ethical requirements, the Sub-grantee should refer any questions to the Indiana State Ethics Commission, or visit the Indiana State Ethics Commission website at http://www.in.gov/ethics/. If the Sub-grantee or its agents violate any applicable ethical standards, the State may, in its sole discretion, terminate this Sub-grant Agreement immediately upon notice to the Sub-grantee. In

addition, the Sub-grantee may be subject to penalties under IC §§ 4-2-6, 4-2-7, 35-44-1-3, and under any other applicable laws.

C. The Sub-grantee certifies by entering into this Sub-grant Agreement that neither it nor its principal(s) is presently in arrears in payment of taxes, permit fees or other statutory, regulatory or judicially required payments to the State. The Sub-grantee agrees that any payments currently due to the State may be withheld from payments due to the Sub-grantee. Additionally, further work or payments may be withheld, delayed, or denied and/or this Sub-grant Agreement suspended until the Sub-grantee is current in its payments and has submitted proof of such payment to the State.

D. The Sub-grantee warrants that it has no current, pending or outstanding criminal, civil, or enforcement actions initiated by the State, and agrees that it will immediately notify the State of any such actions. During the term of such actions, the Sub-grantee agrees that the State may delay, withhold, or deny work under any supplement, amendment, change order or other contractual device issued pursuant to this Sub-grant Agreement.

E. If a valid dispute exists as to the Sub-grantee's liability or guilt in any action initiated by the State or its agencies, and the State decides to delay, withhold, or deny work to the Sub-grantee, the Sub-grantee may request that it be allowed to continue, or receive work, without delay. The Sub-grantee must submit, in writing, a request for review to the Indiana Department of Administration (IDOA) following the procedures for disputes outlined herein. A determination by IDOA shall be binding on the parties. Any payments that the State may delay, withhold, deny, or apply under this section shall not be subject to penalty or interest, except as permitted by IC § 5-17-5.

F. The Sub-grantee warrants that the Sub-grantee and its subgrantees, if any, shall obtain and maintain all required permits, licenses, registrations, and approvals, and shall comply with all health, safety, and environmental statutes, rules, or regulations in the performance of work activities for the State. Failure to do so may be deemed a material breach of this Sub-grant Agreement and grounds for immediate termination and denial of further work with the State.

G. The Sub-grantee affirms that, if it is an entity described in IC Title 23, it is properly registered and owes no outstanding reports to the Indiana Secretary of State.

H. As required by IC 5-22-3-7:

(1) the Sub-grantee and any principals of the Sub-grantee certify that (A) the Sub-grantee, except for de minimis and nonsystematic violations, has not violated the terms of (i) IC 24-4.7 [Telephone Solicitation of Consumers], (ii) IC 24-5-12 [Telephone Solicitations] , or (iii) IC 24-5-14 [Regulation of Automatic Dialing Machines] in the previous three hundred sixty-five (365) days, even if IC 24-4.7 is preempted by federal law; and (B) the Sub-grantee will not violate the terms of IC 24-4.7 for the duration of the Sub-grant Agreement, even if IC 24-4.7 is preempted by federal law.

(2) The Sub-grantee and any principals of the Sub-grantee certify that an affiliate or principal of the Sub-grantee and any agent acting on behalf of the Sub-grantee or on behalf of an affiliate or principal of the Sub-grantee (A) except for de minimis and nonsystematic violations, has not violated the terms of IC 24-4.7 in the previous three hundred sixty-five (365) days, even if IC 24-4.7 is preempted by federal law; and (B) will not violate the terms of IC 24-4.7 for the duration of the Sub-grant

Agreement, even if IC 24-4.7 is preempted by federal law.

11. Drug-Free Workplace Certification.

The Sub-grantee hereby covenants and agrees to make a good faith effort to provide and maintain a drug-free workplace. The Sub-grantee will give written notice to the State within ten (10) days after receiving actual notice that the Sub-grantee, or an employee of the Sub-grantee in the State of Indiana has been convicted of a criminal drug violation occurring in the workplace. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of Sub-grant payments, termination of the Sub-grant Agreement and/or debarment of Sub-grant opportunities with the State of Indiana for up to three (3) years.

In addition to the provisions of the above paragraphs, if the total Sub-grant Agreement amount set forth in this Sub-grant Agreement is in excess of $25,000.00, the Sub-grantee hereby further agrees that this Sub-grant Agreement is expressly subject to the terms, conditions and representations of the following certification:

This certification is required by Executive Order No. 90-5, April 12, 1990, issued by the Governor of Indiana. No award of a Sub-grant shall be made, and no Sub-grant Agreement, contract, purchase order or agreement, the total amount of which exceeds $25,000.00, shall be valid, unless and until this certification has been fully executed by the Sub-grantee and made a part of the Sub-grant Agreement as part of the Sub-grant documents.
The Sub-grantee certifies and agrees that it will provide a drug-free workplace by:

A. Publishing and providing to all of its employees a statement notifying them that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Sub-grantee's workplace and specifying the actions that will be taken against employees for violations of such prohibition;

B. Establishing a drug-free awareness program to inform its employees of (1) the dangers of drug abuse in the workplace; (2) the Sub-grantee's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed upon an employee for drug abuse violations occurring in the workplace;

C. Notifying all employees in the statement required by subparagraph (A) above that as a condition of continued employment the employee will (1) abide by the terms of the statement; and (2) notify the Sub-grantee of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction;

D. Notifying the State in writing within ten (10) days after receiving notice from an employee under subdivision (C)(2) above, or otherwise receiving actual notice of such conviction;

E. Within thirty (30) days after receiving notice under subdivision (C)(2) above of a conviction, imposing the following sanctions or remedial measures on any employee who is convicted of drug abuse violations occurring in the workplace: (1) taking appropriate personnel action against the employee, up to and including termination; or (2) requiring such employee to satisfactorily participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement, or other appropriate agency; and

F. Making a good faith effort to maintain a drug-free workplace through the implementation of subparagraphs (A) through (E) above.

12. Funding Cancellation.

When the Director of the State Budget Agency makes a written determination that funds are not appropriated or otherwise available to support continuation of performance of this Sub-grant Agreement, it shall be canceled. A determination by the Director of the State Budget Agency that funds are not appropriated or otherwise available to support continuation of performance shall be final and conclusive.

13. Information Technology Accessibility Standards.

Any information technology related products or services purchased, used or maintained through this Sub-grant Agreement must be compatible with the principles and goals contained in the Electronic and Information Technology Accessibility Standards adopted by the Architectural and Transportation Barriers Compliance Board under Section 508 of the federal Rehabilitation Act of 1973 (29 U.S.C. 794d), as amended. The federal Electronic and Information Technology Accessibility Standards can be found at: http://www.access-board.gov/508.htm.

14. Nondiscrimination.

Pursuant to the Indiana Civil Rights Law, specifically including IC 22-9-1-10, and in keeping with the purposes of the federal Civil Rights Act of 1964, the Age Discrimination in Employment Act, and the Americans with Disabilities Act, the Sub-grantee covenants that it shall not discriminate against any employee or applicant for employment relating to this Sub-grant Agreement with respect to the hire, tenure, terms, conditions or privileges of employment or any matter directly or indirectly related to employment, because of the employee or applicant's: race, color, national origin, religion, sex, age, disability, ancestry, status as a veteran, or any other characteristic protected by federal, state, or local law ("Protected Characteristics"). Furthermore, the Sub-grantee certifies compliance with applicable federal laws, regulations, and executive orders prohibiting discrimination based on the Protected Characteristics in the provision of services.

The Sub-grantee understands that the State is a recipient of federal funds, and therefore, where applicable, the Sub-grantee and any contractors and subcontractors agree to comply with requisite affirmative action requirements, including reporting, pursuant to 41 CFR Chapter 60, as amended, and Section 202 of Executive Order 11246.

15. Notice to Parties.

Whenever any notice, statement or other communication is required under this Sub-grant Agreement, it shall be sent to the following addresses, unless otherwise specifically advised.

A. Notices to the State shall be sent to:
(Include contact name and/or title, name of agency, specific address.)

B. Notices to the Sub-grantee shall be sent to:
(Include contact name and/or title, name of vendor, specific address.)

16. Order of Precedence.

Any inconsistency or ambiguity in this Sub-grant Agreement shall be resolved by giving precedence in the following order: (1) This Sub-grant Agreement, (2) Attachments prepared by the State, (3) Attachments prepared by Sub-grantee; (4) Invitation to Apply for the Sub-grant; and (5) the Sub-grant Application.

17. Renewal.

This Sub-grant Agreement may be renewed under the same terms and conditions subject to the approval of the Commissioner of the Department of Administration and the State Budget Director in compliance with IC 5-22-17-4. The term of the renewed Sub-grant Agreement may not be longer than the term of the original Sub-grant Agreement.

18. Termination for Convenience.

This Agreement may be terminated, in whole or in part, by the State whenever, for any reason, the State determines that such termination is in the best interest of the State. Termination shall be effected by delivery to the Sub-grantee of a Termination Notice, specifying the extent to which such termination becomes effective. The Sub-grantee shall be compensated for completion of the Project properly done prior to the effective date of termination. The State will not be liable for work on the Project performed after the effective date of termination. In no case shall total payment made to the Sub-grantee exceed the original grant.

19. Survival

Any expiration or termination of this Sub-grant Agreement shall not affect the ongoing provisions of this Sub-grant Agreement, or the ongoing requirements contained in guidance documents, regulations, or other requirements referenced in this Sub-grant Agreement that will survive the expiration or termination in accordance with their terms.

The rest of this page has been intentionally left blank.

Non-Collusion and Acceptance

The undersigned attests, subject to the penalties for perjury, that he/she is the Sub-grantee, or that he/she is the properly authorized representative, agent, member or officer of the Sub-grantee, that he/she has not, nor has any other member, employee, representative, agent or officer of the Sub-grantee, directly or indirectly, to the best of the undersigned's knowledge, entered into or offered to enter into any combination, collusion or agreement to receive or pay, and that he/she has not received or paid, any sum of money or other consideration for the execution of this Sub-grant other than that which appears upon the face of this Sub-grant.

In Witness Whereof, the Sub-grantee and the State have, through their duly authorized representatives, entered into this Sub-grant Agreement. The parties, having read and understood the foregoing terms of this Sub-grant Agreement, do by their respective signatures dated below hereby agree to the terms thereof.

Sub-Grantee:

By:_____
Printed Name:_____
Title:_____
Date:_____

By:_____
Printed Name:_____
Title:_____
Date:

By:_____
Printed Name:_____
Title:_____
Date:_____

[If this Agreement is with a County, this Agreement must either be signed by at least 2 of the 3 county commissioners or if it is only signed by 1 county commissioner, a copy of the resolution adopted by the board of county commissioners authorizing a single county commissioner to sign this Agreement on behalf of the board of county commissioners must be submitted to the State.]

Certification by Sub-grantee Fiscal Officer:

By:_____
Printed Name:_____
Title:_____
Date:_____

Certification by Sub-grantee Project Director:

By:_____
Printed Name:_____
Title:_____
Date:_____

Indiana Department of Homeland Security

By:_____
Joseph E. Wainscott, Jr.
Executive Director
Date:_____

Department of Administration
By:_____ (for)

Carrie Henderson, Commissioner
Date: _____

State Budget Agency

_____(for)
Christopher A. Ruhl, Director
Director
Date: _____

APPROVED as to Form and Legality:
Office of the Attorney General

_____(for)
Stephen Carter, Attorney General

Date: _____

Appendix J – 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