



## Notice of Funding Opportunity

### Fiscal Year 2016 State Homeland Security Program (SHSP): Competitive Grant Program

#### I. OVERVIEW

The purpose of the FY 2016 SHSP is to support state and local efforts to prevent terrorism and other catastrophic events and to prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United States. The FY 2016 SHSP provides funding to implement investments that build, sustain, and deliver the 32 core capabilities essential to achieving the National Preparedness Goal of a secure and resilient Nation. The building, sustainment, and delivery of these core capabilities are not exclusive to any single level of government, organization, or community, but rather, require the combined effort of the whole community. The FY 2016 SHSP supports core capabilities across the five mission areas of Prevention, Protection, Mitigation, Response, and Recovery based on allowable costs. The HSGP supports the Quadrennial Homeland Security Review Mission to Strengthen National Preparedness and Resilience.

The SHSP assists local preparedness activities that address high-priority preparedness gaps across all core capabilities where a nexus to terrorism exists. All supported investments are based on capability targets and gaps identified during local assessment process and after the evaluation of data collected to determine the needs of the community.

#### II. AWARD INFORMATION

Available Funding for the NOFO:	\$1,150,000.00
District Sustainment Projects:	\$200,000.00
Competitive Projects:	\$950,000.00

Federal Performance Period:	September 1, 2016 – August 31, 2019
Sub Recipient Performance Period:	Twenty-Four (24) Months

Extensions to the performance period are allowed with required adequate justification and approval by IDHS.

Funding obligations must be made prior to the end date of the sub grant agreement. All outstanding expenses must be paid and the Final RFEs submitted within 45 days from the end date of the sub grant.

### III. PROPOSAL AND SUBMISSION INFORMATION

Letter of Intent Deadline: **Friday, July 8, 2016**

Letter of Intent must be completed and emailed to the IDHS Grants inbox at [grants@dhs.in.gov](mailto:grants@dhs.in.gov).

- Multiple projects can be submitted on one letter of intent.
- Please find a copy of the Letter of Intent in Appendix D.

Proposal/Budget Submission Deadline: **Friday, July 22, 2016 at 11:59 PM**

All Proposals/Budgets must be completed and submitted via the IDHS iGMS: <http://myoracle.in.gov/hs>

- All applicants must select the iGMS template “**FY16 SHSP Competitive Grant Template**”

Before you can apply for an IDHS grant you must have or obtain a DUNS number and must be registered in the System for Awards Management (SAM). [www.sam.gov](http://www.sam.gov)

The applicant must provide a DUNS number with their application. This number is a required field for all subsequent steps in the application submission. Applicants should verify they have a DUNS number, or take the steps necessary to obtain one.

Applicants can receive a DUNS number at no cost by calling the DUNS number request line at (866) 705-5711. If you need assistance or have questions related to the DUNS number and SAM registration please contact IDHS Grants Management.

### IV. ELIGIBILITY REQUIREMENTS

Eligible applicants are state and local units of government including but not limited to county EMA offices, district task forces, and state agencies other than IDHS.

Applicants should submit one proposal per project and multiple proposals are allowed. However, only one proposal will be funded per applicant agency based on the high score.

Other eligibility requirements include:

#### State of Indiana Bidder and Vendor Registered

The State of Indiana requires that entities receiving funds from the state must be registered as a Bidder. There is no cost to become Bidder registered, and it takes ten to twenty minutes to complete the process. Entities can register as a bidder with the Indiana Department of Administration (IDOA) by using this link; <http://www.in.gov/idoa/2464.htm>. Click on the Create New Bidder Profile tab to complete. The instructions for electronic bidder registration are very helpful, and it contains a Power Point presentation that walks through all the steps. All applicants must also be an active vendor in good standing with the State of Indiana.

If these processes have already been completed for your entity then it does not have to be completed again.

Please keep in mind that until this process is complete a grant award cannot be made.

#### Emergency Management Assistance Compact (EMAC) Membership

In support of the Goal, recipients must belong to, be located in, or act as a temporary member of EMAC. All assets supported in part or entirely with FY 2016 HSGP funding must be readily deployable to support emergency or disaster operations per existing EMAC agreements. In addition, funding may be used for the sustainment of core capabilities that, while they may not be physically deployable, support national response capabilities such as Geographic/Geospatial Information Systems (GIS), interoperable communications systems, capabilities as defined under the mitigation mission area of the Goal, and fusion centers.

#### National Incident Management System (NIMS) Implementation

Prior to allocation of any federal preparedness awards in FY 2016, recipients must ensure and maintain adoption and implementation of NIMS. Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs. Utilization of the standardized resource management concepts such as typing, credentialing, and inventorying promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and NIMS resource typing definitions and job titles/position qualifications is available under <http://www.fema.gov/resource-management-mutual-aid>.

FEMA developed NIMS Guideline for Credentialing of Personnel to describe national credentialing standards and to provide written guidance regarding the use of those standards. This guideline describes credentialing and typing processes, and identifies tools which Federal Emergency Response Officials (FEROs) and emergency managers at all levels of government may use both routinely and to facilitate multijurisdictional coordinated responses.

Although state, local, Tribal, and private sector partners—including nongovernmental organizations—are not required to credential their personnel in accordance with these guidelines; DHS/FEMA strongly encourages them to do so in order to leverage the Federal investment in the Federal Information Processing Standards (FIPS) 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information can be found at [http://www.fema.gov/pdf/emergency/nims/nims\\_alert\\_cred\\_guideline.pdf](http://www.fema.gov/pdf/emergency/nims/nims_alert_cred_guideline.pdf).

## **V. SPECIFIC PROPOSAL INSTRUCTIONS**

As part of the proposal process for FY 2016 SHSP funds, applications must provide a narrative that describes the gap analysis conducted to determine the project and that will justify the request for funds for the proposed project. The proposal should describe the tool was used or how the gap was identified, for example; THIRA, HIRA, Gap Analysis and etc.

Applicants must describe the project in detail by selecting the Mission Area and Core Capabilities the project supports towards fulfilling the National Preparedness Goal. In addition, applicants must select which POETE the project supports.

Applicants must describe the primary goal of the project and how expenditures support the selected core capability. The project's goal must be followed with SMART objectives and outcomes that will identify how the gaps/shortfall will be lessened with the completion of the project.

Describe any challenges or risks that are not financial in nature that might inhibit the applicant's ability to complete the project successfully. If no such challenges or risks exist please explain why.

A specific, line item budget must be included with each proposal. All items included in the budget must be allowable, allocable, reasonable, and necessary. This can be demonstrated in both the narrative of the proposal as well as the narrative of the budget. Budget line items must be specific, for example, a line item simply described as "training" will not be acceptable. The line item should include the specific training that is needed, such as, ICS Training.

Please find an outline of the proposal template in Appendix C.

Pre-award costs are not allowable.

#### Important Program Changes

IDHS have made some changes to the programs for the coming year and outlined those changes below.

#### Federal Performance Period:

The federal performance period for this program has been extended from two (2) years to three (3) years. Any projects awarded from these federal funds may have a performance period of up to twenty-four (24) months. Project period lengths will be determined by the information provided in the proposal. The IDSH Grant Management Office will work with sub recipients to determine the appropriate amount of time needed for each project.

#### SHSP Competitive Projects:

SHSP Competitive Projects are open to all local, district, and state agencies that would like to apply for SHSP funds and have projects that are eligible to be funded. There will not be separate allocations for district projects and county projects as there have been in years past. The required needs assessment will be very important in determining which projects will be awarded. Not all projects will be funded.

#### District Sustainment Funds Allocation:

Funds have been set aside for consideration of district requests for equipment sustainment projects. These projects are still competitive and funds are not guaranteed. The required needs assessment will be very important in determining which projects will be awarded.

### Funding Restrictions

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

### Environmental Planning and Historic Preservation (EHP) Compliance

As a Federal agency, DHS/FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal EHP regulations, laws and Executive Orders as applicable. Recipients and sub recipients proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the DHS/FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that DHS/FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, DHS/FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project. DHS/FEMA will not fund projects that are initiated without the required EHP review.

Additionally, all recipients are required to comply with DHS/FEMA EHP Policy Guidance. This EHP Policy Guidance can be found in FP 108-023-1, Environmental Planning and Historic Preservation Policy Guidance, and FP 108.24.4, Environmental Planning and Historical Preservation Policy.

### SAFECOM

Sub recipients who receive awards that wholly or partially provide funding for emergency communication projects and related activities must comply with the most recent version of the SAFECOM Guidance on Emergency Communications Grants. This guidance provides recommendations to recipients regarding interoperable emergency communications projects, including allowable costs, eligible activities, grants management best practices for emergency communications grants, and information on technical standards that ensure greater interoperability.

The guidance is intended to ensure that Federally-funded investments are compatible, interoperable, and support the national goals and objectives for improving emergency communications nationwide. Sub recipients investing in broadband-related investments should review IB 386, Clarification on Use of DHS/FEMA Public Safety Grant Funds for Broadband-Related Expenditures and Investments, and consult their DHS/FEMA HQ Program Analyst on such Investments before developing applications.

## VI. FUNDING GUIDELINES

Sub recipients must comply with all the requirements in 2 C.F.R. Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards). The 2 C.F.R. Part 200 can be found at the following link: [http://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl).

In general, recipients should consult with their IDHS Program Manager prior to requesting anything that does not clearly meet the allowable expense criteria established by the NOFO. Funding guidelines established within this section support the five mission areas— Prevention, Protection, Mitigation, Response, and Recovery—and associated core capabilities within the Goal.

Allowable projects made in support of the SHSP priorities as well as other capability enhancing projects must fall into the categories of planning, organization, exercises, training, or equipment.

### Continuity of Operations

FEMA is designated as the Department of Homeland Security's lead agency for managing the nation's Continuity Program. To support this role, FEMA provides direction and guidance to assist in developing capabilities for continuing the Federal and state, territorial, Tribal, and local (STTL) government jurisdictions and private sector organizations' essential functions across a broad spectrum of emergencies.

National Security Presidential Directive 51, National Security Presidential Directive 20, the National Continuity Policy Implementation Plan (NCP/IP), the Federal Continuity Directive 1(FCD 1), and Continuity Guidance Circular 1 (CGC 1), and CGC 2 outline the following overarching continuity requirements for agencies and organizations and provide guidance, methodology, and checklists. For additional information on continuity programs, guidance, and directives, visit <http://www.fema.gov/guidance-directives> and <http://www.fema.gov/continuity-operations> or you may contact your IDHS Program Manager.

### Direct Costs

#### **Planning**

SHSP funds may be used for a range of emergency preparedness and management planning activities and such as those associated with the development of the THIRA, SPR, continuity of operations plans and other planning activities that support the Goal and placing an emphasis on updating and maintaining a current EOP that conforms to the guidelines outlined in CPG 101 v 2.0.

#### **Organization**

Organizational activities include:

- Program management;
- Development of whole community partnerships, through groups such as Citizen Corp Councils;

- Structures and mechanisms for information sharing between the public and private sector; 51 Appendix C—FY2016 HSGP Funding Guidelines
- Implementing models, programs, and workforce enhancement initiatives to address ideologically-inspired radicalization to violence in the homeland;
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors;
- Operational Support;
- Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident;
- Responding to an increase in the threat level under the National Terrorism Advisory System (NTAS), or needs in resulting from a National Special Security Event

### **Equipment**

The 21 allowable prevention, protection, mitigation, response, and recovery equipment categories and equipment standards for HSGP are listed on the Authorized Equipment List (AEL). The AEL is available in PDF format at <https://www.fema.gov/media-library/assets/documents/101566>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS/FEMA-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

Grant funds may be used for the procurement of medical countermeasures. Procurement of medical countermeasures must be conducted in collaboration with state/city/local health departments who administer Federal funds from HHS for this purpose and with existing MMRS committees where available, in order to sustain their long term planning for appropriate, rapid, and local medical countermeasures, including antibiotics and antidotes for nerve agents, cyanide, and other toxins. Procurement must have a sound threat based justification with an aim to reduce the consequences of mass casualty incidents during the first crucial hours of a response. Prior to procuring pharmaceuticals, recipients must have in place an inventory management plan to avoid large periodic variations in supplies due to coinciding purchase and expiration dates. Recipients are encouraged to enter into rotational procurement agreements with vendors and distributors. Purchases of pharmaceuticals must include a budget for the disposal of expired drugs within each fiscal year's period of performance for HSGP. The cost of disposal cannot be carried over to another DHS/FEMA grant or grant period.

EMS electronic patient care data systems should comply with the most current data standard of the National Emergency Medical Services Information System ([www.NEMSIS.org](http://www.NEMSIS.org)).

### **Controlled Equipment**

Grant funds may be used for the purchase of Controlled Equipment, however, because of the nature of the equipment and the potential impact on the community, there are additional and specific requirements in order to acquire this equipment.

Refer to Grant Programs Directorate IB 407 Use of Grant Funds for Controlled Equipment for the complete Controlled Equipment List, information regarding the Controlled Equipment Request Form, and a description of the specific requirements for acquiring controlled equipment with DHS/FEMA grant funds. For additional information on controlled equipment refer to Executive Order (EO) 13688 Federal Support for Local Law Enforcement Equipment Acquisition, and the Recommendations Pursuant to Executive Order 13688.

Requirements for Small Unmanned Aircraft System:

All requests to purchase Small Unmanned Aircraft System (SUAS) with FEMA grant funding must also include the policies and procedures in place to safeguard individuals' privacy, civil rights, and civil liberties of the jurisdiction that will purchase, take title to, or otherwise use the SUAS equipment, see Presidential Memorandum: Promoting Economic Competitiveness While Safeguarding Privacy, Civil Rights, and Civil Liberties, in Domestic Use of Unmanned Aircraft Systems, issued February 20, 2015.

**Training**

Allowable training-related costs under HSGP include the establishment, support, conduct, and attendance of training specifically identified under the SHSP and UASI programs and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS and DOT). Training conducted using HSGP funds should address a performance gap identified through an AAR/IP or other assessments (e.g., National Emergency Communications Plan NECP Goal Assessments) and contribute to building a capability that will be evaluated through a formal exercise. Any training or training gaps, including those for children, older adults, pregnant women, and individuals with disabilities and others who also have or access and functional needs, should be identified in the AAR/IP and addressed in the state or Urban Area training cycle. Recipients are encouraged to use existing training rather than developing new courses. When developing new courses, recipients are encouraged to apply the Analysis, Design, Development, Implementation and Evaluation model of instructional design using the Course Development Tool.

**Exercises**

Exercises conducted with grant funding should be managed and conducted consistent with HSEEP. HSEEP guidance for exercise design, development, conduct, evaluation, and improvement planning is located at <https://www.fema.gov/exercise>.

Sub recipients that plan to use SHSP funds to conduct an exercise(s) are encouraged to complete a progressive exercise series. Exercises conducted by states and Urban Areas may be used to fulfill similar exercise requirements required by other grant programs. Recipients are encouraged to invite representatives/planners involved with other Federally-mandated or private exercise activities. States and Urban Areas are encouraged to share, at a minimum, the multiyear training and exercise schedule with those departments, agencies, and organizations included in the plan.

- **Exercise Scenarios.** The scenarios used in SHSP-funded exercises must be based on the state/Urban Area's THIRA and SPR. The scenarios used in SHSP-funded exercises must focus on validating capabilities, must be large enough in scope and size to exercise multiple activities and warrant involvement from multiple jurisdictions and disciplines and non-governmental organizations, and take into account the needs and requirements for individuals with disabilities. Exercise scenarios should align with priorities and capabilities identified in the Multi-year TEP.
- **Special Event Planning.** If a state or Urban Area will be hosting a special event (e.g., Super Bowl, G-8 Summit), the special event planning should be considered as a training or exercise activity for the purpose of the Multi-year TEP. The state or Urban Area should plan to use SHSP or UASI funding to finance training and exercise activities in preparation for those events. States and Urban Areas should also consider exercises at major venues (e.g., arenas, convention centers) that focus on evacuations, communications, and command and control.
- **Role of Non-Governmental Entities in Exercises.** Non-governmental participation in all levels of exercises is strongly encouraged. Leaders from non-governmental entities should be included in the planning, design, and evaluation of an exercise. State, local, Tribal, and territorial jurisdictions are encouraged to develop exercises that test the integration and use of non-governmental resources provided by non-governmental entities, defined as the private sector and private non-profit, faith-based, community, participation in exercises should be coordinated with the local Citizen Corps Council(s) or their equivalent and other partner agencies.

Unauthorized exercise-related costs include:

- Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles), medical supplies, and emergency response apparatus (e.g., fire trucks, ambulances).
- Equipment that is purchased for permanent installation and/or use, beyond the scope of the conclusion of the exercise (e.g., electronic messaging signs).

### **Maintenance and Sustainment**

The use of DHS/FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable, as described in FEMA Policy FP 205-402-125-1 under all active and future grant awards, unless otherwise noted. With the exception of maintenance plans purchased incidental to the original purchase of the equipment, the period covered by maintenance or warranty plan must not exceed the period of performance of the specific grant funds used to purchase the plan or warranty.

Grant funds are intended to support the Goal by funding projects that build and sustain the core capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide recipients the ability to meet this objective, the policy set forth in GPD's IB 379 (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding) allows for the expansion of eligible maintenance and sustainment costs which must be in 1) direct support of existing capabilities; (2) must be an otherwise allowable expenditure under the applicable grant program; (3) be tied to one of the core capabilities in the five mission areas contained within the Goal, and (4) shareable through the Emergency Management Assistance Compact. Additionally, eligible costs must also be in support of equipment, training, and critical resources that have previously been purchased with either Federal grant or any other source of funding other than DHS/FEMA preparedness grant program dollars.

### **Law Enforcement Terrorism Prevention Allowable Costs**

Activities eligible for use of LETPA focused funds are outlined in the National Prevention Framework (and where capabilities are shared with the protection mission area, the National Protection Framework) and include but are not limited to:

- Maturation and enhancement of designated state and major Urban Area fusion centers, including information sharing and analysis, threat recognition, terrorist interdiction, and training/ hiring of intelligence analysts;
- Coordination between fusion centers and other analytical and investigative efforts including, but not limited to Joint Terrorism Task Forces (JTTFs), Field Intelligence Groups (FIGs), High Intensity Drug Trafficking Areas (HIDTAs), Regional Information Sharing Systems (RISS) Centers, criminal intelligence units, and real-time crime analysis centers;
- Implementation and maintenance of the Nationwide SAR Initiative, including training for front line personnel on identifying and reporting suspicious activities;
- Implementation of the "If You See Something, Say Something™" campaign to raise public awareness of indicators of terrorism and terrorism-related crime and associated efforts to increase the sharing of information with public and private sector partners, including nonprofit organizations. Note: DHS/FEMA requires that the Office of Public Affairs be given the opportunity to review and approve any public awareness materials (e.g., videos, posters, tri-folds, etc.) developed using HSGP grant funds for the "If You See Something, Say Something™" campaign to ensure these materials are consistent with the Department's messaging and strategy for the campaign and the initiative's trademark;
- Training for countering violent extremism; development, implementation, and/or expansion of programs to engage communities that may be targeted by violent extremist radicalization; and the development and implementation of projects to partner with local communities to prevent radicalization to violence, in accordance with the Strategic Implementation Plan (SIP) to the National Strategy on Empowering Local Partners to Prevent Violent Extremism in the United States; and

- Increase physical security, through law enforcement personnel and other protective measures by implementing preventive and protective measures at critical infrastructure site or at-risk nonprofit organizations.
- Building and sustaining preventive radiological and nuclear detection capabilities, including those developed through the Securing the Cities initiative.

### **Critical Emergency Supplies**

In order to further DHS/FEMA' mission, critical emergency supplies, such as shelf stable products, water, and basic medical supplies are an allowable expense under SHSP and UASI. Prior to the allocation of grant funds for stockpiling purposes, each state must have DHS/FEMA's approval of a five-year viable inventory management plan which should include a distribution strategy and related sustainment costs if planned grant expenditure is over \$100,000. If grant expenditures exceed the minimum threshold, the five-year inventory management plan will be developed by the recipient and monitored by FEMA GPD with the assistance of the FEMA Logistics Management Directorate (LMD). FEMA GPD will coordinate with LMD and the respective FEMA Region to provide program oversight and technical assistance as it relates to the purchase of critical emergency supplies under UASI. FEMA GPD and LMD will establish guidelines and requirements for the purchase of these supplies under UASI and monitor development and status of the state's inventory management plan.

States (through their Emergency Management Office) are strongly encouraged to consult with their respective FEMA Regional Logistics Chief regarding disaster logistics- related issues. States are further encouraged to share their DHS/FEMA approved plan with local jurisdictions and Tribes.

### **Travel**

Domestic travel costs are allowed under this program, as provided for in this NOFO. International travel is not an allowable cost under this program unless approved in advance by IDHS and DHS/FEMA.

### **Unallowable Costs**

Per FEMA policy, the purchase of weapons and weapons accessories is not allowed with HSGP funds.

### **Prohibited Equipment**

Grant funds may not be used for the purchase of Prohibited Equipment. Refer to IB 407 Use of Grant Funds for Controlled Equipment for the complete Prohibited Equipment List. For additional information on Prohibited Equipment see Executive Order (EO) 13688 Federal Support for Local Law Enforcement Equipment Acquisition, and the Recommendations Pursuant to Executive Order 13688.

### **Management and Administration**

Management and administration (M&A) activities are those directly relating to the management and administration of HSGP funds, such as financial management and monitoring. A maximum of up to three percent (3%) of funds awarded may be retained by the sub recipient, and any funds retained are to be used solely for M&A purposes associated with the award.

## **VII. ADDITIONAL INFORMATION**

### Supplanting

Federal funds must be used to supplement existing funds for program activities and cannot replace or supplant nonfederal funds that have been appropriated for the same purpose.

### Monitoring

IDHS must monitor sub recipients as a requirement of the federal award to assure compliance with applicable federal and state requirements and performance expectations are being achieved.

Sub recipients will be monitored by the IDHS Grants Management Compliance Monitor using a combination of desk reviews and site visits.

Determinations for those entities that will be monitored are made based on the IDHS Grants Management Risk Assessment.

### Conflict of Interest

To eliminate and reduce the impact of conflicts of interest in the sub award process, recipients and pass-through entities must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making sub awards. Recipients and pass-through entities also are required to follow any applicable state, local, or tribal statutes or regulations governing conflicts of interest in the making of sub awards.

The recipient or pass-through entity must disclose to FEMA, in writing, any real or potential conflict of interest as defined by the federal, state, local, or tribal statutes or regulations or their own existing policies that may arise during the administration of the federal award. Recipients and pass-through entities must disclose any real or potential conflicts to their Regional EMPG Program Manager within five days of learning of the conflict of interest. Similarly, subrecipients must disclose any real or potential conflict of interest to the pass-through entity as required by the Recipient's conflict of interest policies, or any applicable state, local, or tribal statutes or regulations.

Conflicts of interest may arise during the process of FEMA making a federal award in situations where an employee, officer, or agent, any members of his or her immediate family, or his or her partner has a close personal relationship, a business relationship, or a professional relationship, with an applicant, sub applicant, recipient, subrecipient, or FEMA employee.

### Financial and Compliance Audit Report

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all Federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of Government and Accountability Office's (GAO) Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and the requirements of Subpart F of 2 C.F.R. Part 200, located at: [http://www.ecfr.gov/cgi-bin/text-idx?SID=55b4da49c95a0c0f5dcd984d39e4ea0f&mc=true&node=se2.1.200\\_1501&rgn=div8](http://www.ecfr.gov/cgi-bin/text-idx?SID=55b4da49c95a0c0f5dcd984d39e4ea0f&mc=true&node=se2.1.200_1501&rgn=div8).

## **VIII. CONTRACT & APPLICATION REQUIREMENTS**

All applicants awarded a grant must agree to the following:

- Enter into a Sub Grant Agreement between the IDHS and the sub recipient and agree to abide by all provisions of the Sub Grant Agreement.
- Abide by all the federal terms and conditions in the sub grant agreement.
- Must be able to sign the agreement electronically using the State's Supplier Contracts module.
  - Applicants do NOT need to provide a resolution to determine the signatory for grant agreements.
  - Applications must include the signatory information in the submitted proposal.
- Submit all reports in the prescribed format and time frames as determined by the IDHS.
- Comply with federal cost principals contained in the 2CFR 200 found at [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)
- Report on the funding you receive to be in compliance with the Federal Funding Accountability Transparency Act (FFATA). All grantees receiving federal funds must begin reporting on the grant-funded activities if they receive \$30,000 or more in federal funds per grant. You are required to provide your DUNS number, award amount and date, project description and location of the funded work, on the form provided in your grant award packet from ICJI. This information will be posted to a dedicated web site, USASpending.gov.

## **IX. SELECTION PROCESS**

### Financial Risk Assessment

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

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

Please find a copy of the Risk Assessment in Appendix A.

### Scoring

IDHS staff will form a Sub Recipient Proposal Scoring Committee. IDHS Grants Management staff will conduct an initial screening of the proposal to check for completeness of the application. The committee will then review each proposal and score the proposal using the following score sheet.

The Committee will make recommendations based on the scores of all proposals to IDHS Executive Staff. The Executive staff will review and make recommendations to the IDHS Executive Director. The Executive Director will make the final approval of all funding decisions.

Applicants can request a copy of the scoresheet and any comments that were provided by the scorers after awards have been made.

Please find a copy of the Scoresheet in Appendix B.

The Committee will make recommendations based on the scores of all proposals to IDHS executive staff. The Executive staff will review and make recommendations to the IDHS Executive Director. The Executive Director will make the final approval of all funding decisions.

### **X. AWARD NOTIFICATION**

Notification of award approvals will be sent via email to the sub-recipient in the form of an Award Letter. The award letter will include the following:

- Sub Recipient Name
- Sub Recipient Award Amount
- Sub Recipient Performance Period
- Federal Award Identification Number (FAIN)
- Total Amount of the Federal Award
- Federal Awarding Agency
- Federal Award Date
- CFDA Number

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

The sub recipient should follow the directions in the award letter to confirm acceptance of the award.

## **XI. REPORTING**

### Quarterly Program Reports

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

<b>Reporting Period</b>	<b>Report Due Date</b>
October 1 – December 31	January 15
January 1 – March 31	April 15
April 1 – June 30	July 15
July 1 – September 30	October 15

Program reports are intended to update IDHS Grants Management Staff of the status of the project and to indicate if any assistance of guidance is needed to successfully complete the project. Program reports are required and should be submitted on time. Incomplete, incorrect or late reports could impact the sub recipient's ability to receive future grant funding.

### Closeout Reporting Requirements

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

Within 45 days of the end of the period of performance sub recipients must submit a final program report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance.

Additionally, the sub recipient must liquidate all obligations incurred under the award no later than 45 calendar days after the end date of the period of performance. If a sub recipient fails to liquidate their obligations within this time period, IDHS may disallow the costs associated with those unliquidated obligations.

The sub recipient must have updated the iGMS Inventory module to include any equipment purchased with grant funds.

After final reports have been reviewed and approved by IDHS Grants Management Staff, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds the recipient has not drawn down that will be deobligated, and address requirements for record retention, and disposition and reporting requirements for any equipment purchased using EMPG grant funding.

### Other Reports

IDHS Grants Management Staff may ask for additional reports throughout the grant period. These report could include but are not limited to exercise reports, training reports, financial data/reports, THIRA/HIRA or gap analysis and equipment inventory reports.

## **XIII. IDHS CONTACT INFORMATION**

If you have any questions, please contact your Program Manager or IDHS Grants Management at [grants@dhs.in.gov](mailto:grants@dhs.in.gov).

**APPENDIX A – Risk Assessment**

Risk Questions	Yes	No	Comment
1. Has the sub recipient staff and/or organization remained constant or no staff changes since last review?			
2. Has the sub recipient's programmatic performance been satisfactory (medium or low risk) for more than one type of award?			
3. Have the sub recipient's quarterly reports been accurate and submitted on time?			
4. Did the sub recipient comply with fiscal requirements of the grant?			
5. Did the sub recipient's prior monitoring reviews have findings? If so, were the findings corrected?			
6. Did the sub recipient submit or provide correct documentation for expenditures?			
7. Did the sub recipient utilize all funds?			
8. Were unused grant funds returned by sub recipient as required by 2CFR 200.345?			
9. Did the sub recipient have zero findings in their previous A-133 audit regarding funds provided by IDHS (pass-through entity)?			
10. Did the sub recipient fulfill all requirements of the grant/s related policy(ies)?			
<b>Totals</b>	<b>0</b>	<b>0</b>	
<b>Overall Total</b>	<b>0</b>		

## APPENDIX B – Scoresheet

<b>Section A: Problem Statement</b>	
1. Did the applicant clearly identify a gap or shortfall?	0-5
2. Did the applicant describe clearly how the gap was identified?	0-5
3. Did the applicant describe the impact the gap has on the community?	0-5
Section Total	15
<b>Section E: Project Summary</b>	
1. Did the applicant provide a detailed summary, scope of work, or purpose?	0-5
2. Did the applicant describe how the mission area, core capability, and POETE align properly to the project summary?	0-5
3. Does the project described address the gap outlined in the Problem Statement?	0-3
4. Did the applicant explain how the expenditures will support the core capability?	0-3
5. Does the reader feel they have a complete understanding of the project?	0-3
Section Total	19
<b>Section F: Project Goals and Objectives</b>	
1. Did the applicant describe the goal clearly and concisely?	0-5
2. Are the objectives SMART objectives? Are they specific, measurable, attainable, relevant, and time-bound?	0-5
3. Did the applicant explain how any gaps will be lessened due to the desired outcomes of this project?	0-3
4. Do the goal and the objectives relate directly to the project described in the Project Summary?	0-3
Section Total	16
<b>Section G: Challenges and Risks</b>	
1. Did the applicant describe any challenges and/or risks? Yes/no	
1a. If yes: Did the applicant describe the challenges and/or risks and if they can be mitigated for success of the project?	0-4
1b. If no, Did the applicant describe why there are no challenges and/or risks associated to this project?	0-4
Section Total	4
<b>Budgeted Items</b>	
1. Are the budget items all allowable, allocable, reasonable and necessary for the described project?	0-4
2. Are all budget items included in the correct budget category?	0-2
3. Are all items in the budget specific?	0-2
4. Do all budget line items include detailed narrative to describe the item?	0-2
5. Are computations included with each line item where required?	0-2
Section Total	12
<b>Risk Assessment</b>	
A Risk Assessment is completed by Grants Management Compliance Monitoring Staff. Should be included prior to scoring with 0 being high risk and 10 being low risk. All new agencies will automatically receive a 0 for high risk.	0-10
Section Total	10
<b>Total Score</b>	<b>76</b>

## APPENDIX C – FY16 SHSP Competitive Template

### I. Identification Information

- A. Applicant Information
- B. Financial Officer contact information
- C. Name of Authorizing Signatory for Grant Agreement

*This person is the authorized signatory for the entity submitting for this grant.*

- D. Additional Information
  - 1. Discrimination
  - 2. FFATA

### II. Proposal Information

*Please select whether this is a new project or sustainment.*

New/Sustainment

#### A. Problem Statement

*Describe the identified gap/shortfall and the impact on your community. What tool was used to identify said gap/short?*

*(Narrative box 2500 characters)*

*SHSP supports investments that must follow the National Preparedness Goal: "A secure and resilient nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk." Please select what Mission Area, Core Capability, and POETE that your project supports towards fulfilling the National Preparedness Goal.*

- B. Mission Area (applicant selects one of the following: Common, prevention, protection, mitigation, response, recovery)
- C. Core Capabilities (applicant selects one of the 32 core capabilities)
- D. POETE (applicants select one that supports project: Planning, Organization, Equipment, Training, Exercise)

#### E. Project Summary:

*Provide a summary/scope of work/purpose. How does your project tie back to the selections you made? Describe the project that will justify the request for proposed funds.*

*(Narrative box 2500 characters)*

#### F. Project Goals and Objectives.

*2 Parts: 1) Explain the primary goal of your project; Describe how your project and/or expenditures will support your selected core capability 2) Describe your desired objectives or outcomes, including expected long-term impact, where applicable, and explain how the gap/shortfall will lessen because of this project. (Objectives should be SMART specific, measurable, attainable, relevant, and time-bound).*

*(Narrative box 2500 characters)*

*(Narrative box 2500 characters)*

#### G. Challenges and Risk

*Describe any challenges or risk that may impact the planned implantation of this project, beyond the financial need.*

*(Narrative box 2500 characters)*

H. Environmental Historical Screening Memorandum.

*Does this project require new construction, renovation, retrofitting or modifications of existing structure:  
yes or no*

III. Tie to funds and Build Budget

Click the Add Funds link and select the appropriate funding from the drop down box provided.

Click the Add button to tie the funds to the proposal.

Click the amount in the Budgeted column to open the budget to create, complete and submit your budget.

## APPENDIX D – Letter of Intent

To: IDHS Grants Management  
From: Enter name of Point of Contact  
Date: Friday, June 03, 2016  
RE: Fiscal Year 2016 State Homeland Security Program (SHSP): Competitive Grant Program Intent to Apply for Funding

1. Description of the project: Click here to enter text.
2. Legal Name of Entity: Enter the name associated with the Federal TAX ID number
3. DUNS #:Click here to enter text.
4. Federal Tax ID #:Click here to enter text.
5. Do you already have an iGMS login? Enter Yes or No
  - a. If no, please complete the following:
    - i. Indiana Grants Management System (iGMS) Point of Contact: (Person who will be completing the proposal budget and submitting the Request for Expenditures (RFES))
      1. Name: Click here to enter text.
      2. Email: Click here to enter text.
      3. Telephone Number: Click here to enter text.

\*\* Your agency may submit multiple proposals via one letter of intents. Please include the description of each project separately under Question 1.