



## Nebraska Emergency Management Agency

### Grant Management Handbook





# NEBRASKA EMERGENCY MANAGEMENT AGENCY

## GRANT MANAGEMENT HANDBOOK

June, 2016



This plan is hereby approved and supersedes all previous versions.



# Table of Contents

Record of Changes .....	2
Table of Contents.....	3
<b>Chapter 1 Welcome.....</b>	<b>5</b>
Who to Call.....	8
NEMA Organizational Chart .....	9
<b>Chapter 2 Grant Management Basics, Rules and Requirements.....</b>	<b>11</b>
Ten Easy Rules for Grant Management.....	13
Grant Management Basics.....	14
<b>Chapter 3 Policies and Procedures .....</b>	<b>17</b>
Grant Program Overview.....	19
Reporting Requirements .....	21
Grant Compliance .....	22
Federal and State Audit Findings .....	23
Environmental and Historic Preservation Procedures .....	26
<b>Chapter 4 Certification and Assurances .....</b>	<b>27</b>
Certifications .....	29
Contracting.....	33
Justification for Non-Competitive Procurement .....	38
Procurement Policies .....	39
<b>Chapter 5 Specific Grant Reference Materials .....</b>	<b>41</b>
<i>Documents Applicable to All Grants</i> .....	43
Sample ACH Form.....	45
Sample W-9 Form.....	49
Monitoring Documents .....	55
Equipment Inventory List (excludes HMEP).....	65
<i>Homeland Security Grant Program (HSGP)</i> .....	69
HSGP Grant Overview.....	71
Work Plan Template .....	92
Sample Grant Adjustment Notice (GAN).....	97
PET Request Form .....	102
Sample Overtime and Backfill Reimbursement Form .....	107
Sample Local Purchase Submission Coversheet .....	109

<i>Emergency Management Performance Grant (EMPG)</i> .....	111
EMPG Guidance .....	113
EMPG Application.....	123
EMPG Project Outlines .....	126
Sample EMPG Grant Adjustment Notice (GAN) .....	129
EMPG Reimbursement Form.....	137
EMPG Mileage Form.....	141
Sample Local Purchase Submission Coversheet.....	145
EMPG FFATA Form .....	149
<i>Hazardous Materials Emergency Planning (HMEP)</i> .....	153
HMEP Guidance .....	155
Sample HMEP – LEPC Mini Grant Application .....	164
Sample HMEP – LEPC Reimbursement .....	167
<b>Other Attachments</b> .....	171
PET Regional Map .....	173
EMPG Map.....	177
List of Acronyms.....	181
Glossary .....	185

# **Chapter 1**

## **Welcome**



## **Welcome to Grant Management**

Your jurisdiction has been awarded federal grant funding through the Nebraska Emergency Management Agency (NEMA). Receipt of grant funds is important, but grants involve responsibility and proper management. As a grant administrator you assume the overall responsibility for ensuring that the grant is implemented within the established parameters and grantor agency regulations. Please review this handbook carefully, whether you are a first time or a veteran grant administrator.

NEMA, along with the Homeland Security Policy Group, has developed a grant philosophy that enables state agencies, counties and local jurisdictions to benefit from, and maximize, this important resource. However, please understand that receipt of a grant award does not imply that your program or plan will be automatically continued when the grant funds no longer exist. ***Future funding is dependent upon federal appropriations and therefore is not guaranteed.***

It is extremely important that grant funds are expended in a timely manner in accordance with the proposed plan. Remember, your grant was awarded based on your application/workplan and you are expected to follow through on those intentions. We anticipate a “good faith” effort on your part and will work with you if unexpected circumstances necessitate a modification of the approved plan or budget.

The basic objectives for all grant administrators are:

- To monitor grant activities, expenditures and deadlines to ensure that the citizens of Nebraska receive the maximum benefit;
- To ensure that all purchases are aligned to the grant plan;
- To prepare and file reports on time; and
- To ensure that grant funds are not returned to the grantor agency.

**Congratulations on this award!**

## Who to Call

The following people may assist you with questions about your grant:

<b>Nikki Weber</b>	Preparedness Section Manager nikki.weber@nebraska.gov Grants Manager	402-471-7226
<b>Julie Mayers</b>	Federal Aid Administrator Supervisor julie.mayers@nebraska.gov Grants Supervisor	402-471-5088
<b>Tonya Ngotel</b>	State Emergency Response Commission (SERC) Coordinator tonya.ngotel@nebraska.gov HMEP Mini-Grants	402-471-7176
<b>Ryan Lowry</b>	State Citizen Corps Program (CCP) and Medical Reserve Corps (MRC) Coordinator ryan.lowry@nebraska.gov	402-471-7424
<b>Merci Suarez</b>	Federal Aid Administrator merci.suarez@nebraska.gov Grants Program Monitor	402-471-7413
<b>Dan Hiller</b>	Planning Unit Supervisor dan.hiller@nebraska.gov Investment Justifications Homeland Security Policy Group Homeland Security Planning Team	402-471-7419
<b>Jackie Maly</b>	Federal Aid Administrator jackie.maly@nebraska.gov Reimbursement Coordinator	402-471-7412
<b>Logan Lueking</b>	Program Specialist logan.lueking@nebraska.gov Environment and Historical Preservation Review Coordinator	402-471-7427

**NOTE:** Call or email the above first; if they don't have the answers they will direct you to other agencies and/or departments that may be of assistance.



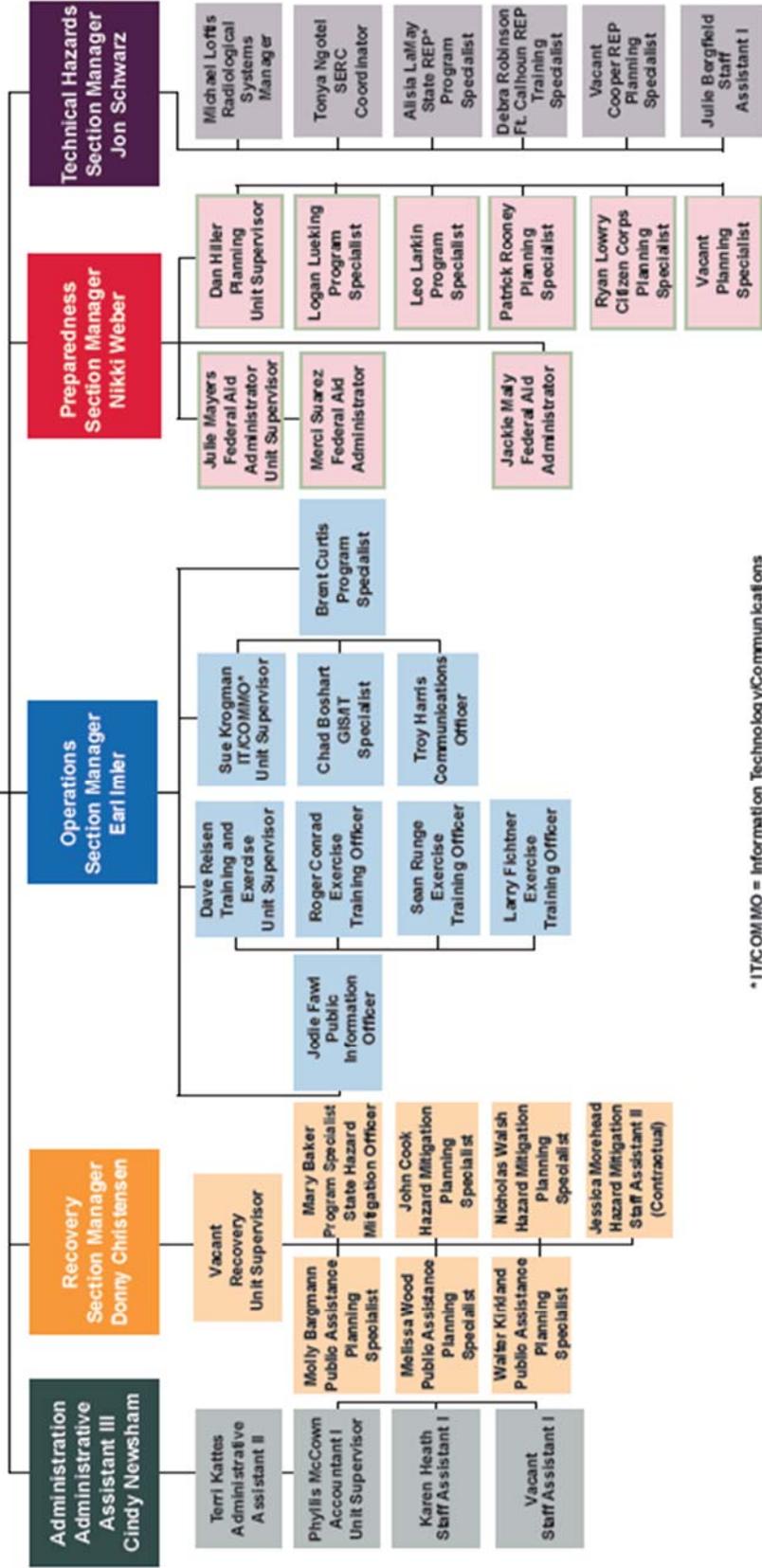
**Director**  
Major General Daryl Bohac

**Assistant Director**  
Bryan Tuma

Deb Kal  
Business  
Manager III



## Organizational Chart



\* ITCOM MO = Information Technology/Communications  
\* REP = Radiological Emergency Preparedness

THIS PAGE INTENTIONALLY HAS NO DATA

# **Chapter 2**

## **Grant Management Basics, Rules, and Requirements**



## **Ten Easy Rules For Grant Management**

1. *Read the grant guidance to make sure you understand the requirements.*
2. *Participate in the Investment Justification Workshop (SHSP) to ensure that your needs are included in the investment justification.*
3. *Create a detailed and specific workplan/application and make sure each expenditure can be justified.*
4. *Discuss the program and budget with the region/county-level grant administrator and designate a project contact person.*
5. *Follow directions, grant requirements, regulations and special conditions.*
6. *Implement the program as it is written.*
7. *Spend the money in a timely manner, do not spend money on items that are not in the budget; do not spend more money than you have been allocated; and do not make purchases without prior approval.*
8. *Meet all deadlines.*
9. *Keep your NEMA grant manager(s) informed of all matters pertaining to your grant(s).*
10. *Keep good and accurate records.*

# **GRANT MANAGEMENT BASICS**

## **I. WHAT IS EFFECTIVE GRANTS MANAGEMENT?**

A process (or result) of adequate oversight and monitoring of federal assistance awards that includes project resources, activities and results; a process that begins before the award is signed.

## **II. PURPOSE OF EFFECTIVE GRANTS MANAGEMENT**

- A. Accountability
- B. Accomplishment of program goals
- C. Accomplishment of performance goals and adequate progress of the program
- D. Compliance with grant terms, laws and regulations
- E. Federal funds expended as awarded and budgeted
- F. Stewardship of public funds

## **III. WHAT IS MONITORING?**

An ongoing assessment of the progress of activities being funded, to determine if the terms and conditions of the award are being met.

## **IV. WHAT IS THE PURPOSE OF MONITORING?**

Informal and formal oversight to ensure grantees are planning and doing what they said they would plan and do.

## **V. FACTORS THAT DETERMINE MONITORING LEVEL**

- A. Experience and capacity of the grantee and grant staff
  - 1. Corporate culture and management importance given to grants activities
  - 2. Organizational and staffing changes
  - 3. Decentralization of grants management
  - 4. Staff resources
  - 5. Lack of central electronic grants management system
- B. Dollar amount of award
- C. Program visibility

VI. MONITORING TECHNIQUES

- A. Pre-award risk assessment
- B. Site visits and desk reviews
- C. Telephone calls
- D. Enforcement of prior approvals
- E. Analysis and timeliness of reports
- F. Provision of technical assistance and support
- G. Results of prior monitoring, or prior Single Audit reports, or Office of the Inspector General (OIG)

VII. MONITORING DOCUMENTATION

- A. Grant monitoring report
- B. Grant monitoring memorandum
- C. Correspondence and emails
- D. Details of recommended corrective action and actions implemented

VIII. RISK INDICATORS AND PROBLEMS

- A. Dollar amount of Award
- B. Grant program guidance complexity and related pitfalls
- C. Reporting
  - 1. Comparison of actual results with stated goals and objectives, timelines
  - 2. Reasons goals and objectives were not met
  - 3. Narrative report supports financial expenditures
  - 4. Financial report correlates to and supports narrative progress
- D. Performance Measures
  - 1. Assess impact and value of programs and projects
  - 2. Demonstrate program and project accountability, results
  - 3. Techniques: evaluations, data collection, analysis of data, reports, etc.
- E. Prior negative history with grantee
  - 1. Programmatic or project-related
  - 2. Financial
  - 3. Intentional (disregard for grant requirements, laws, regulations, etc.)
  - 4. Unintentional (lack of knowledge and experience)

THIS PAGE INTENTIONALLY HAS NO DATA

# **Chapter 3**

## **Policies and Procedures**



# GRANT PROGRAMS OVERVIEW

## I. PURPOSE

Policies and procedures that shall be utilized by the Nebraska Emergency Management Agency (NEMA), and sub-recipients, receiving grant funding administered by NEMA.

## II. NEMA GRANT PROGRAM

NEMA will administer the Grant Programs in a fair, impartial and professional manner to enhance the security of Nebraska and its citizens. It is the policy of NEMA to ensure that grant program guidance, federal reporting requirements, and all applicable Office of Management and Budget (OMB) circulars are adhered to by NEMA and all sub-recipients of funds.

### A. State Homeland Security Grant (SHSP) Program

SHSP is a federally funded grant program administered by the Grant Programs Directorate within the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA). The purpose of the SHSP is to enhance the state's capability to prevent, respond and recover from an act(s) of terrorism. This is accomplished through the acquisition of specialized equipment, training, planning and exercising.

1. State Administrative Agency - Pursuant to policy of the U.S. Department of Homeland Security, each governor is required to appoint an agency to administer the State Homeland Security Grant Program on behalf of his/her state. In Nebraska, that agency is NEMA.
2. Sub-recipient - Any local, regional or state agency/entity that has been awarded funds by NEMA in its role as State Administrative Agency (SAA) of the State Homeland Security Grant program.
3. Programs allowed under SHSP still include:
  - a. Metropolitan Medical Response System (MMRS)
  - b. Citizen Corps Program (CCP)

### B. Emergency Management Performance Grant (EMPG)

EMPG is a performance based matched grant administered through

FEMA. This grant funds emergency management activities on a 50/50 matching basis with residual monies being passed to local jurisdictions participating in the Emergency Management Performance Grant (EMPG) program.

The Assistant Director is responsible for grant application, the Preparedness Section Manager is responsible for grant management through quarterly reporting and final reporting and the Business Manager is responsible for all fiscal reports.

C. Hazardous Material Emergency Preparedness Grant (HMEP)

HMEP is a grant provided by the Department of Transportation funding HazMat Planning, Administration and Training for the State. This grant supports the Nebraska Hazardous Incident Team (NHIT) and the Local Emergency Planning Committees (LEPCs).

# REPORTING REQUIREMENTS

## I. 2 CFR 200 REPORTING REQUIREMENTS

- A. NEMA is subject to the requirements of 2 CFR 200, and, as such, requires NEMA to monitor sub-recipients of federal awards and determine whether they have met the single audit requirements of the circular, and whether they are in compliance with federal laws and regulations.
- B. Sub-recipients must submit an audit report to the Federal Audit Clearinghouse if they expend more than \$750,000 in federal funds in one fiscal year. The Federal Audit Clearinghouse submission requirements can be found at <http://harvester.census.gov/sac/>.
- C. A copy of the report must be submitted to NEMA/SAA each year the grant is active. Sub-recipient shall comply with the single audit requirements set forth in 2 CFR 200.

## II. FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT (FFATA)

The Federal Funding Accountability and Transparency Act (FFATA) was signed on September 26, 2006. The intent is to empower every American with the ability to hold the government accountable for each spending decision. The end result is to reduce wasteful spending in the government. The FFATA legislation requires information on federal awards (federal financial assistance and expenditures) be made available to the public via a single, searchable website, which is [www.USASpending.gov](http://www.USASpending.gov).

## GRANT COMPLIANCE

***Keep in mind the following rules regarding grant compliance.***

- I. Grant dollars must support, and be spent on, services and commodities specified in the grant application/workplan. In some instances, budget amendments may be written if the line for that budget category supports the application/workplan. These changes must have prior approval from NEMA grant administration.
- II. Make sure you keep a valid paper trail that justifies your expenditures. All grants are subject to audit. Keep a notebook or folder that is dedicated to the grant project. Keep records of purchase orders, invoices, budget amendments, and other support documentation. These records are subject to audit for three years after the grant is closed.
- III. File all required reports in a timely manner. All grants require some type of report – these may be quarterly, mid-term, and/or final reports. Your failure to send or complete these reports could jeopardize future funding for your jurisdiction.
- IV. Always read the special conditions of the award to make sure you know what NEMA is requiring of you. Discuss any requirements that are unclear or problematic with NEMA grant administration. Good grant management is based on a trust factor between the grantor agency and the grant recipient. The local grant administrator should inform NEMA of any concerns regarding the implementation of the program or compliance with grant regulations.

# FEDERAL & STATE AUDIT FINDINGS

## I. PURPOSE

To highlight a list of common audit findings and to guide you toward effective grant management.

## II. MONITORING

NEMA, as the grantee, must monitor the execution of projects to assure adherence to performance goals, time schedules or other requirements as appropriate to the projects or the terms of the grant agreement. NEMA is responsible for monitoring the activities of and pass-through requirements to any sub-recipients.

## III. AUDITS

A. Grant budgets are subject to both internal and external audits. This scrutiny requires:

1. Detailed justification of all expenditures
2. Evaluation of all expenditures in relation to program components

B. The expenditures must support the development or implementation of the project/program as specified in the grant application. Any modifications must have the approval of NEMA.

C. NEMA is subject to the requirements of *Audits of States, Local Governments, and Non-Profit Organizations*, which as of FY'2015 has been incorporated into 2 CFR 200.501 (formerly A-133 Audits). As such, 2 CFR 200.501 requires NEMA to monitor sub-recipients of federal awards and determine whether they have met the audit requirements of the circular, and whether they are in compliance with federal laws and regulations. Sub-recipients must submit an audit report to the Federal Audit Clearinghouse if they expend more than \$750,000 in federal funds in one fiscal year.

## IV. TOP AUDIT FINDINGS

A. Experience has shown that the top findings from Federal Office of the Inspector General (OIG) and Nebraska State Auditor of Public Accounts audits are as follows:

1. Untimely submission of reports – Narrative and financial reports are not submitted when due.
2. Lack of documentation – The sub-recipient does not have adequate invoices or other documentation to back up the expenditure of funds.
3. Inadequate monitoring of Contractors – The sub-recipient is failing to monitor its contractors to ensure that they are spending their funds in compliance with all federal laws and regulations.
4. Inadequate time and effort records – The sub-recipient has failed to keep adequate time and effort records documenting the time that its employees, volunteers, and consultants, have worked on the activities related to the project.
5. Inaccurate reports – The financial status reports submitted do not agree with the financial records of the organization. The sub-recipient's request for payments does not correlate with its need for funds.
6. Co-mingling of funds – The sub-recipient's accounting system is unable to accurately identify the receipt and expenditure of funds with the proper award.
7. Excess cash on hand – The sub-recipient is not managing its drawdown of funds to coincide with expenditures to avoid having excess federal funds on hand.
8. Unallowable costs – The sub-recipient has expended federal funds on cost items that are unallowable under 2 CFR 200.
9. Inappropriate changes – The sub-recipient has made budget changes and/or changes in the scope of the project without requesting prior approval from its program office.
10. Conflicts of interest – The sub-recipient has conflicts of interest or the appearance of conflicts of interest in its procurement procedures or other management of the federal funds.
11. Federal Procurement Rules – All procurement transactions must be conducted in a manner providing fair and open competition, and quotations must be obtained from an adequate number of sources.

V. REPORTS

A. Program and budget reports are required on all grants. Detailed record keeping initiated at the beginning of the grant period will help facilitate this process. Reports must be submitted on time. See your specific grant section for other reporting requirements.

1. Federal Financial Accountability and Transparency Act (FFATA)

VI. DEADLINES

All program and financial deadlines must be met. Contact your grant manager if you have a problem meeting a deadline.

## **Environmental and Historic Preservation Procedures**

Sub-recipients need to initiate an Environmental and Historic Preservation (EHP) review for FEMA Preparedness Grant funded projects. EHPs are required for:

1. Projects that involve the purchase of equipment that will require installation on or in a building or structure,
2. Training exercises with any field-based components, such as drills or full-scale exercises,
3. Projects that involve renovations, upgrades, retrofits, and installation of equipment or systems in or on a building or structure,
4. Projects that involve installation of new or replacement generators, to include the concrete pads, underground fuel and electric lines, and if necessary, a fuel storage tank,
5. Projects that involve new construction, addition to, or expansion of a facility. These projects involve construction of a new building, or expansion of the footprint or profile of a current structure, and
6. Involve construction of new or replacement communications towers, or installation of communications-related equipment on a tower or building or in a communications shelter or building.

There is no need to complete an EHP if the grant's scope of work is limited to; planning, management and administration, classroom-based training, tabletop exercises and functional exercises, or purchase of mobile and portable equipment where no installation is needed.

In order to initiate an EHP review of a project, sub-recipients must complete all relevant sections of the FEMA EHP screening form and submit it to NEMA's EHP Review Coordinator, Logan Lueking. Once NEMA receives a completed EHP screening form, it then is forwarded to FEMA for review. If the FEMA reviewers have any questions for clarification, they will be pass that request through NEMA to the sub-recipient. The FEMA review usually takes between 10-14 days. Once NEMA is notified of EHP approval, the sub-recipient will be notified.

Given the time constraints placed on obtaining an approved EHP for some instances, sub-recipients of the EMPG grant may move forward with the EHP process prior to seeking approval from the NEMA EMPG Grant Manager, Nikki Weber for allowability under the grant. Once an EHP approval is obtained, request for allowability must be sent to the Grant Manager for final project approval. The Grant Manager will review and determine allowability and if funds are available to fund priority #3 Equipment. If approval is given, then a purchase can be made.

If an EHP is denied, or if a project is completed without an EHP review, said project is ineligible for grant reimbursement.

# **Chapter 4**

# **Certification and**

# **Assurances**



# **Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Hotel & Motel Fire Safety Act; Drug-Free Workplace Requirements; Lobbying; Federal Debt Status; And Nondiscrimination**

Signing the Terms and Conditions attached to the Sub-Recipient Agreement indicates compliance with the statutes and regulations cited below.

## **1. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

As required by Executive Order 12549 and implemented at 45 C.F.R. Part 1185, the undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant, nor its principals:

- (a) are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) have within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state or local) transaction or contract under a public transaction, or in connection with a violation of Federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification;
- (d) have within a three-year period preceding this application/proposal had one or more public transactions (Federal, state or local) terminated for cause or default.

Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

## **2. HOTEL AND MOTEL FIRE SAFETY ACT**

Pursuant to Public Law 101-391, no Federal funds may be used to sponsor or fund in whole or in part a meeting, convention, conference or training seminar that is conducted in, or that otherwise uses the rooms, facilities, or services of a place of public accommodation that do not meet the requirements of the fire prevention and control guidelines as described in the Public Law. This restriction applies to public accommodations both foreign and domestic.

### 3. DRUG-FREE WORKPLACE REQUIREMENTS

As required by the Drug-Free Workplace Act of 1988 and implemented at 45 C.F.R. Part 1185, the undersigned, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:

- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
- (b) establishing an ongoing drug-free awareness program to inform employees about:
  - (1) the dangers of drug abuse in the workplace;
  - (2) the 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 on employees for drug abuse violations occurring in the workplace;
- (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
  - (1) abide by the terms of the statement; and
  - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
- (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
- (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
  - (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*); or
  - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, state, or local health law or other appropriate agency;

- (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

The applicant either shall identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for Federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

#### **4. LOBBYING**

As required by Section 1352, Title 31 of the United States Code, and implemented for persons entering into a grant or cooperative agreement over \$100,000, the applicant certifies to the best of his or her knowledge and belief that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a Federal contract, the making of a Federal grant, the making of a Federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a Federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than appropriated Federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

#### **5. FEDERAL DEBT STATUS**

The undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any Federal debt.

## 6. NON-DISCRIMINATION

As required by the Civil Rights Act of 1964, the Rehabilitation Act of 1973, the Education Amendments of 1972, and the Age Discrimination in Employment Act of 1975, as implemented at 45 C.F.R. Part 1180.44, the undersigned, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subject to discrimination under any program or activity receiving Federal financial assistance;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*), which prohibits discrimination on the basis of disability in Federally-assisted programs;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance;
- (d) The Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age in Federally-assisted programs;

The sub-recipient further provides assurance that it will include the language of these certifications in all sub-awards and that all sub-recipients shall certify and disclose accordingly.

# **Contracting With Federal Funds**

## **Overview and Required Elements Government Requirements for Procurements Under Grants**

Grantees often enter into contracts under federal grants. While the federal government is not a party to the contracts, the grantee [NEMA] must nevertheless comply with any requirements imposed by federal statute, regulation or terms of the grant agreement. The federal requirements that apply to procurements under grants depend on whether the grantee is a state, other governmental organization or a nongovernmental organization.

...a state grantee will be safe if it follows the standards [of the Common Rule]. State grantees should examine their procurement standards to ensure that they answer every question the Common Rule addresses.

- Grantee/Sub-Recipient Responsibility to Comply – Federal procurement standards, federal laws and executive orders
- Federal Agency Review [State Agency Review] – May require submission of procurement documents for a pre-award review. See below.
- Grantee Standards – Establish own procurement procedures, in compliance with federal procurement regulations (Federal Acquisition Regulation or FAR) and good business management and sound business management principles.
- Grantees must be aware of restraints to prohibit wasteful and ineffective procurement practices.
- Code of Conduct – Ethics and conflict of interest
- Identification of Federal fund source required in all contracts supported by federal assistance
- Competition – Maximum open and free competition, for contracts and subcontracts
- Economic Purchases - Avoidance of unnecessary or duplicate items
- Accurate and Fair Description of Scope of Work or Specifications – No specific brand names. “Brand name or equal” is allowable
- Small and Minority Business Opportunity – Demonstrate efforts to solicit: Grantees are directed to get small, minority and women-owned and labor surplus area businesses to complete for contracts.
- Geographic Preference - Prohibited
- Contract Types - Prohibition from using cost-plus-a-percentage-of-cost contracts in which profit is calculated as a percentage of recognized contractor costs (profits increase as costs increase). Restrictions of Time and Materials contracts
- No contingency allowance for sub-recipients to administer sub-recipient contracts
- Selection Method – one of four methods, listed separately below
- Contractor Qualifications – Successfully meet the terms and conditions in the proposal, and Suspension/Debarment certification for contracts >\$25,000

- Cost/Price Analysis – Determine reasonableness of the proposal’s cost
- Documentation – Detail the history of a procurement
- Contract Administration – by the grantee or sub-recipient to ensure contractor performance
- Standard Contract Provisions – listed separately below.

### **State Administrative Agency (SAA) Review**

The SAA reserves the right to review any service contract. Contracts must be attached in GMS when requesting reimbursement.

### **Types of Contracts**

The procurement standards specifically prohibit grantees from using "cost-plus-a-percentage-of-cost" contracts.

**Subcontracts** – are defined as written agreements for goods or services. The written contract must contain a set of objective deliverables for both the contractor and the contracting party. Payments for services may be by the hour, but should include a maximum payment. Payments may also be deliverables based. If requested, an actual copy of the subcontract must be submitted to a NEMA grant manager for approval prior to any work being initiated. The completion date for subcontracts may not exceed the project performance period minus 30 days. Sub-recipients must check [www.sam.gov/portal/SAM/#1](http://www.sam.gov/portal/SAM/#1) to check if any subcontractors or vendors are on the Debarment /Suspension list. A screenshot for verification should be attached to the contract.

**Cost-Reimbursement Contracts** – Provides reimbursement at actual costs for performing at a certain level of effort regardless of the output achieved, for activities that fall within the contract’s scope of work and are allowable costs. Time and Materials contracts and Labor Hour contracts are two variations. Use of Time and Materials contracts by state and local governments is restricted to circumstances where:

- a determination is made by the grantee that no other contract is suitable; and
- the contract includes a price ceiling that places the contractor at risk for any excess costs.

**Firm Fixed-Price Contracts** - Set lump-sum payment for performance of a specified set of tasks or delivery of a certain number of products or services. "Contractors are not required to account for and report costs associated with the services, products or goods. Instead, reporting focuses on outcomes...."

**Reimbursement Rate Contracts** – Establishes the price per unit for service delivery, and specifies an upper limit on the number of service units to be provided.

**Incentive Contracts** – A performance-based contract that reimburses at cost, but provides incentives to fulfill contract work requirements at less than the maximum amount. Include a formula specifying how cost savings will be distributed.

### **Selection Method**

Grantees must choose one of four:

- Small purchase – <\$150,000. Must obtain price or rate quotations from an adequate number of qualified sources; procurement must be competitive.
- Sealed bids – Must make a firm fixed-price award to the bidder whose bid is the most advantageous to the grantee. If factors other than price are considered in determining the winning bid, the invitation for bids must describe clearly these other factors and how they will be applied in calculating the bids.
- Competitive proposals – Fixed-price or cost-reimbursement type contract. Must identify all evaluation factors and their relative importance, considering price and other factors.
- Noncompetitive proposals – Sole-source procurements. Used only when the small purchase, sealed-bid or competitive proposals methods are not feasible, and one of the following circumstances exists:
  - The item is only available from one source;
  - There is a public exigency or emergency need for the item that will not permit the delay associated with competitive solicitation
  - The awarding agency (NEMA) authorizes noncompetitive proposals
  - After solicitation of a number of sources, competition is determined inadequate.

### **Reasonableness of Cost/Price**

Grantees are required to perform some form of price or cost analysis to determine the reasonableness of the proposal's cost. Not necessary if the sealed bid method is used, as the market of competitive bidding brings forth the most reasonable prices. Without performing a proper analysis, there is simply no certainty that fair and reasonable prices are being charged.”

“The single overriding requirement is that a grantee must examine every cost element listed in an offer. To do so, the contractor must have an accounting system that properly tracks costs and allocates them to the proper categories. Through a cost analysis, determinations are made on which costs are real and reasonable, allowable under grantee regulations or rules, and properly allocated to the work to be performed under proposed contracts.”

### **Documentation**

State government grantees are required to maintain records sufficient to detail the history of procurement:

- The rationale for the method of procurement (small purchase, sealed bid)
- The selection of contract type (fixed-price, cost reimbursement)
- Contractor selection or rejection; and
- The basis of the contract price.

If procurement exceeds the small purchase amount, the grantee must include in its procurement records and files:

- The basis for contractor selection
- Justification for lack of competition when competitive bids or offers were not obtained; and
- The basis for the award cost or price

### **Standard Contract Provisions**

- Clean Air Act 42 USC 1857(h) Section 306, Clean Water Act 33 USC 1368 Section 508, Executive Order 11738, and Environmental Protection Agency regulations 40 CFR Part 15 – Contracts > \$100,000.
- Byrd Amendment 31 USC 1352 - > \$100,000. Lobbying certification. Will not and have not used federally appropriated funds for lobbying purposes.
- “Debarment and Suspensions” Executive Order 12549 – grantees must not contract with parties on the GSA’s List of Parties Excluded from Federal Procurement and Non-procurement Programs.
- Americans With Disabilities Act PL 101-336
- Energy Policy and Conservation Act PL 94-63, 89 Stat. 871 – mandatory standards and policies relating to energy efficiency.
- Remedies - > \$100,000. The means to remedy breaches or violations of a contract, and penalize or sanction unacceptable performance, provisions requiring contractors to correct deficiencies, and contractor liability to pay for costs associated with violations and breaches that are caused by the contractor.
- Termination - > \$10,000 (not \$100,000). State governments required to reserve the right to terminate for cause and convenience, with a provision describing the way in which the grantee will terminate the job and the bases for settlement. Must differentiate between terminations for default and for convenience.
- Patents and Copyrights – Grantees required to notify contractors of their rights to inventions and other materials generated under contracts.
- Reporting requirements and milestones and/or supporting documentation required for contract payment
- Access to Records – Enables federal agencies [as the grantor] including the Comptroller General of the US or any authorized representative, including any state agency [NEMA] to access contractor records and pertinent documents that pertain to grant-supported contracts when conducting audits or other forms of examination.

- Retention of all records for three years after the grantee or sub-recipient makes final payments and all other pending matters are closed.
- “Equal Employment Opportunity”, Executive Order 11246 – only for federally financed construction contracts exceeding \$10,000 must have an affirmative action plan.
- Assurance that affirmative action steps have been taken for opportunities to contract with small and minority firms, women’s business enterprise, and labor surplus area firms.
- Copeland “Anti-Kickback” Act 18 USC 874 or 29 CFR Part 3 – construction and repair projects
- Davis-Bacon 40 USC 276(a) – 276 (a-7) – construction projects that exceed \$2,000 relating to prevailing wages
- Contract Work Hours and Safety Standards Act 40 USC 327-330 -- construction projects relating to overtime rate

# JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT

(Sole Source Justification)

## I. FORMAT

- A. Paragraph 1 - A brief description of the program and what is being contracted for
- B. Paragraph 2 - Explanation of why it is necessary to contract non-competitively, to include the following:
  - 1. Expertise of the contractor
  - 2. Management
  - 3. Responsiveness
  - 4. Knowledge of the program
  - 5. Experience of personnel
- C. Paragraph 3 - Time Constraints
  - 1. When contractual coverage is required and why
  - 2. Impact on program if dates are not met
  - 3. How long would it take another contractor to reach the same level of competence (equate to dollars if desired)
- D. Paragraph 4 - Uniqueness
- E. Paragraph 5 - Other Points that should be covered to “sell the case”
- F. Paragraph 6 - A declaration that this action is in the “best interest” of the agency

# **PROCUREMENT POLICIES OVERVIEW AND REQUIRED ELEMENTS**

## **I. FEDERAL GOVERNMENT REQUIREMENTS FOR PROCUREMENTS UNDER GRANTS**

- A. Under the grants management “Common Rule”, States are treated differently from all other grantees. Federal agencies defer to the States to use their own laws and procedures when procuring goods and services with grant funds, but require conformance with the following:
1. Equal treatment provided to all prospective vendors/contractors
  2. Prohibits State and local governmental grantees from using in-state or local geographic preferences in evaluating bids. Requires maximum free and open competition
  3. Arms-length business relationship; moral and ethical conduct; no conflict of interest
  4. Prohibits contractors who develop or draft specifications, requirements, statements of work, Invitations for Bid or Requests for Proposals, from competing for the resultant award
  5. Contracts must include a performance clause and a means to remedy breaches or violations of the contract
  6. Notification to vendors/bidders of federal fund source for all procurements under the grant
  7. Must maintain source and supporting documentation for deliverables, including purchase orders, contracts, time and attendance records, delivery receipts or vendor invoices, payment documents and provide an audit trail. Maintain records for 3 years after notification from NEMA that the grant is closed.
  8. Must maintain a control system to prevent loss, damage or theft of property and equipment purchased. Control system must record the location, use and condition of non-expendable equipment for the duration of use until disposition.
  9. Assurance affirmative action steps have been taken for opportunities to procure goods and services through small and minority firms, women’s business enterprises, and labor surplus area firms.

B. Procurements must follow 2 CFR 200.318 General Procurement Standards:

1. (4) Grantees and sub-recipients will ensure that all prequalified lists of persons, firms, or products which are used in acquiring goods and services are current and include enough qualified sources to ensure maximum open and free competition. Also, grantees and sub-recipients will not preclude potential bidders from qualifying during the solicitation period.

(d) Methods of procurement to be followed - (1) Procurement by small purchase procedures. Small purchase procedures are those relatively simple and informal procurement methods for securing services, supplies, or other property that do not cost more than the simplified acquisition threshold fixed at 41 U.S.C. 403(11) (currently set at \$100,000). If small purchase procedures are used, price or rate quotations shall be obtained from an adequate number of qualified sources.

C. Procurements greater than \$150,000 and all sole source contracts in any amount, require grantor agency approval.

D. Requires grantees to maintain the following procurement process documentation and may be requested to submit to the grantor agency:

1. Rationale for method of procurement or the means of obtaining quotes (small purchase, sealed bid, etc.)
2. Selection of contract type (fixed-price, cost reimbursement, etc.)
3. Basis of contractor evaluation, selection or rejection
4. Basis of evaluating the proposals and the resultant contract price
5. Protest procedures
6. Justification for lack of competition

# **Chapter 5**

## **Grant Specific**

### **Reference Materials**



**Fiscal Documents  
Applicable  
to All Grants  
With Instructions**

THIS PAGE INTENTIONALLY HAS NO DATA

# **SAMPLE ACH FORM**

THIS PAGE INTENTIONALLY HAS NO DATA



THIS PAGE INTENTIONALLY HAS NO DATA

# **SAMPLE W-9 FORM**

THIS PAGE INTENTIONALLY HAS NO DATA

# Request for Taxpayer Identification Number and Certification

**Give Form to the  
 requester. Do not  
 send to the IRS.**

<b>Print or type See Specific Instructions on page 2.</b>	<b>1</b> Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	<b>2</b> Business name/disregarded entity name, if different from above	
	<b>3</b> Check appropriate box for federal tax classification; check only <b>one</b> of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <b>Note.</b> For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see instructions) ▶ _____	
	<b>4</b> Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <i>(Applies to accounts maintained outside the U.S.)</i>	
	<b>5</b> Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	<b>6</b> City, state, and ZIP code	
	<b>7</b> List account number(s) here (optional)	

## Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

<b>Social security number</b>									
-				-					
<b>or</b>									
<b>Employer identification number</b>									
-									

**Note.** If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

## Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
------------------	----------------------------	--------

## General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at [www.irs.gov/fw9](http://www.irs.gov/fw9).

### Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

*If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.*

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.

**Note.** If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following persons must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States:

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

## Backup Withholding

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

**Payments you receive will be subject to backup withholding if:**

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),

3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code* on page 3 and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships* above.

## What is FATCA reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code* on page 3 and the Instructions for the Requester of Form W-9 for more information.

## Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

## Penalties

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

## Specific Instructions

### Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account, list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

**Note. ITIN applicant:** Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C Corporation, or S Corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

**Line 2**

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

**Line 3**

Check the appropriate box in line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box in line 3.

**Limited Liability Company (LLC).** If the name on line 1 is an LLC treated as a partnership for U.S. federal tax purposes, check the "Limited Liability Company" box and enter "P" in the space provided. If the LLC has filed Form 8832 or 2553 to be taxed as a corporation, check the "Limited Liability Company" box and in the space provided enter "C" for C corporation or "S" for S corporation. If it is a single-member LLC that is a disregarded entity, do not check the "Limited Liability Company" box; instead check the first box in line 3 "Individual/sole proprietor or single-member LLC."

**Line 4, Exemptions**

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space in line 4 any code(s) that may apply to you.

**Exempt payee code.**

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 5 <sup>2</sup>
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup> However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

**Exemption from FATCA reporting code.** The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

**Note.** You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

**Line 5**

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns.

**Line 6**

Enter your city, state, and ZIP code.

**Part I. Taxpayer Identification Number (TIN)**

**Enter your TIN in the appropriate box.** If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on this page), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note.** See the chart on page 4 for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at [www.ssa.gov](http://www.ssa.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/businesses](http://www.irs.gov/businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting [IRS.gov](http://IRS.gov) or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note.** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

**Part II. Certification**

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, or 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code* earlier.

**Signature requirements.** Complete the certification as indicated in items 1 through 5 below.

- 1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.
- 2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.
- 3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.
- 4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).
- 5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

**What Name and Number To Give the Requester**

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee <sup>1</sup> The actual owner <sup>1</sup>
5. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 2.

\*Note. Grantor also must provide a Form W-9 to trustee of trust.

**Note.** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

**Secure Your Tax Records from Identity Theft**

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

**Protect yourself from suspicious emails or phishing schemes.** Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto:phishing@irs.gov). You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: [spam@uce.gov](mailto:spam@uce.gov) or contact them at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 1-877-IDTHEFT (1-877-438-4338).

Visit [IRS.gov](http://IRS.gov) to learn more about identity theft and how to reduce your risk.

**Privacy Act Notice**

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

# **Monitoring Documents**

## **(Except HMEP)**

THIS PAGE INTENTIONALLY HAS NO DATA

NEMA Homeland Security Grants  
MONITORING REPORT FORM

Staff Information

Review Conducted by:		Date	
Field or Desk Review:		Date	
Management Review by:		Date	

Sub-Recipient Information

Sub-Recipient Name	
Sub-Recipient Program Personnel (who participated in the review)	
Sub-Recipient contact Phone #	
Sub-Recipient Fiscal/Audit personnel (who participated in the review)	
Sub-Recipient Fiscal contact Phone #	

*The following Grant was reviewed:*

Grant	Agreement #	Award \$	Grant Start Date	Grant End Date	Reviewed From	Reviewed To

*Pre-Meeting Notes – Thing to watch for during Review.*

Cite Source/Cause for Issue & What to Look for, to include any Past Issues-Recommendations
1.
2.
3.
4.
5.
6.
7.

Employee Reimbursement	NA <input type="checkbox"/>	YES	NO	NA
✓ Request a copy of the employee reimbursement policy, and/or have them describe the procedure for approving and documenting expenses that are reimbursed.				
1. Are detailed receipts (i.e.; receipts that do not merely show a total, but the detail of what was purchased) provided for reimbursement?				
2. Are reimbursements reviewed and approved by a supervisor or project manager prior to being submitted to the Fiscal Officer/Accounting Staff for payment?				
3. Does the sub-recipient have a Reimbursement Policy?				
✓ Examine two or more reimbursements that were paid out of the grant being monitored.				
4. Were detailed receipts provided to support the amounts reimbursed?				
5. Were the expenses in compliance with grant requirements/guidelines, OMB Circular, and 2CFR 200?				
6. If reimbursed for training or conference expenses, was a certificate of attendance or completion, or agenda and brochure provided to support request for reimbursement?				
Comments				

Equipment	NA <input type="checkbox"/>	YES	NO	NA
✓ What is the purchasing and inventory procedure for equipment purchased with grant funds?				
✓ What is the procedure for transferring equipment purchased with grant funds to another entity?				
✓ Request an inventory list, physically located selected items, and examine items to ensure that Department of Homeland Security (DHS) tags are on grant purchased items.				
1. Were all transactions conducted in a manner providing full and open competition, and quotations obtained from an adequate number of sources?				
2. Has all equipment indicated as purchased actually been purchased?				
3. Was equipment purchased in accordance with State and Local procurement rules/policies, including quotes prior to purchase?				
4. Were additions and deletions to the equipment budget made and approved prior to the purchase/procurement date?				
5. Does all equipment adhere to the Authorized Equipment List (AEL) as intended?				
6. Does any item <b>not on</b> the AEL have supporting documentation from State/Federal approving its purchase?				
7. Does a detailed expenditure list indicate any equipment purchased that is not accounted for in the grant budget?				
8. Is equipment purchased with grant funds in prior years still in inventory and still being used for grant purposes?				
9. Is equipment tagged separately with a DHS stickers from other assets, and properly safeguarded against theft or vandalism?				
10. Is the sub-recipient using the approved 'Inventory Template' for grants, downloadable from GMS or the NEMA website?				
11. Has the Biennium Inventory been taken and has it been sent into NEMA, and has its contents been verified through a physical spot check by NEMA's Grants Monitor?				
12. Has the inventory been updated, and did it account for all items transferred to other entities?				
13. If required, and in accordance with the AEL, was an Environmental Historical Preservation (EHP) Review completed and approved?				
14. Has equipment been transferred to other entities, and if so, has it been properly documented in grant files?				
15. For equipment that was transferred, aside from normal office equipment, was the transferee properly trained on the equipment, and is there a record of that training?				
16. For equipment transferred to other entities; have they added it to their inventory records and is it maintained/used as it was intended?				
Comments				

Fiscal	NA <input type="checkbox"/>	YES	NO	NA
✓ What is the Accounting System for each grant program?				
1. Is there a separate accounting for all financial transactions for each Federal grant?				
2. Is a process in place to prevent co-mingling of Federal, State, and Local funds?				
3. Does the accounting system prevent obligation or expenditure of Federal funds outside the grant's period of availability?				
4. Did a review of the expenditure ledger in comparison with the program's initiatives and budget indicate any issues of supplanting?				
5. Were any illegal transfers or other unusual activities noted during a review of the of the sub-recipient's fund activity reports?				
6. For funds placed in Interest Bearing Accounts, was the interest tracked and properly remitted to the State on a quarterly basis?				
7. For funds placed in Interest Bearing Accounts, was interest held as Administrative Costs (not to exceed \$100 for the life of the grant) properly tracked/recorded?				
8. Is proper Fiscal record retention being followed (3 yrs. following grant closure)?				
✓ What is the process for approval and payment of expenditures and posting to the General Ledger?				
9. Were grant program costs identified as eligible prior to encumbering funds and placing an order?				
10. Were the applicable State/Federal suspension and debarment listings consulted prior to doing business with a vendor and/or contractor?				
11. Are all invoices reviewed by the project director for eligibility and marked 'okay to pay' prior to being submitted to the fiscal office or accounting staff for payment?				
12. Are disbursements fully supported by invoices, requisitions, purchase orders, or similar documents?				
13. Are cancelled checks or warrants available for review?				
14. Were all grant funds that were received disbursed within the allowable timeframe (120 days)?				
15. Were any funds held after the allowable timeframe promptly remitted to the State?				
✓ What is the reconciliation process, and how are errors or adjustments handled?				
16. Does the grant administrator perform routine reconciliations of their records against the General Ledger? By whom and how often?				
17. For offices with more than just the grant administrator; do reconciliations receive supervisory review?				
18. Were actions taken to promptly correct any errors and/or resolve issues?				
Comments				

LEOP Compliance	YES	NO	NA
✓ Each city, village, county, or inter-jurisdictional emergency management organization shall prepare and keep current and Emergency Operations Plan for its jurisdiction.			
1. Is sub-recipient's LEOP published and available?			
2. Is the sub-recipient's LEOP out of date?			
3. If the answer to #2 is "yes"; has it been sent into your NEMA Planner? When?			
Comments			

NIMS Compliance	YES	NO	NA
1. Has the Jurisdiction formally adopted NIMS as the all-hazards, incident management system? * Note the "born on" date of the LEOP.			
2. Has the Jurisdiction designated a single point of contact to serve as the principle coordinator for NIMS implementation? * If so, enter contact information for the individual, if not, the reason this has not been done.			
3. Does the Jurisdiction implement ICS for managing: * If there are examples please note below.			
• Real Life Emergencies?			
• Pre-planned events (exercises, etc.)?			
4. Are the local first responders, county emergency management and elected official personnel trained in: * If possible, please note the number trained at each level.			
• IS 700?			
• IS 800?			
• ICS-100?			
• ICS-200?			
5. Has the jurisdiction identified who needs to take the ICS 300 & 400?			
Comments			

Other Direct Costs	NA <input type="checkbox"/>	YES	NO	NA
✓ How are rent, utilities, and other items allocated for the program?				
1. Are rent payments documented by a copy of the lease agreement, and canceled checks or receipts?				
2. Are receipts, bills and invoices properly maintained?				
3. Is the actual rate and method being charged to the grant consistent with the rate and method approved in the budget?				
4. Are costs shared with other programs or funding sources?				
5. If yes to question #4, how are costs allocated?				
Comments				

Personnel/Direct Labor	NA <input type="checkbox"/>	Yes	No	NA
✓ Describe the payroll process and who is paid by the grant.				
1. Are personnel files maintained for each employee that include; current job descriptions, performance evaluations, deductions and changes in pay rates?				
2. Are time sheets, activity reports, or payroll files available for review? These documents should clearly show the effort toward the grant program charged.				
3. Are individual employee time sheets and attendance records:				
• Prepared and signed by each employee for each pay period?				
• Reviewed and signed by each employee's supervisor?				
• Reconciled to the payroll master ledger?				
4. Are all authorized staff positions filled for the approved budget?				
5. Are staff salaries consistent with approved budget?				
6. Are fringe benefits the same as what is listed in the approved budget?				
Comments				

PET Expenses	NA <input type="checkbox"/>	Yes	No	NA
✓ Explain the process of maintaining documentation for Planning – Exercise – Training (PET) expenses and approval of those expenses.				
1. Has a PET Request Form been submitted to NEMA and approved				
2. For sub-recipient sponsored PET which incurred expenses charged to the grant, did you maintain a sign-in sheet of participants?				
3. For PET which incurred expenses charged to the grant, did the sub-recipient provide; registration, brochure, agenda, or certificate of completion or attendance?				
4. Does any food expenses charged to the grant clearly show that it was integral to the training or meeting?				
5. Does a supervisor or grant manager review and approve PET requests prior to incurring the expense?				
✓ Select a few training-meeting-conference expenses that were included on the request.				
6. Are the expenses reasonable for the length of the PET, number of people, etc.?				
7. Are the expenditures in accordance with the grant guidelines/requirements, the OMB Circular, and 2CFR 200?				
8. <b>For EMPG sub-recipients</b> – Have you been scheduled for and/or participated in three (3) exercises during the grant period? Documentation?				
Comments				

Reporting Requirements	Yes	No	NA
✓ Sub-Recipients are required to report on progress toward implementing plans described in their application.			
1. Emergency Management Performance Grant (EMPG) Quarterly Progress Reports must be submitted and based on the approved EMPG Work Plan. Submitting?			
2. Is sub-recipient submitting a Bi-Annual Strategy Implementation Report (BSIR) as required by DHS/FEMA Grant Guidance?			
3. For State Homeland Security Program (SHSP), is your BSIR being submitted by the report due date on a project-by-project basis, as required by Homeland Security Grant Guidance?			

Supplies & Materials	NA <input type="checkbox"/>	YES	NO	NA
✓ Explain the process for allocating the cost of supplies to the grant program.				
1. Are purchases of supplies approved and well documented by quotes, invoices, or receipts?				
2. Are expenditures for supplies consistent with the approved budget?				
3. Is there a substantial supply inventory remaining at the project termination date?				
4. Were all transactions conducted in a manner providing full and open competition, and quotations obtained from an adequate number of sources?				
5. Are costs shared with other programs or fund sources?				
6. If yes to question # 5, how are costs allocated?				
Comments				

Travel/Vehicle Mileage	NA <input type="checkbox"/>	YES	NO	NA
✓ Request a copy of the sub-recipient's travel policy, or have them describe the procedure for approving and documenting travel expenses.				
1. Is employee travel approved in advance by a supervisor or project manager?				
2. Are travel expenditures documented with expense reports and/or detailed receipts (i.e. receipts do not merely show total but detail of what was purchased)?				
3. Does the sub-recipient have written Travel Policies and Procedures?				
4. Are travel expenditures appropriately supported, within Grant guidelines and in the approved budget?				
5. Are mileage reimbursements supported by a mileage log or similar documentation?				
Comments				

Special Conditions	YES	NO	NA
✓ This Sub-Award is subject to the current Nebraska Homeland Security Grant Program (HSGP) Grant Instructions, the Federal Grant Award, and to the Grant Guidance imposed upon NEMA by DHS. The Nebraska Grant Instructions are incorporated by reference into this Sub-Award together with the Special Conditions.			
1. Were the original Special Conditions signed by the Sub-Recipient on the <i>Sub-Recipient Agreement (SRA)</i>			
2. Does the Sub-Recipient still understand and agree to comply with all of the Special Conditions of this Grant?			

<b>Single Audit Review</b> <i>If a yes is answered for either questions 1 or 2, then comment on the issues noted from the audit and how this will be addressed during the onsite review:</i>	YES	NO	NA
✓ Prior to going onsite for the review, obtain a copy of the latest management letter from the most recent audit either through the Auditor for the State or from the sub-recipient.			
1. Was the Major Programs' Compliance Opinion in the Summary of Auditor's Results in the Schedule of Findings qualified?			
2. Were there any findings and/or questioned costs for federal awards in the Schedule of Findings? ☉ Were any other operational issues such as the handling of assets, lack of policies and procedures, contract non-compliance, etc., which would impact Federal dollars received?			
3. Were past audit findings and/or questioned costs for federal awards satisfactorily resolved?			
4. Was any control issue identified which would impact the processing of Federal grant dollars (i.e.; control weaknesses)?			
<b>Comments</b>			

THIS PAGE INTENTIONALLY HAS NO DATA

## *Biennial Equipment Inventory Certification*

**Instructions:** A 'physical' Inventory of Equipment must be taken and the results reconciled with the Master Inventory List every two (2) years beginning January 2014. This is a sub-recipient requirement from the *Office of Inspector General – Department of Homeland Security*, as the result of their Nebraska 2013 Audit. Once the reconciliation has been completed, please sign & date this certification sheet and attach it to the front of your inventory listing. Submit signed & dated sheet and reconciled inventory listing to NEMA via Fax, E-Mail, or next scheduled Monitoring Visit. All equipment purchased with DHS grant funds should appear on your inventory, or if they have been transferred to another department, agency, county, or surplus; Hand Receipts or Transfer Documentation need to also be attached to the back of the inventory prior to submission to NEMA.

Signature	Date



[Your Grant's County or Region Name here]  
**Property Hand Receipt**

I, \_\_\_\_\_, Fiscal Officer/Grant Administrator, release the following property to [Name & Title] \_\_\_\_\_, of the [Department/Agency Name] \_\_\_\_\_, as of [Date] \_\_\_\_\_, to now be included on [Department/Agency Name] \_\_\_\_\_ inventory listings.

Property Description	Serial or Identification Number	Source of Property (Grant Fund)	Acquisition Date (Date Purchased)	Cost	Location (Address)	Use & Condition (New, Used/ New, Good)	Disposition (Still in use/Surplused, etc.)

Name: \_\_\_\_\_  
 (Print)

Name: \_\_\_\_\_  
 (Print)

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_



### Equipment Acceptance Document

This is a document of *equipment receipt* to be used in lieu of a packing slip, should it not be available or included with purchased equipment. Effective January 2014, its use is required for all equipment purchased with State Homeland Security Program [SHSP] grant funds (if no packing slip available), when claiming reimbursement from the Nebraska Emergency Management Agency [NEMA].

I, \_\_\_\_\_, on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, took  
(NAME) (#) (MONTH) (YEAR)

receipt/delivery of: \_\_\_\_\_  
(NAME/TYPE EQUIPMENT) (NAME/TYPE EQUIPMENT)

on behalf of \_\_\_\_\_ and \_\_\_\_\_  
(JURISDICTION) (REGION)

I hereby certify that I am eligible to receive this equipment, and agree to respond on behalf of my Region should any questions arise regarding this equipment.

NAME: \_\_\_\_\_ DATE: \_\_\_\_\_  
(PRINT)

SIGNATURE: \_\_\_\_\_

As the Regional Representative, I hereby certify that the equipment was received and is accepted by the Region.

NAME: \_\_\_\_\_ DATE: \_\_\_\_\_  
(PRINT)

SIGNATURE: \_\_\_\_\_

**HSGP**  
**Sample Required**  
**Documents**  
**With Instructions**

THIS PAGE INTENTIONALLY HAS NO DATA



CFDA: 97.067

(Catalog of Federal Domestic Assistance)

State Homeland Security  
Program Grant

# HOMELAND SECURITY GRANT PROGRAM (HSGP)

## Program Overview and Priorities

The HSGP is comprised of three interconnected grant programs:

- **State Homeland Security Program (SHSP):** SHSP supports the implementation of risk driven, capabilities-based State Homeland Security Strategies to address capability targets set in Urban Area, State, and regional Threat and Hazard Identification and Risk Assessments (THIRAs). The capability levels are assessed in the State Preparedness Report (SPR) and inform planning, organization, equipment, training, and exercise needs to prevent, protect against, mitigate, respond to, and recover from acts of terrorism and other catastrophic events.
- **Urban Areas Security Initiative (UASI):** The UASI program addresses the unique risk driven and capabilities-based planning, organization, equipment, training, exercise needs, of high-threat, high-density Urban Areas based on the THIRA-generated capability targets process and associated assessment efforts, and assists them in building an enhanced and sustainable capacity to prevent, protect against, mitigate, respond to, and recover from acts of terrorism.
- **Operation Stone Garden (OPSG):** OPSG supports enhanced cooperation and coordination among local, tribal, territorial, State, and Federal law enforcement agencies in a joint mission to secure the United States' borders along routes of ingress from international borders to include travel corridors in States bordering Mexico and Canada, as well as States and territories with international water borders.

***NOTE: Nebraska only receives the State Homeland Security Program Grant, and not the other two referenced above.***

All three programs are founded on risk-driven, capabilities-based strategic plans. These strategic plans outline capability requirements and inform how available funding may be applied to manage risk. For these plans to be effective, government officials and elected leaders, working with the whole community, must consider how to sustain current capability levels and address potential shortfalls to prevent, protect, mitigate, respond to, and recover from disasters.

## Program Priorities

The National Preparedness System is the instrument the Nation employs to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (the Goal) of a secure and resilient Nation. Complex and far-reaching threats and hazards require a collaborative and whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. The guidance, programs, processes, and systems that support each component of the National Preparedness System allows for the integration of preparedness efforts that build,

sustain, and deliver core capabilities and achieve the desired outcomes identified in the Goals. The purpose of the HSGP is to prevent terrorism and to prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United States; therefore, HSGP funded investments must have a terrorism-nexus.

To evaluate National progress in building, sustaining, and delivering the core capabilities outlined in the Goal, FEMA annually publishes the National Preparedness Report (NPR). Looking across all 31 core capabilities outlined in the Goal, the NPR provides a National perspective on critical preparedness trends for whole community partners to use to inform program priorities, allocate resources, and communicate with stakeholders about issues of shared concern.

Grantees are expected to consider National areas for improvement identified in the National Preparedness Report which include; cybersecurity, recovery-focused core capabilities, the integration of individuals with access and functional needs, enhancing the resilience of infrastructure systems, and maturing the role of public/private partnerships. Addressing these areas for improvement will enhance preparedness Nationwide.

In addition, the Department of Homeland Security expects grantees to prioritize grant funding to address gaps identified through the annual SPR in achieving capability targets set through the annual THIRA. These assessments identify the jurisdictions' capability targets and current ability to meet those targets. Grantees should prioritize grant funds to increase capability for high-priority core capabilities with low capability levels.

Minimum funding amounts are not prescribed by the Department for these priorities; however, grantees are expected to support state, local, regional, and National efforts in achieving the desired outcomes of these priorities.

***NOTE: All templates for this grant may be found on the NEMA website under 'Grants', or on GMS under 'Forms'.***

# SHSP WORK PLAN PROCESS

(Please see the Flow Chart that follows)

The following is a summary of what happens once NEMA announces the SHSP funding allocations to the PET Regions:

1. The grant manager (Julie Mayers) announces the deadline for submissions of Work Plans for the current grant year's Investment Justification (IJ) Workshop. For example, DHS/FEMA announces the current year's homeland security grant. NEMA prepares and files the State application. Within roughly two weeks, the work plan template is emailed to all eligible sub-recipients in preparation for the IJ Workshop.
2. PET Regions discuss their funding allocations amongst themselves and finalize their projects (remember, these projects need to be competitive); they then write their Work Plans. Throughout the process of prioritizing their projects and making final decisions as to how they will invest their grant funding, PET Regions are encouraged to contact NEMA with questions. The following list of people are the points of contact for certain project types:

---

• Grant Work Plans & Questions:	Julie Mayers <a href="mailto:julie.mayers@nebraska.gov">julie.mayers@nebraska.gov</a>	402- 471-5088
• Planning:	Dan Hiller <a href="mailto:dan.hiller@nebraska.gov">dan.hiller@nebraska.gov</a>	402- 471-7419
• Training/Exercise:	Dave Reisen <a href="mailto:dave.reisen@nebraska.gov">dave.reisen@nebraska.gov</a>	402- 471-7349
• Environmental/Communications:	Logan Lueking <a href="mailto:Logan.lueking@nebraska.gov">Logan.lueking@nebraska.gov</a>	402- 471-7427

---

3. PET Regions submit their final Work Plans to the Grant Manager within the timeframe provided by NEMA of receiving them prior to the workshop. On the day of the IJ workshop, Regions should have selected a 'spokesperson' to give the oral presentation of projects to the other participants. Projects will be graded/ranked by the participants on how well the projects meet the state, regional, local, and National efforts in achieving the mission and objectives of these priorities. The projects that are deemed as not meeting the priorities will not be put through to the Senior Advisory Committee.
4. The Senior Advisory Committee (SAC) reviews the submitted work plans and the rankings from the IJ workshop and further pares down the projects. The goal is to fund the most promising projects, which meet the criteria, and stay within the awarded

grant dollars from DHS/FEMA. Their recommendations are forwarded to the Homeland Security Policy Group, who reviews all of the information (work plans, state-regional-local-National priorities, IJ rankings, & SAC recommendations) prior to a final ranking of the projects to be funded.

5. The selected projects and their corresponding IJ number are then e-mailed from the grant manager to the sub-recipients with a total/maximum dollar amount for each one. Additionally, Regions participate in any statewide initiatives that need to be funded; they are also included in the e-mail with their dollar amount, or the dollar amount of the contribution from those Regions.
6. As a point of clarification – The Homeland Security Grant is intended by the DHS/FEMA to be a statewide grant, since it is awarded from the Federal Government to the State of Nebraska, and is meant to be used to support statewide initiatives. Confusion arises due to the grant guidelines stipulating that 80% of the funds shall be distributed to local and regional entities. However, because it is officially a statewide grant, if there is a statewide initiative that will be to the benefit of everyone, then a portion of funding is needed from each of the Regions to support that statewide initiative. This is especially true if such an initiative is complex and costly and would require leadership at the State level, for example the Fusion Center, Agro-Terrorism or Disease, and the NRIN projects.

***NOTE: Statewide SHSP initiatives are not the sole responsibility of Nebraska to fund; this award exists to also provide resources to aid States in public safety for all of their citizens.***

7. Things to keep in mind:

- Environmental assessments/reviews take a lot of time. They are needed for anything that is “green-screened” on the AEL list. Check every project that your PET Region wants to create against the AEL, and if an item is shaded in green, it will require an environmental review—contact Logan Lueking.
- Communications investments need to support/fit with the SCIP (Statewide Communications Interoperability Plan), or PET Regional Networks, or Mutual Aid Overlay. Sue Krogman or Troy Harris, with NEMA needs to sign off on any communication purchases.
- Once the work plan is approved, the projects are entered in GMS for the sub-recipients project allocations. Once they are approved, the Sub-Recipient Award is sent to the sub-recipient for signature, and returned within 30 days of NEMA’s acceptance of their award.

# The DHS/FEMA Homeland Security Grant Program Timeline

## Annual Timeline: from IJ to PET Region Grant Disbursement

PET Regions and other entities identify needs and project possibilities and participate in helping to craft *Investment Justifications (IJs)*

IJs submitted to DHS in the Spring (March or April)

State (NEMA) receives *Grant Adjustment Notification (GAN)*, or grant amount from DHS/FEMA, approximately 90 days after IJ submittal

NEMA has 45 days from the receipt of the GAN to award the DHS grant funding to the PET Regions

PET Regions typically have 2 months to write and submit their work plans



## 2016 Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) Grant Timeline

The IJ Workshop occurred on  
**April 2017**

IJs were submitted on  
**April 2017**

NEMA sent out notifications of  
PET Region SHSP fund  
disbursements  
**June 2017**

Deadline to have work plans  
submitted to NEMA was  
**August 2017**

GAN for Nebraska was  
received/accepted on  
**August 2017**

The closure of 2016 SHSP Grant  
is established as  
**31 August 2020**

# SHSP SUB-RECIPIENT APPLICATION INFORMATION

## I. OVERVIEW

The Nebraska Emergency Management Agency (NEMA) shall employ application and reporting requirements of sub-recipients that are necessary to ensure, at a minimum, the following:

- A. Compliance with grant program guidance and all other requirements included by reference.
- B. Alignment with the current edition of the State Homeland Security Strategy.
- C. Collection of information necessary to complete program evaluation requirements as set forth by the U.S. Department of Homeland Security (DHS) and other agencies.

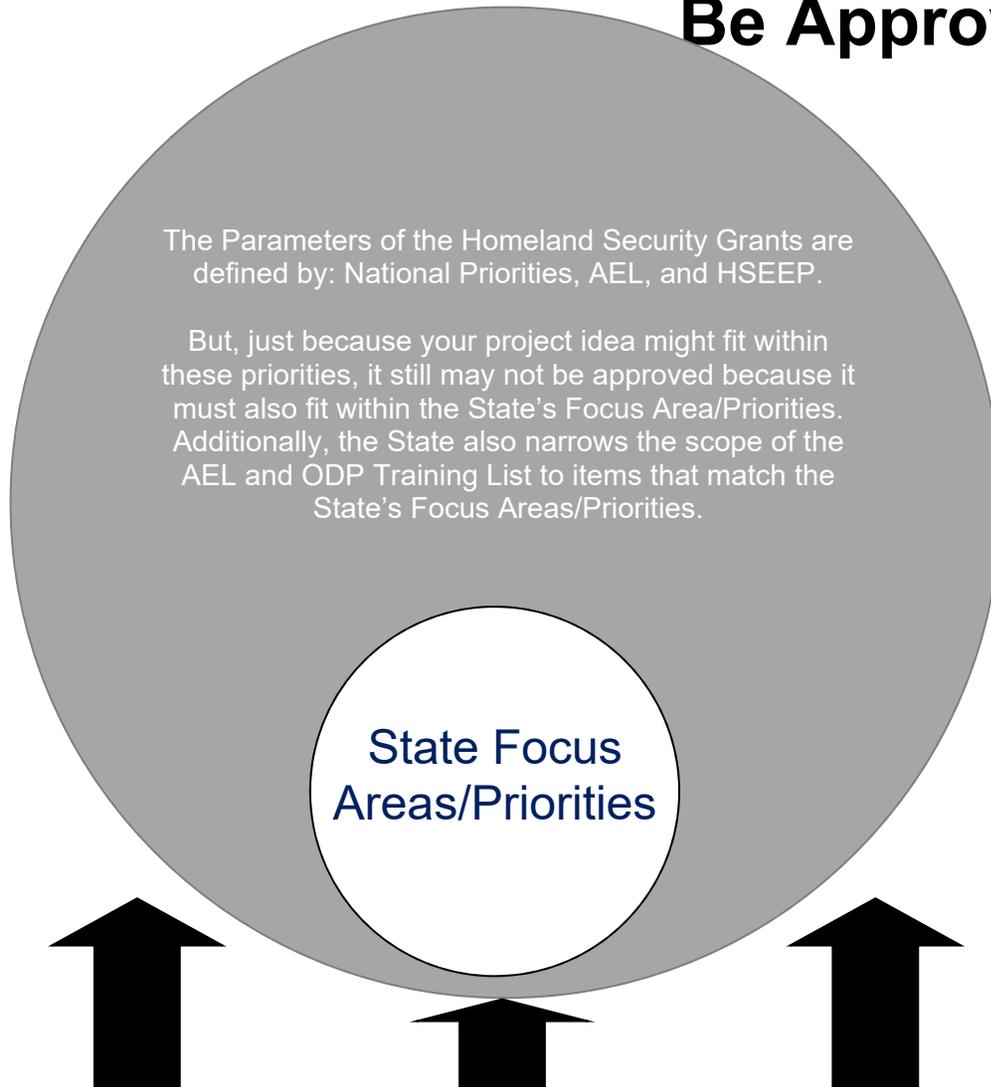
## II. PROJECT REQUIREMENTS

Application and projects' supporting documentation requirements set forth by these policies apply to State, Regional, and County group applications for funding. There is no guarantee that funding for additional projects, or funding to support current projects will be available in future years, so entities should be building in sustainment of projects should this be the case.

- A. Proposals for projects may not exceed the dollar amount allocated by written notification from NEMA to the sub-recipient in their *Proposed Award Amount* e-mail. These are the only projects that have been approved through the vetting process to be pursued.
- B. The grant's 'period of performance' shall not extend beyond the dates included in the Sub-Recipient Agreement (SRA), unless an extension is requested in advance, in writing, to the NEMA grant manager. However, that is no guarantee that the extension will be granted.
- C. Any funds expended for conducting or attending exercises, using this funding shall be Homeland Security Exercise Evaluation Program (HSEEP) compliant. Copies of the HSEEP *After-Action Reports* shall be submitted to NEMA's Training & Exercise Unit within 90 days after the exercise.
- D. Any grant funded training must be DHS/FEMA or State Administrative Agency (SAA) approved.
- E. Any planning, exercise, or training events must be supported by the following, when applicable:
  - 1. NEMA approved Planning, Exercise, and Training (PET) request form

2. Brochure/invitation/registration
3. Agenda (with start and end times)
4. Sign-in sheet/roster
5. Certificate of completion/attendance
6. Overtime/backfill reimbursement form
7. After Action reports

# Will Your Proposed Project Be Approved



**DHS/FEMA Homeland Security Grant Funding is intended to focus on terrorist-related planning, exercise, training, and equipment investments. This is a Federal mandate and is non-negotiable.**

## How Do EMs Get Projects Approved?

*How does an Emergency Manager (EM) know if his/her project concept fits all of these criteria?*

First, the EM should do the following:

- **Read the Grant Guidance for the grant year**
- **Read the Homeland Security State Strategy**
- **Read the Investment Justifications for the grant year**

Having read these documents, the EM can now interpret them and judge if his or her project meets the criteria.

*What if the EM needs or would like assistance to interpret whether or not his or her project meets the criteria?*

NEMA wants EMs to successfully pursue Planning, Exercise, Training and Equipment investments that meet their needs, and their goal is to help EMs to successfully craft their work plans to accomplish this. NEMA must also ensure that the Grant Guidance (everything in the circles) is honored.

NEMA is available if you have questions regarding your project and/or work plan. NEMA wants to help you succeed at getting your project approved.

# REPORTING REQUIREMENTS

## I. SINGLE AUDIT REPORTING REQUIREMENTS

- A. NEMA is subject to the requirements of *Audits of States, Local Governments, and Non-Profit Organizations*, which as of FY'2015 has been incorporated into 2CFR 200.501 (formerly A-133 Audits). As such, the Circular requires NEMA to monitor sub-recipients of Federal awards and determine whether they have met the audit requirements, and whether they are in compliance with Federal laws and regulations.
- B. Sub-recipients must submit an audit report to the Federal Audit Clearinghouse if they expend more than \$750,000 in Federal funds in one fiscal year. The Federal Audit Clearinghouse submission requirements can be found at <http://harvester.census.gov/sac/>.
- C. A copy of the report must be submitted to NEMA/SAA each year the grant is active. Sub-recipients shall comply with the audit requirements set forth in 2CFR 200.501.

## II. FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT (FFATA)

- A. As defined by the OMB, all NEW Federal awards of \$25,000 or more as of October 1, 2010, are subject to FFATA reporting requirements. The Transparency Act definition of "Federal awards" includes not only prime awards for grantees, cooperators, and contractors, but also awards to sub-recipients. Starting October 1, 2010, awards of less than \$25,000 do not have any reporting requirements. Awards in the amount of \$25,000 or more do have FFATA Sub-Award Reporting System (FSRS) reporting requirements on sub-awards, as well as on highly compensated individuals. There is a new functionality in the OMB system as of October 29, 2010, the grant sub-awards reporting functionality became available for grantees to report sub-awards against new grants for \$25,000 or over and awarded on or after October 1, 2010.

## III. BIANNUAL STRATEGY IMPLEMENTATION REPORT (BSIR)

- A. The BSIR is due biannually.
  - 1. Typically, this is in January and July.
  - 2. You will be notified when the BSIR is open.
- B. The BSIR is required for each open grant year.
- C. The BSIR is accessed via the on-line Grant Reporting Tool (GRT) at [www.reporting.odp.dhs.gov](http://www.reporting.odp.dhs.gov)
- D. A final BSIR is due 90 days after the end of the grant award period.

- E. Failure to complete the BSIR will be considered a non-compliance issue and may result in current and any future grant funds being frozen.
- F. Instructions for filling out the BSIR are available on the GRT website *Welcome* page.

## Acceptance of Homeland Security Equipment

Once you have accepted your award and purchased equipment in accordance with your submitted and approved projects, it is important to demonstrate good stewardship of Federal funds in order to maintain grant compliance. That demonstration is as follows:

- To retain documentation of equipment purchased with the SHSP funds, this includes; quotes, sole source justification, invoices, packing slips or the Homeland Security Equipment Acceptance document. These documents should be provided to your grant's Fiscal Agent, who will submit them along with proof of purchase for reimbursement from NEMA via GMS.
- Besides being allowable, equipment must also be necessary, reasonable, and applicable to the Emergency Management Program. 2CFR 200.33 defines equipment as "tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level establish by the non-Federal entity for financial statement purposes, or \$5,000." **In this case, the capitalization threshold for equipment would be the established State level of \$1,500. Any equipment purchased over \$1,500 shall be pre-approved by NEMA PRIOR TO ordering the equipment.**
- To set forth accountability and assurance that training requirements associated with purchased equipment using SHSP funds are met.
- Equipment purchased with SHSP grant funds shall be prominently marked as follows: "Purchased with funds provided by the U.S. Department of Homeland Security."
- The sub-recipient must maintain an updated inventory of equipment purchased through this grant program. The approved *Inventory Record* template can be found at: [www.nebraskagms.com](http://www.nebraskagms.com) , or <https://nema.nebraska.gov/preparedness/grants> . A physical inventory of the property must be taken and the results reconciled with the property records at least once every two (2) years. The date the physical inventory is conducted will be recorded on the Inventory Record template. The *Biennial Equipment Inventory Certification* will also need to be completed by the sub-recipient, and submitted to NEMA's grant monitoring staff along with the completed inventory template by December 1<sup>st</sup>, at the end of the two (2) year cycle.
- To ensure that equipment purchased with SHSP funds is accounted for and provided to eligible entities that agree to respond with such equipment in support of the PET Region to which they belong, an Equipment Acceptance Document should be completed if no packing slip is available. Refusal to sign the document will preclude that entity from receiving said equipment, or any equipment purchased with Homeland Security Grant funds in the future. As always, the original document should be maintained by the Region's Fiscal Officer, and copies should be provided to the equipment recipient and NEMA when the Region is ready for reimbursement of said purchase.
- When the equipment is no longer needed by the sub-recipient and the per unit fair market value is less than \$1,500, the sub-recipient may retain, sell, or dispose of the

equipment with no further obligation to NEMA. If, on the other hand, the per-unit fair market value is \$1,500 or more, the sub-recipient must submit a written request to NEMA for disposition instructions.

***NOTE: The above mentioned Templates can be found on the NEMA Website, and GMS under Forms.***

# REIMBURSEMENT PROCEDURE

## I. OVERVIEW

Reimbursement requests for Homeland Security and Emergency Management Performance programs funding are processed via the Nebraska Grant Management System (GMS) located at <https://www.nebraskagms.com>.

## II. PRE-APPROVAL AND APPROVAL

A. Pre-approval for all expenditures is obtained through the GMS.

B. The sub-recipient will send a copy of the invoice and GMS payment summary sheet ("Local Purchase Submission Cover Sheet") to the NEMA Grants Manager or Reimbursement Coordinator.

1. All items on the invoices must be cross-referenced in the GMS system.
2. Items under \$3,500 (Micro-Purchases – 2CFR 200.67) are not required to have quotes prior to purchase. All purchases over \$3,501 upto \$150,000 (Small Purchase Procedures – 2CFR 200.67) must be supported by an adequate number (2 or more) of sources (quotes or formal bids).
3. If only one quotation was obtained and there was no sole source justification, and cost analysis for a cost procurement, the item/items are not reimbursable.
4. Packing slip for item(s) purchased and/or *Equipment Acceptance* document must be provided.
5. Any event, such as Planning, Exercise, or Training (PET) must be supported by an approved PET Request Form and applicable forms.
6. Documentation must be attached in GMS when seeking reimbursement.

C. NEMA grant staff will review the invoice & documentation and process for reimbursement. The reimbursement will be sent to the sub-recipient in the form of an electronic transfer. If your jurisdiction does not have an account with the State of Nebraska, you must fill out an ACH Enrollment form and return to the Reimbursement Coordinator. If a paper check is desired for amounts under \$25,000, please contact NEMA's Federal Aid Administrator to make arrangements.

D. Due to historical large balances remaining at the end of the period of performance in projects, effective 01 January 2017, all sub-recipients will be required to submit for reimbursements at a maximum quarterly (based on calendar year). Should your request come in later (an additional two quarter or more) than the quarterly due date, **you will forfeit reimbursement for those goods and services, since they are outside the quarter for their submission.**

- E. NEMA anticipates the transfer of money from the State will be processed and received before the invoice becomes due, so the sub-recipient will not be required to front any money, unless a sub-recipient has been instructed to pay invoices before requesting reimbursement.

# TRAVEL REIMBURSEMENT RULES

## I. MEAL REIMBURSEMENT

- A. When using Federal Homeland Security Grant funds, Federally established General Service Administration (GSA) meal allowance guidelines must be utilized. Rates are available at <http://www.gsa.gov/portal/category/104711> . It is the traveler's responsibility to verify the current rate for their destination city. GSA's meal allowance will apply with the following standard maximum reimbursements made for meal expenses incurred during travel.
  - 1. Breakfast: 20% of the allowable rate
  - 2. Lunch: 30% of the allowable rate
  - 3. Evening Meal: 50% of the allowable rate
- B. Nebraska disregards the Federal 75% first-day and last-day meal reimbursement policy.
- C. Detailed itemized receipts must be provided for meal reimbursement.
- D. Gratuity is NOT reimbursable.
- E. Travelers who have documented special dietary or medical situations can have their meal allowances/reimbursements approved on a case-by-case basis by NEMA Grant Administration.
- F. Request for reimbursement against a DHS grant must occur within 60 days of the last day of travel.
- G. One-Day Travel
  - 1. Lunch expenses are not reimbursable for one-day travel.
  - 2. Breakfast may be reimbursed when a traveler is required to depart before 6:30 AM.
  - 3. Dinner may be reimbursed when it is not possible for the traveler to return prior to 7:00 PM.
- H. Overnight Travel
  - 1. On the first day of travel, reimbursement may be approved for:
    - a. Breakfast when a traveler is required to depart before 6:30 AM.
    - b. Lunch when a traveler is required to depart before 11:00 AM.
  - 2. On the last day of travel, reimbursement may be approved for:
    - a. Lunch when it is not possible for a traveler to return prior to 2:00 PM.

- b. Dinner when it is not possible for a traveler to return prior to 7:00 PM.
3. The time limitations set forth in 1 and 2 above do not include the time taken for the meal.

## II. LODGING REIMBURSEMENT

- A. Request the standard, single room, government rate when making a reservation. The government rate for the destination state and city can be found at: <http://www.gsa.gov/portal/category/104711> .
- B. Lodging costs at the per diem rate and applicable taxes are reimbursable. Any additional cost over the per diem rate is not reimbursable. A detailed receipt is required showing payment in full for lodging.
- C. Reimbursement for lodging will not be approved within 60 miles of the traveler's home.

## III. TRANSPORTATION REIMBURSEMENT

### A. Motor Vehicle Transportation

#### 1. Privately Owned Motor Vehicles (POV)

POV mileage is reimbursed at the current authorized GSA Privately Owned Vehicle Mileage Reimbursement Rate. Current rates can be found at: [www.gsa.gov](http://www.gsa.gov).

#### 2. Motor Vehicle Rental

Reimbursement for rental of a motor vehicle is generally not allowed. However, exceptions can be made if sufficient evidence is provided justifying the need.

### B. Airline Transportation

Airline transportation will be PRE-APPROVED on a case-by-case basis. Parking at the airport is reimbursable with a receipt. Other airline transportation-related costs must be pre-approved. (All anticipated costs must be included in the PET Request Form.)

# FOOD & BEVERAGE EXPENSES FOR TRAININGS, MEETINGS AND CONFERENCES

## I. RULES FOR FOOD/BEVERAGE ALLOWANCES UNDER DHS GRANTS

- A. A formal detailed agenda supporting the event, complete with start and end times must be furnished/submitted.
- B. Participation must be mandatory throughout the event.
- C. Do not pay for bar charges using registration fees (i.e. *program income*)
- D. Alcohol is unallowable.
- E. The only beverages approved are for morning and afternoon breaks. No more than \$3.50/person per break. Any exceptions must be pre-approved by the Grant Manager.
- F. Cannot begin or end events with a meal or a break.
- G. Breakfast or continental breakfast is not allowed.
- H. A working lunch is allowable only if the event lasts at least eight hours. However, to qualify for lunch all participants are required to be in attendance for the duration of the event.
  - 1. If providing a lunch speaker, the subject matter must be relevant to the event.
- I. Evening meals are not allowed.
- J. Costs must follow NEMA per diem guidelines.
- K. Participants submitting for reimbursement from NEMA must reduce their per diems to appropriately reflect the lunch.

## II. THREE TESTS FOR ALLOWABILITY

- 1. Cost of food and/or beverages provided must be *reasonable*, and the least expensive of the selections chosen.
- 2. Food and/or beverages provided are part of a *work-related event*.
- 3. Food and/or beverages provided are not related to amusement and/or *social events*.

### III. DEFINITIONS

- A. Breaks – short pauses in an ongoing informational program at trainings, meetings, conferences, or retreats, usually a single break in the morning and another one during the afternoon session.
- B. Food and/or beverages – considered in the context of formal meals and in the context of refreshments served at short, intermittent breaks during an event. Beverages do not include alcoholic drinks.
- C. Reception – an informal gathering that is not mandatory for all event participants to obtain necessary information. Indicators include a cash bar, inadequate seating for the entire group, finger foods. Receptions are unallowable.
- D. Social Event – any event with alcoholic beverages served, available or present. Social events are unallowable.
- E. Working Lunch – a mandatory lunch necessary for all participants to have full participation in the conference or event. When submitting reimbursement you must include a formal agenda, program or speaker(s) that will impart necessary information as part of the training, meeting or conference. Should have several hours of informative sessions providing substantive information scheduled before and after a working lunch (exhibits excluded). Seating must be provided for all participants.
- F. Work-Related Event – a conference, training or meeting involving a topical matter of interest within the purview of the agency's mission and function.

# MONITORING PROGRAM

## I. OVERVIEW

- A. The Nebraska Emergency Management Agency (NEMA), as the State Administrative Agency (SAA) and primary recipient of State Homeland Security Program Grant (SHSP) funds as well as other grant programs, has full responsibility for the conduct of the projects or activity funded and for the results achieved. NEMA, as grant recipient, must monitor the performance of projects to assure adherence to performance goals, time schedules or other requirements as appropriate to the projects or the terms of the grant agreement. NEMA is responsible for monitoring the activities of and pass-through requirements to any grant sub-recipients.

## II. MONITORING PROCESS

- A. Grant and programmatic monitoring will be completed by two methods: office-based monitoring and on-site monitoring. Monitoring is to assist in identifying areas where a sub-recipient requires support to be in compliance and audit ready, which will also provide feedback to NEMA that can be used to improve our services. Both types of monitoring will require written documentation (in the form of a *Monitoring Memorandum*) to be completed by the NEMA's Grants Monitor. Upon completion, the memorandum will be mailed to the sub-recipient's governing body, as well as circulated through appropriate NEMA channels.
- B. Equipment monitoring: the provisions of this policy shall apply to all equipment. Equipment is required to be accounted for until it reaches the end of its useful life. If during the course of monitoring an item(s) cannot be accounted for, the sub-recipient's funds shall be frozen until one or more of the following occurs:
1. Proof is provided that the missing equipment has been located.
  2. A police report documenting the theft of the missing item(s) is filed.
  3. A letter from the end user is provided setting forth details regarding the missing item(s).

# Examples of Program Forms

FY 2014 Homeland Security Grant Program Project Work Plan

[Go to Summary Sheet](#)

Agency / Region / Tribe:

<SELECT >

Select your Agency / J the dropdown

Agency Name:	
Agency POC:	
Agency Address:	Complete all POC information
Phone #:	
Fax #:	
E-Mail A	

Complete one T

Summary

Next

County

Grant F

Select the Grant Fun

Project

Project /

2012 Im

Select the 2014 Investm

DHS Pr

Select the DHS

Project

Type in Pr

Project

Select the Project S  
Ongoing and check t  
an applic



Equipment

PET Request:

LE / IED Request:

CBRNE Request:

MOU Request To SAA:

Total Project Request:

NA				NA	-
99,000.00		10,000.00	10,000.00	NA	119,000.00
10,000.00		22,000.00	10,000.00	NA	42,000.00
		15,000.00	10,000.00	NA	25,000.00
442,000.00	-	32,000.00	20,000.00	NA	494,000.00

Fill in the Equipment & Requested Funds

2007 Allocated Funds:

Equipment Request:

Equipment	Planning	Exercise	Training	M&A	TOTALS
	50,000.00				50,000.00
					-

This Template is for Project Instruction Purposes Only

PET Request:  
Total Project Request:

	15,000.00	15,000.00	20,000.00		50,000.00
	-	15,000.00	15,000.00	20,000.00	-

**Project Baseline Overview:**

**Project Detail Description:**

Must provide detail that identifies who the recipients are, what they are receiving, where it is to be located, provided, implemented or installed; When the project is proposed to begin / end and why is this project being requested.

Provide Detail Here

**National Priorities**

Identify up to four National Priorities this Project supports

National Priority 1

Strengthen Interoperable Communications Capabilities

National Priority 2

Expand Regional Collaboration

National Priority 3

< SELECT >

National Priority 4

< SELECT >

**Core Capabilities**

Select the Primary Core Capability and up to four Secondary Core Capabilities from the Dropdown Menu this project

Primary Core Capability

Interoperable Communications

Select Primary & Secondary

Select additional Core Capabilities that apply

Secondary Core Capability (1)

Emergency Operations Center Management

Secondary Core Capability (2)

< SELECT >

Secondary Core Capability (3)

< SELECT >

Secondary Core Capability (4)

< SELECT >

**Project Detail:**

Provide a summary description of this Project including how it aligns with the selected National Priorities, Target Capabilities and identify the Objectives that will be met during and after the grant performance period. Include in this description the detail that addresses the status of this Project as a new or ongoing project. Provide additional detail that identifies the Target Capabilities gap or gaps this project will address.

Provide Detail Here

**State Homeland Security Strategy**

Select Primary Goal and up to Two Objectives that support this Project. Click in the box and < SELECT > from the Dropdown Menu. ( NOTE: Goals and Objectives should match. ...i.e. Goal A – Objective A1, A2, A3 etc. )

**Primary Goal**

GOAL D: (RESPONSE/RECOVERY) Develop and implement a statewide interoperable Public Safety Wireless Communications capability.

**Primary Objective**

Objective D.2 Enhance existing interoperable communications methods within selected jurisdictions to develop and improve interoperable public safety wireless communications systems as directed by the Regional Interoperability Advisory Board and supported by the Office of the Chief Information Officer. On going July 2010.

**Secondary Objective**

< SELECT >

Select F

Explain how this Projects supports the State Homeland Security Strategy goals and objectives. Please reference the relevant goal and objectives in the detail from the State Homeland Security Strategy.

Provide Detail Here

**Milestones**

Identify all project Milestones and provide details for each milestone. Include Start and End dates that may have an affect on the implementation and completion of this Project.

Milestone #1  Start Date:   
End Date:

Milestone#2  Start Date:   
End Date:

**Impact & Sustainability**

Explain how this Project will impact your response capabilities, how the impact will be measured and how the solution areas will be sustained in regards to equipment maintenance, planning, exercising and training.

Provide Detail Here

## 2014 Homeland Security Grant Program - Project Work Plan Summary

Agency / Region / Tribe:

<SELECT >

POC:	
Address:	
Phone#:	
Fax#:	
E-Mail Address:	
Fiscal POC:	
Address:	
Phone#:	
Fax#:	
E-Mail Address:	

**Important Note:** Before you proceed to the Project Templates; provide the Grant Award Allocation information in the "2014 Grant Allocation Amount" box below and then also input the total of Law Enforcement/ IED based on the 2014 HSGP Grant requirements that NEMA provided to you in the award letter/email.

[Go To Project 1 >>>>](#)

### PROJECT WORK PLAN SUMMARY OVERVIEW

2014 Grant Allocation & Law Enforcement / IED Requirement (25 %)	2014 Regional Grant Allocation Amount	Law Enforcement / IED Allocation Requirement	Allocation Balance
	\$0		\$0
Work Plan Project Summary	Project Request Total	Remaining LE/ IED Balance	MCU back to the state Request Total
Work Plan Totals	\$0	\$0	\$0
<a href="#">Project 1</a>	\$0	\$0	\$0
<a href="#">Project 2</a>	\$0	\$0	\$0
<a href="#">Project 3</a>	\$0	\$0	\$0

<a href="#">Project 4</a>		\$0	\$0	\$0
<a href="#">Project 5</a>		\$0	\$0	\$0
<a href="#">Project 6</a>		\$0	\$0	\$0
<a href="#">Project 7</a>		\$0	\$0	\$0
<a href="#">Project 8</a>		\$0	\$0	\$0
<a href="#">Project 9</a>		\$0	\$0	\$0
<a href="#">Project 10</a>		\$0	\$0	\$0
<a href="#">Project 11</a>		\$0	\$0	\$0
<a href="#">Project 12</a>		\$0	\$0	\$0



# Nebraska Emergency Management Agency

## 2014 Sub-Recipient Agreement for Southwest Region/Region 15

Date of Award  
10/3/2014

<b>1. Sub-Recipient Name and Address</b>		<b>2. Prepared by:</b> Weber, Nicole	<b>3. Award Number:</b> 14-SR 31011-01
Southwest Region/Region 15 715 5th Ave. Suite 22 NE 68949		<b>4. Federal Grant Information</b>	
		<b>Federal Grant Title:</b>	Homeland Security Grant Program
		<b>Federal Grant Award Number/CFDA Number:</b>	EMW-2014-SS-00054 / 97.067
		<b>Federal Granting Agency:</b>	Grant Programs Directorate Federal Emergency Management Agency U.S. Department of Homeland Security

<b>5. Award Amount and Grant Breakdowns</b>	
<b>Total Award Amount</b> \$85,259.00	<b>2014 State Homeland Security Program</b> Performance Period: FROM Sep 25, 2014 - Aug 31, 2016

**6. Statutory Authority for Grant:** This project is supported under Public Law 108-334, the Department of Homeland Security Appropriations Act of 2014.

**7. Method of Payment:** Primary method is reimbursement through the on-line Nebraska Grant Management System.

**8. Debarment/Suspension Certification:** By signing in block 10 below, the sub-recipient official certifies that any contractors utilized are not listed on the excluded parties listed system at <http://www.epls.gov>.

<b>9. Agency Approval</b>	
<b>Approving NEMA Official:</b>  Bryan Tuma Assistant Director	<b>Signature of NEMA Official:</b>  <b>Date:</b> 10/6/14

<b>10. Sub-Recipient Acceptance</b>	
I have read and understand the attached Terms and Conditions.	
<b>Print name and title of Authorized Sub-Recipient official:</b> ROGER POWELL SOUTHWEST REGION CHAIRMAN	<b>Signature of Authorized Sub-Recipient Official:</b> 

<b>11. Enter Employer Identification Number (EIN) / Federal Tax Identification Number:</b> 47-6006496	<b>12. Date Signed :</b> 10/3/2014
--	---------------------------------------

**13. DUE DATE:** 11/17/2014

Signed award and Direct Deposit Form (if applicable) must be returned to NEMA on or before the above due date.

GOVERNOR'S DIVISION OF EMERGENCY MANAGEMENT (NEMA) FY2013 HOMELAND SECURITY GRANT PROGRAM (HSGP) FY2013

AWARD NUMBER: EMW2013-SS-00010-S01

CFDA # 97.067

SPECIAL CONDITIONS

1) This Sub award is subject to the FY2013 Homeland Security Grant Program Guidelines and Application Kit. The Guidelines and Grant Programs Directorate (GPD) periodically publishes Information Bulletins to release, update, amend or clarify grants and programs which it administers. GPD's Information Bulletins can be accessed at <http://www.ojp.usdoj.gov/odp/docs/bulletins> and are incorporated by reference into this Sub-award. This Sub-award is also subject to the current Nebraska Homeland Security Grant Program (HSGP) Grant Instructions, the Federal Grant Award and to the grant guidance imposed upon NEMA by DHS. The Nebraska Grant Instructions are intended to complement rather than replace the Federal Program Guidelines published by the GPD and are incorporated by reference into this Sub-award together with the attached Special Conditions.

2) Overview: Funds provided shall be used to provide law enforcement and emergency response communities with enhanced capabilities for detecting, deterring, disrupting, and preventing acts of terrorism as described in the Federal Program Guidelines, specifically: planning, equipment, training and exercise needs . All costs under these categories must be eligible under OMB Circular No. A-87 Attachment A, located at <http://www.whitehouse.gov/omb/circulars/index.html>.

3) Sub-recipient shall comply with all applicable laws, regulations and program guidance. A nonexclusive list of regulations commonly applicable to DHS grants are listed below, including the guidance:

A. Administrative Requirements

1. OMB Circular A-102, A-110 relocated to 2 CFR Part 215

2. 44 CFR Part 13, Uniform Administrative requirements for Grants and Cooperative Agreement State and Local Governments. ex. All procurement transactions need to be conducted in a manner providing full and open competition, and quotations are obtained from an adequate number of sources.

44CFR 13.36 Procurement (4) (d)

(4) Grantees and sub-grantees will ensure that all prequalified lists of persons, firms, or products which are used in acquiring goods and services are current and include enough qualified sources to ensure maximum open and free competition. Also, grantees and sub-grantees will not preclude potential bidders from qualifying during the solicitation period.

*(d) Methods of procurement to be followed? (1) Procurement by small purchase procedures. Small purchase procedures are those relatively simple and informal procurement methods for securing services, supplies, or other property that do not cost more than the simplified acquisition threshold fixed at 41 U.S.C. 403(11) (currently set at \$100,000). If small purchase procedures are used, price or rate quotations shall be obtained from an adequate number of qualified sources.*

3. 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB A-110)

4. 2 CFR Part 180 "OMB Guidelines to Agencies on Government wide Debarment and Suspension (Non-procurement)" <http://www.epls.gov>

B. Cost Principles

1. 2 CFR Part 225, Cost Principles for State, Local and Tribal Governments (OMB Circular A-87)

2. 2 CFR Part 220, Cost Principles for Educational Institutions OMB Circular A-21

3. 2 CFR Part 230, Cost Principles for Non-Profit Organizations OMB Circular A-122

4. Federal Acquisition Regulations (FAR), Part 31.2 Contract Cost Principles and Procedures, Contracts with Commercial Organizations

#### C. Audit Requirements

1. OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations

4) Sub-recipient agrees to use the Nebraska Grant Management System for all financial transactions and tracking for all grants from NEMA, <https://www.nebraskagms.com>.

5) Prior to disbursement of any FY2013 grant funds, local sub-grantee will have:

a. FY2013-3-year Training and Exercise Calendar submitted to NEMA

b. Current County Local Emergency Operations Plan (L.E.O.P.)

c. NIMS Cast (FEMA issued equivalent) has been completed for 2013.

d. Have a completed and approved FY2013 State Homeland Security Grant Work Plan

e. Signed and returned the Sub-Recipient Agreement

6) County/Countries located within a Region will not be allowed to receive any FY2013 grant funds for projects located within the county/counties, if the County is not current on prior and current year DHS/FEMA/NEMA program requirements. The recipient/sub-recipient will not be allowed to receive or expend funds in support of non-compliant county/counties within the Region.

7) NON-SUPPLANTING CERTIFICATION: By signing in block 10 of Sub-Recipient Agreement, the sub-recipient official certifies federal funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Sub-recipient may be required to supply documentation certifying that a reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds.

8) Notwithstanding any other agreement provisions, the parties hereto understand and agree that NEMA's obligations under this agreement are contingent upon the receipt of adequate funds to meet NEMA's liabilities hereunder. NEMA shall not be liable to the

Sub-recipient for costs under this Agreement which exceed the amount specified in the Notice of Sub-recipient Award.

9) Projects identified in the Nebraska GMS website ([www.nebraskagms.com](http://www.nebraskagms.com)) must identify and relate to the goals and objectives indicated by the applicable Nebraska Homeland Security Strategic Plan for the grant period of performance.

10) The recipient may only fund Investments that were included in the FY 2013 Investment Justifications that were submitted to

DHS/FEMA, and evaluated through the peer review process.

11) Sub-recipient agrees to comply with all reporting requirements and shall provide such information as required to NEMA for reporting as noted in the 2013 Federal Grant Guidelines. Jurisdiction is required to complete and submit the Biannual Strategy Implementation Report (BSIR) each July 15 and January 15 until the end of the grant. The report will include a narrative summary on the progress of each project. A final BSIR is due 90 days after the end of the grant award period. The BSIR is accessed through the on line Grant Reporting Tool at <https://www.reporting.odp.dhs.gov>. Failure to complete the BSIR will be considered a non-compliance issue and may result in grant funds being frozen.

12) NEMA may perform periodic reviews of sub-recipient performance of eligible activities and approved projects.

These reviews may include, without limitation: performance of on-site review, compliance and program monitoring - including inspection of all grant-related records and items, comparing actual sub-recipient activities to those approved in the sub-award application and subsequent modifications if any, ensuring that advances have been disbursed in accordance with applicable guidelines, confirming compliance with grant assurances, information provided on performance reports and payment requests, needs and threat assessments and strategies.

13) NEMA may suspend or terminate sub-award funding, in whole or in part, or other measures may be imposed for any of the following reasons: failing to comply with the requirements or statutory objectives of federal law, failing to make satisfactory progress toward the goals or objectives set forth in the sub-award application, failing to follow grant agreement requirements or special conditions, failing to submit required reports, filing a false certification in the application or other report or document, and

non-performance.

14) Sub-recipient agrees to retain all grant records for this, and any federal grants, for three years after they are notified by NEMA the grant has been closed by DHS/FEMA.

15) Sub-recipient understands and agrees that it cannot use any federal funds, either directly or indirectly, to lobby in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government.

16) When implementing the Department of Homeland Security funded activities, the sub-recipient must comply with all federal civil rights laws, to include Title VI of the Civil Rights Act, as amended. The sub-recipient is required to take reasonable steps to ensure persons of limited English proficiency have meaningful access to language assistance services regarding the development of proposals and budgets and conducting GPD funded activities.

17) All recipients of financial assistance will comply with the requirements of:

- a. Drug-Free Workplace Act of 1988 (41 U.S.C 701 et seq.)
- b. Trafficking victims Protection Act of 2000 as amended (22 U.S.C. 7104), located at 2 CFR Part 175
- c. Title I, II, and III of the Americans with Disabilities Act of 1990
- d. Age Discrimination Act of 1975 (40 U.S.C. 6101 et seq.)
- e. Title IX of the Education Amendments of 1972 (44 CFR Part 19)
- f. Rehabilitation Act of 1973 (29 U.S.C. 794)
- g. Limited English Proficiency, Executive Order 13166
- h. Animal Welfare Act of 1966 (7 U.S.C. 2131 et seq)
- i. Clean Air Act of 1970 and clean Water Act of 1977 (42 U.S.C. 7401) and Executive Order 11738
- j. USA Patriot Act of 2001, which amends 18 U.S.C. 175-175c

18) The sub-recipient agrees that all publications created with funding under this grant shall prominently contain the following statement: 'This Document was prepared under a grant from FEMA's Grant Programs Directorate, United States Department of Homeland Security. Point of view or opinions expressed in the document are those of the authors and do not necessarily represent the official position or policies of FEMA's Grant Programs Directorate or the U.S. Department of Homeland Security.'

The recipient also agrees that, when practicable, any equipment purchased with grant funding shall be prominently marked as follows: 'Purchased with funds provided by the U.S. Department of Homeland Security.' Exceptions to this requirement are limited to items where placing of the marking is not possible due to the nature of the equipment.

19) No communication equipment can be purchased until approved NEMA.

20) Title to equipment costing \$5,000 or more and acquired by the sub-grantee with funds provided under this award shall vest in the sub-grantee. When the equipment is no longer needed by the sub-grantee and the per unit fair

market value is less than \$5,000, the sub-grantee may retain, sell, or dispose of the equipment with no further obligation to NEMA. If, on the other hand, the per-unit fair market value is \$5,000 or more, then the sub-grantee must submit a written request to NEMA, for disposition instructions.

21) The sub-recipient agrees to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within this project.

22) Approval of this award does not indicate approval of any consultant rate in excess of \$450 per day. A detailed justification must be submitted to and approved by NEMA prior to obligation or expenditure of such funds.

23) Sub-recipient acknowledges that DHS reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use, for Federal government purposes: (1) the copyright in any work developed under an award or sub-award; and (2) any rights of copyright to which a recipient or sub-recipient purchases ownership with Federal support. The Recipient agrees to consult with GPD regarding the allocation of any patent rights that arise from, or are purchased with, this funding.

24) Acknowledgement of Federal Funding from DHS: All recipients of financial assistance will comply with requirements to acknowledge Federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or program funded in whole or in part with Federal funds.

25) To the extent that recipients of a grant use contractors or subcontractors, such recipients shall use small, minority, women-owned or disadvantaged business concerns and contractors or subcontractors to the extent practicable.

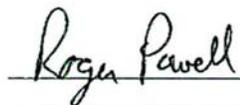
26) Sub-recipients must maintain an updated inventory of equipment purchased through this grant program. Approved inventory record form is available at <http://www.nema.ne.gov/grants>. (44 CFR 13.32 (1))

27) All Communication projects involving towers and tower buildings cannot be expended until the project is approved by

DHS/FEMA. NEMA will coordinate the approval process and sub-grantee agrees to provide all documents required.

28) The recipient shall not undertake any project having the potential to impact Environmental or Historical Preservation (EHP) resources without the prior approval of FEMA, including but not limited to communications towers, physical security enhancements, new construction, and modifications to buildings, structures and objects that are 50 years old or greater. Recipient must comply with all conditions placed on the project as the result of the EHP review. Any change to the approved project scope of work will require re-evaluation for compliance with these EHP requirements. If ground disturbing activities occur during project implementation, the recipient must ensure monitoring of ground disturbance, and if any potential archeological resources are discovered, the recipient will immediately cease construction in that area and notify FEMA and the appropriate State Historic Preservation Office. Any construction activities that have been initiated without the necessary EHP review and approval will result in a non-compliance finding and will not be eligible for FEMA funding.

I have read, understand and will comply with the aforementioned Special Conditions.



Authorized Signature

Date 10/3/2014

---

## NEMA Planning / Exercise / Training Request

### Instructions for completing this form

The purpose of this form is to eliminate confusion and misunderstandings regarding payment of planning, exercise and training expenses. Sub-grantees are requested to complete and submit this form for approval of expenses **prior** to the event (at minimum of 30 days). This will allow you to know in advance what will actually be reimbursed.

In the first section, select the grant, year, and what event. Click on the yellow "select" to make a selection from the drop down box.

The second section is to explain what the planning, exercise or training function is to accomplish. Please give sufficient information to justify the expense.

The third section, "Expense Request Overview", is to estimate the expenses you are requesting be approved. Here again, click on the yellow "select" to make a selection from the drop down box.. Please complete all boxes (yellow or white) that apply to your request.

In the Budget Request Summary, fill in the total grant amounts budgeted for each P.E.T. project in the white boxes. The other sections will automatically populate from your entries in the previous "Expense Request Overview".

**Save and Submit to Julie Mayers or Nikki Weber for review and approval.**

---

## NEMA Planning / Exercise / Training Request

Agency / County / Tribe / Region:

Request Date:

Grant Year:

Grant Fund:

Planning Request:

Location		Dates	

A Type of Planning request

B. Is the Planning request part of the Regional PET planning process?

C. Is the Planning request going to be facilitated?

D. Estimated number of attendees

Exercise Request:

Location		Dates	

A Type of Exercise

B. Is the Exercise scheduled on the Regional 3yr Calendar?

C. Is the Exercise HSEEP compliant?

D. Is the Exercise entered on the NEXS scheduler?

Training Request:

Location		Dates	

A Course type

B. If course is Non-approved; is it scheduled to be Approved?

C. Estimated number of Students

### Nebraska State Strategy Goals and Objectives:

Goals

Objectives

**PET Request Overview:**

Provide a detailed overview for this PET request, the expected outcomes to be achieved and how it will enhance the emergency responders capabilities to respond to natural, technological and security hazards.

**Expense Request Overview:**

**A. Meeting Space Facility Rental**

I. Number of Rooms	<input type="text" value="0"/>	II. Costs / Rental	<input type="text"/>
		III. Total Cost	\$ -

**B. Personnel**

<b>Personnel Type</b>	<b>&lt; SELECT &gt;</b>	Lodging	
		Fee	
		Meals	\$ -
		# of Miles	<input type="text"/>
		Airfare	\$ -
<b>Discipline / Overtime</b>	<b>&lt; SELECT &gt;</b>	Estimated Hours	
		Estimated Hourly Costs	
		Total Estimated Hourly Costs	\$ -
<b>Discipline / Backfill</b>	<b>&lt; SELECT &gt;</b>	Estimated Hours	
		Estimated Hourly Costs	
		Total Estimated Hourly Costs	\$ -
		<b>Total Personnel Cost</b>	<b>\$ -</b>

<b>Personnel Type</b>	<b>&lt; SELECT &gt;</b>	Lodging	
		Fee	
		Meals	\$ -
		# of Miles	<input type="text"/>
		Airfare	\$ -

Personnel Type	< SELECT >	Lodging	
		Fee	
		Meals	
		# of Miles	\$ -
		Airfare	
Discipline / Overtime	< SELECT >	Estimated Hours	
		Estimated Hourly Costs	
		Total Estimated Hourly Costs	\$ -
Discipline / Backfill	< SELECT >	Estimated Hours	
		Estimated Hourly Costs	
		Total Estimated Hourly Costs	\$ -
		Total Personnel Cost	\$ -

Personnel Type	< SELECT >	Lodging	
		Fee	
		Meals	
		# of Miles	\$ -
		Airfare	\$ -
Discipline / Overtime	< SELECT >	Estimated Hours	
		Estimated Hourly Costs	
		Total Estimated Hourly Costs	\$ -
Discipline / Backfill	< SELECT >	Estimated Hours	
		Estimated Hourly Costs	
		Total Estimated Hourly Costs	\$ -
		Total Personnel Cost	\$ -

Personnel Type	< SELECT >	Lodging	
		Fee	
		Meals	\$ -
		# of Miles	\$ -
		Airfare	\$ -
Discipline / Overtime	< SELECT >	Estimated Hours	
		Estimated Hourly Costs	
		Total Estimated Hourly Costs	\$ -
Discipline / Backfill	< SELECT >	Estimated Hours	
		Estimated Hourly Costs	
		Total Estimated Hourly Costs	\$ -
		Total Personnel Cost	\$ -

Personnel Type	< SELECT >	Lodging	
		Fee	
		Meals	\$ -
		# of Miles	\$ -
		Airfare	\$ -
Discipline / Overtime	< SELECT >	Estimated Hours	
		Estimated Hourly Costs	
		Total Estimated Hourly Costs	\$ -
Discipline / Backfill	< SELECT >	Estimated Hours	
		Estimated Hourly Costs	

**C. Consumable Items/Cost -- A complete item list must be included in the Detailed Description to receive SAA Approval**

I. Item		I. a. Line Item Cost	\$ -
II. Item		II. a. Line Item Cost	\$ -
III. Item		III. a. Line Item Cost	\$ -
IV. Item		IV. a. Line Item Cost	\$ -
V. Item		V. a. Line Item Cost	\$ -
		VI. Total Costs	\$ -

**D. Food (ONLY IF you provide a CONFERENCE or TRAINING)-- "Must adhere to FEMA/DHS compliance Guidelines as well as the PET Agenda must be attached for review & approval"**

I. Number of meals	0	II. Costs / Meal	
III. Number of Breaks	0	IV. Cost / Break	

**Budget Request Summary:**

	Project Allocation	Beginning Balance	Amount This Request	Approved Amount	Request Total	Project Balance
Planning			-		-	-
Exercise			-		-	-
Training			-		-	-
Meeting / Facility			-		-	-
Lodging Costs			-		-	-
Overtime (Estimated)			-		-	-
Backfill (Estimated)			-		-	-
Consumable Supplies			-		-	-
Food			-		-	-
Line Item Balance		-	-	-	-	-
PET Project Balance	-	-	-	-	-	-

**This Following Section is for SAA Review Approval & Comments:**

Remember, the grant will not pay for tips, alcohol, room service, and detailed meals tickets must be furnished. Charge slips are not acceptable. Meals only, we do not reimburse for snacks. Meals are based on 20% breakfast, 30% lunch and 50% dinner of the total per diem allowed.

Approved

< SELECT >

Request Approved By: \_\_\_\_\_ Date: \_\_\_\_\_



**Hall County**  
Local Purchase Submission Cover Sheet

Feb 23, 2010



RR04709

FOR OFFICIAL USE ONLY

Subgrantee Remittance Address		Contact Information	
Organization:	Hall County	Name:	Melynda Osterman
Street:	PO Box 1968	Agency:	Hall County Emergency Management Agency
City/State/Zip:	Grand Island, NE 68802	City/State/Zip:	Grand Island, NE 68802
Federal ID#:		Phone:	308-385-5360
E-mail:	mindyo@hcgi.org	Fax:	308-385-5378
Fax:	308-385-5378		

Item No.	Grant	Bar Code	Invoice No.	Amount
		Hall Co EMA - Overtime / Backfill for participants in full scale exercise		
1	2008 SHSG	 II31415	Hall County EMA	\$905.12
			Invoiced Amount:	\$905.12
			Subgrantee Funds:	\$0.00
			Reimbursement Amount:	\$905.12

Ex 31240356

**Fax all documents to NEMA at: 402-471-7433.**

The following items must be submitted with your reimbursement request. IF LOCAL

- SPARS print out for each item.
- Copy of Invoice for each item submitted. Invoices with multiple items should have the item submitted circled.
- Proof of payment or signed Economic hardship form.

I, Melynda Osterman, certify that I have received the above service/expenditure and the item is now on my subgrantee's inventory list.

Signature: Melynda Osterman Date: 2/23/10

FOR OFFICIAL USE ONLY

2/24/10

# Nebraska Emergency Management Agency

Homeland Security Grant Program

Reimbursement for Training / Exercise Expense

Please complete a report for each provider who attended the training/exercise. See the attached example.

Emergency Manager Approval \_\_\_\_\_

Date: \_\_\_\_\_

Name of Responder Attending Training: <b>John Doe</b> Agency Requesting Reimbursement: <b>Omaha Police Department</b> Agency FEIN: Name of Training/Exercise: <b>Hostage Exercise</b> Date of Training/Exercise: <b>July 25, 2009</b> Mileage Expense: <u>  N/A  </u> miles @ .50 cents/mile = _____ Airfare (Submit economy class receipt): Lodging (State of Nebraska rate): <u>  N/A  </u> nights @ _____/night= _____ Registration:		For NEMA Use ONLY  Training ODP Approved? Non-SLGCP Approval?
<b>Backfill</b>	<b>Overtime</b>	<b>Audit Use ONLY</b>
Responder Providing Backfill:  Hourly Rate: Number of Hours Worked: Fringe Benefits:	Name of Responder Having Overtime: <b>John Doe</b> Hourly Rate: <b>\$18.50</b> Number of Hours Worked: <b>8</b> Fringe Benefits: <b>-0-</b>	Total Paid:  Voucher Number:
Responder Providing Backfill:  Hourly Rate: Number of Hours Worked: Fringe Benefits:	Name of Responder Having Overtime:  Hourly Rate: Number of Hours Worked: Fringe Benefits:	
Total Backfill Requested:	Total Overtime Requested: <b>\$148.00</b>	

# **SAMPLE LOCAL PURCHASE SUBMISSION COVER SHEET**

**This form is required to be signed, dated and submitted for reimbursement. Invoices and other supporting documentation may be delivered to NEMA by mail, email, fax or attached in GMS.**



**Hall County**  
Local Purchase Submission Cover Sheet

Feb 23, 2010



RR04709

FOR OFFICIAL USE ONLY

Subgrantee Remittance Address		Contact Information	
Organization:	Hall County	Name:	Melynda Osterman
Street:	PO Box 1968	Agency:	Hall County Emergency Management Agency
City/State/Zip:	Grand Island, NE 68802	City/State/Zip:	Grand Island, NE 68802
Federal ID#:		Phone:	308-385-5360
E-mail:	mindyo@hcgj.org	Fax:	308-385-5378
Fax:	308-385-5378		

Item No.	Grant	Bar Code	Invoice No.	Amount
		Hall Co EMA - Overtime / Backfill for participants in full scale exercise		
1	2008 SHSG	 II31415	Hall County EMA	\$905.12
				Invoiced Amount: \$905.12
				Subgrantee Funds: \$0.00
				Reimbursement Amount: \$905.12

*Ex 31240356*

**Fax all documents to NEMA at: 402-471-7433.**

The following items must be submitted with your reimbursement request. IF LOCAL

- SPARS print out for each item.
- Copy of Invoice for each item submitted. Invoices with multiple items should have the item submitted circled.
- Proof of payment or signed Economic hardship form.

I, Melynda Osterman, certify that I have received the above service/expenditure and the item is now on my subgrantee's inventory list.

Signature: Melynda Osterman Date: 2/23/10

FOR OFFICIAL USE ONLY

*2/24/10*

**EMPG**  
**Sample Required**  
**Documents**  
**With Instructions**

THIS PAGE INTENTIONALLY HAS NO DATA



CFDA: 97.042

(Catalog of Federal Domestic Assistance)

Emergency Management  
Performance Grant (EMPG)

# EMERGENCY MANAGEMENT PERFORMANCE GRANT (EMPG)

## OVERVIEW

Title VI of the *Stafford Act* authorizes DHS/FEMA to make grants for the purpose of providing a system of emergency preparedness for the protection of life and property in the United States from hazards and to vest responsibility for emergency preparedness jointly in the Federal Government, States, and their political subdivisions. The Federal Government, through the EMPG Program, provides necessary direction, coordination, and guidance, and provides necessary assistance, as authorized in this title, to support a comprehensive all hazards emergency preparedness system. The State and local programs are the coordination point for all emergency management/homeland security programs within the State.

Funds provided shall be used to sustain local jurisdictional Emergency Management organizations by first providing support for salaries and operational supplies, and should funds permit – equipment, all needed to sustain an Emergency Management Program. All costs under these categories must be eligible under 2CFR, Part 225. [www.whitehouse.gov/omb/grants\\_circulars](http://www.whitehouse.gov/omb/grants_circulars) Identified priorities for the agency are to maintain State emergency management funding that is sufficient to meet the 50/50 cost share match requirement.

The Nebraska Emergency Management Agency (NEMA) shall employ application and reporting requirements of sub-recipients that are necessary to ensure, at a minimum, the following:

- A. Compliance with grant program guidance and all other requirements included by reference.
- B. Alignment with the current edition of the State Homeland Security Strategy.
- C. Collection of information necessary to complete program evaluation requirements as set forth by the U.S. Department of Homeland Security (DHS) and other agencies.

## PURPOSE

It is the purpose and policy of NEMA to:

- A. Assist local County/Regional Emergency Management agencies in the enhancement of their programs by providing EMPG funds, as are available after NEMA obligations have been funded.

- B. Ensure that local emergency management organizations are established and maintained in a number of local jurisdictions sufficient to "...achieve and sustain risk based target levels of capability to prevent, protect against, respond to, and recover from major events in order to minimize the impact on lives, property, and the economy." (Vision of the National Preparedness Goals)
- C. Increase the operational capability of emergency management at the local level of government by assisting jurisdictions to maintain and improve emergency organizations with key positions filled by trained, experienced, and professional personnel.

## GRANT REQUIREMENTS

Application and projects supporting documentation requirements set forth by these policies apply to Region, County and Municipal group applications for funding. There is no guarantee that funding for additional projects, or funding to support current projects will be available in future years, so entities should be building in sustainment of projects should this be the case.

- A. Proposals for projects may not exceed the dollar amount allocated by written notification from NEMA to the sub-recipient in their *Award Notification* e-mail. These are the only projects that have been approved through the vetting system to be pursued.
- B. The grant's 'period of performance' shall not extend beyond the dates included in the Sub-Recipient Agreement (SRA), unless an extension is requested in advance, in writing, to the NEMA grant manager. However, that is no guarantee that the extension will be granted.
- C. Workplans are expected to ensure that emergency management capabilities are developed and maintained in local jurisdictions sufficient to provide the basis for dealing effectively with catastrophic disasters and homeland security emergencies. The workplan will be in the form of projects which will include reporting on:
  - 1. Administration of the Program
    - a. Quarterly Activities/Program Reports
    - b. Quarterly Expenditure Reports
    - c. DHS/FEMA/NEMA grant activity monitoring and reporting
  - 2. Planning
    - a. LEOP Maintenance

- b. Meeting the NEMA Planning Schedule

3. Training & Exercising

- a. NIMS – submission of the NIMS Compliance Questionnaire to the NEMA Training & Exercise Unit by the specified date.
- b. Continuing education activities
- c. Exercise activities
- d. Exercise Training Planning Workshop/PET activities

4. Disaster Response, Recovery, and Hazard Mitigation

- a. Activate your EOC when appropriate
- b. Submit a Local Declaration of Emergency when appropriate
- c. Submit quarterly Public Assistance and/or Hazard Mitigation Reports when appropriate.
- d. Complete and submit Incident Status Reports (ISR) for incidents within the jurisdiction that may be considered newsworthy even if there will be no Emergency/Disaster declaration or request for State Assistance.
- e. Provide damage assessment information via the ISR, or when requested by NEMA
- f. Provide needs assessment information when requested by NEMA
- g. Status of Hazard Mitigation planning and project development with the jurisdiction.

5. Technological Hazards

- a. REP planning activities (Only for counties participating in Nuclear Power Station off site planning/training).
- b. REP training and exercising activities (Only for counties participating in Nuclear Power Station off site planning/training).
- c. Education/public outreach to first responders with State Radiological Materials Transportation Accident Emergency Action Plan and Radiological Training for first responders.

D. Participating or attending any conference/workshop, exercise, or training events and claiming reimbursement must be supported by the following, when applicable:

- 1. Brochure/invitation/registration
- 2. Agenda (with start and end times)
- 3. Certificate of completion/attendance

All staff funded by EMPG shall participate in no less than three (3) exercises in a twelve (12) month period. Participation is generally defined to include

attending a planning meeting, being a player, simulator, or evaluator, and attending any *After Action* activities. Participation by any or all staff will be reported each quarter in a chart provided in the Training & Exercise Project Report.

All staff funded by EMPG funds must complete the following Independent Study Courses – IS 100, 120, 200, 700, 800, 230, 235, 240, 241, 242, and IS 244.

- E. By the end of every quarter, each sub-recipient is required to electronically submit a Quarterly Progress Report along with their Quarterly Reimbursement and supporting documentation. The purpose of the reporting is to document emergency management activities in support of EMPG. The submission must provide as much activity information as possible in order to document the totality of the activities carried out in support of the grant funds received. Beginning January 2017, sub-recipients must submit their documentation in a timely manner as outlined by grant guidance. Should your request come in later (an additional two quarters or more) than the quarterly due date, **you will forfeit reimbursement for those goods and services, since they are outside the quarter for their submission.**
- F. Allowable Costs – as provided in law, EMPG funds may be used for all hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management. Proposed staffing activities should be linked to achieving goals outlined in the EMPG application and workplan. Allowable Costs are:
- Personnel Expense: Personnel costs, including gross salary, overtime, and associated fringe benefits including matching expenditures. These costs must comply with 2CFR 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*. Personnel costs should be linked to achieving objectives outlined in the EMPG work plan.
  - Operating Expense: This includes costs to operate the local agency to include but not limited to:
    - a) Rent
    - b) Insurance
    - c) Phones
    - d) IT capabilities

- e) Utilities
- f) Office Equipment
- g) Computer and related items for administrative purposes
- h) EOC equipment
- i) Radios and pagers for administrative purposes
- j) Emergency Management specific professional dues and subscriptions
- k) Registration fees for meetings and Conferences with direct connectivity to Emergency Management. **This does not include the cost of food; lodging or travel other than mileage.**
- l) Automobile mileage (in lieu of actual costs incurred) **In order to claim automobile mileage a completed and signed travel log must be submitted with reimbursement requests.** The Travel Log is designed to provide a monthly record of travel data. In order to claim mileage reimbursement, information must be recorded in the respective columns of the form.
  - 1) Each official stopping and starting point included in the travel is to be recorded as an individual line entry. Map mileage may be indicated as miles traveled should the odometer be or become non-operative.
  - 2) The driver's initials in the right hand column certifies the accuracy of those entries reflecting their official travel.
  - 3) Official Travel Logs must be closed out on the last working day of the month.
  - 4) The travel logs must be reviewed, approved and signed by the designated Agency Representative.
- **Whole Community Engagement/Planning**
  - a. Public Education and awareness on emergency management and preparedness.
  - b. Planning to foster public-private sector partnerships

- c. Development or enhancement of mutual aid agreements/compacts.
- Equipment Costs Guidance
  - a. Allowable equipment categories for the applicable award are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), which is sponsored by FEMA at <http://www.rkb.us>. For more detailed information contact can be made with [nikki.weber@nebraska.gov](mailto:nikki.weber@nebraska.gov). The select allowable equipment includes only equipment from the following AEL categories:
    - 1) Information Technology (Category 4)
    - 2) Cyber-Security Enhancement Equipment (Category 5)
    - 3) Interoperable Communications Equipment (Category 6)
    - 4) Detection Equipment (Category 7)
    - 5) Power Equipment (Category 10)
    - 6) CBRNE Reference Materials (Category 11)
    - 7) CBRNE Incident Response Vehicles (Category 12)
    - 8) Physical Security Enhancement Equipment (Category 14)
    - 9) CBRNE Logistical Support Equipment (Category 19)
    - 10) Other Authorized Equipment (Category 21)
  - b. Besides being allowable, equipment must also be necessary, reasonable, and applicable to the Emergency Management Program. 2CFR 200.33 defines equipment as “tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level establish by the non-Federal entity for financial statement purposes, or \$5,000.” **In this case, the capitalization threshold for equipment would be the established State level of \$1,500. Any equipment purchased over \$1,500 shall be pre-approved by NEMA PRIOR TO ordering the equipment.**
  - c. Environmental/Historical Protection (EHP) paperwork must be completed, submitted and approved **PRIOR TO** ordering any equipment requiring an EHP, to be eligible for reimbursement.

G. Unallowable Costs:

1. Food,
2. Lodging,
3. Clothing, uniforms or uniform peripherals like badges or emblems

4. Automobile fuel, automobile repair and maintenance expenses are not allowable reimbursement costs.
  5. EMPG funds may not be used to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities.
  6. Activities and projects unrelated to the completion and implementation of an Emergency Management Program.
- H. Inventory – the sub-recipient must maintain an updated inventory of equipment purchased through this grant program. The approved *Inventory Record* template can be found at: [www.nebraskagms.com](http://www.nebraskagms.com) , or <https://nema.nebraska.gov/preparedness/grants> . A physical inventory of the property must be taken and the results reconciled with the property records at least once every two (2) years. The date the physical inventory is conducted will be recorded on the Inventory Record template. The *Biennial Equipment Inventory Certification* will also need to be completed by the sub-recipient, and submitted to NEMA's grant monitoring staff along with the completed inventory template by December 1<sup>st</sup>, at the end of the two (2) year cycle.

# MONITORING PROGRAM

## I. OVERVIEW

A. The Nebraska Emergency Management Agency (NEMA), as the State Administrative Agency (SAA) and primary recipient of Emergency Management Performance Grant (EMPG) funds as well as other grant programs, has full responsibility for the conduct of the projects or activity funded and for the results achieved. NEMA, as grant recipient, must monitor the performance of projects to assure adherence to performance goals, time schedules or other requirements as appropriate to the projects or the terms of the grant agreement. NEMA is responsible for monitoring the activities of and pass-through requirements to any grant sub-recipients.

## II. MONITORING PROCESS

A. Grant and programmatic monitoring will be completed by two methods: office-based monitoring and on-site monitoring. Monitoring is to assist in identifying areas where a sub-recipient requires support to be in compliance and audit ready, which will also provide feedback to NEMA that can be used to improve our services. Both types of monitoring will require written documentation (in the form of a *Monitoring Memorandum*) to be completed by the NEMA's Grants Monitor. Upon completion, the memorandum will be mailed to the sub-recipient's governing body, as well as circulated through appropriate NEMA channels.

B. Equipment monitoring: the provisions of this policy shall apply to all equipment. Equipment is required to be accounted for until it reaches the end of its useful life. If during the course of monitoring an item(s) cannot be accounted for, the sub-recipient's funds shall be frozen until one or more of the following occurs:

1. Proof is provided that the missing equipment has been located.
2. A police report documenting the theft of the missing item(s) is filed.
3. A letter from the end user is provided setting forth details regarding the missing item(s).

# Examples of Program Forms

Subrecipient Application Form			
1	Jurisdiction Name		
2	Applicant Address		
3	Date submitted to NEMA		
4	2015 EMP Grant request (not more than 50% of 8D)		
5	Applicant Status: Check the one that best describes your Emergency Management organization	<input type="checkbox"/>	Full time permanent staff whose primary responsibility is as the Emergency Manager, or
		<input type="checkbox"/>	Emergency Manager duties are assigned to full time staff with other duties
6	Are you or your Deputy a Certified Emergency Management Worker?	<input type="checkbox"/>	
7	List all staff who will be supported the EMPG Funds:		
	Local EMPG Funded Staff - Name and position ( Do not list staff receiving a stipend not wage or salary)	Full or Part Time	% of time doing Emergency Management Duties
8	<b>BUDGET:</b> Base this on the best estimate you have for the 2014/2015 budget		
A	Personnel Costs including combined wages and benefits of all personnel listed above		
B	Operating Costs (including rent, phones, utilities, office supplies)		
C	Equipment (will be awarded if dollars are available after funding A & B for all applicants)		
D	Total Estimated Budget (should automatically add A, B, and C)		0.00
9	Goals and Objectives for the 2015 EMPG: There is no requirement for a specific number of goals or objectives, if you need more space attach a separate page.		
	Goal	Objective	
A			

Subrecipient Application Form

<b>10</b>	<b>Emergency Manager Director / Coordinator</b>								
Name									
Mailing Address									
Daytime Phone Number									
Fax Number									
Email Address									
<b>11</b>	<b>Chief Financial Officer</b>								
Name									
Mailing Address									
Daytime Phone Number									
Fax Number									
Email Address									
<b>12</b>	<b>Authorized Official (i.e Elected Official)</b>								
Name									
Mailing Address									
Daytime Phone Number									
Fax Number									
Email Address									
<b>13</b>	<b>Application Prepared and Submitted By:</b>								

## PERFORMANCE REPORTS

Each sub-recipient is required to **electronically submit** a Project Report quarterly. The purpose of the reporting is to document emergency management activities in support of the Emergency Management Program Grant. The Sub-recipient must provide as much activity information as possible in order to document the totality of the activities carried out in support of the grant funds received. Electronic notices will be provided as to when the Reports are due. Access to funds will not be allowed if reporting requirements have not been met.

1. Performance Reports are due on:

First Quarter      **October**

Second Quarter    **January**

Third Quarter      **April**

Fourth Quarter    **July**

2. The form for the quarterly report (generic copy of a project outline, not the quarterly report form) below will be individualized for each jurisdiction following the submission, review and award of your grant.

**PROJECT OUTLINES**

**Jurisdiction** \_\_\_\_\_

**Project #1: Emergency Management Administration - EMPG 2015**

EMF #3.7	<b>Direction, Control and Coordination</b>	
<b>Performance Measure and Basis of Evaluation:</b>		
1.1	Complete and submit quarterly EMPG program report	
1.2	Submit reimbursement requests through the NE Grants Management System (GEMS) and Mail back-up to NEMA	
1.3	Complete BSIR semi-annual report including EMPG in the system	
1.4		
1.5		
1.6		
1.7		
1.8		
1.9		
1.10		
<b>Quarterly Activity</b>		
<b>1st Quarter</b> July 2015 – September 2015		
<b>Indicate which goal, if any (from your application line 8) this item supports</b>	<b>Activity #</b>	<b>Activity Description</b>
	1.1	Complete and submit quarterly EMPG program report
	1.2	Submit reimbursement requests through the NE Grants Management System (GEMS) and Mail back-up to NEMA
<b>2nd Quarter</b> October 2015– December 2015		
<b>Indicate which goal, if any (from your application line 8) this item supports</b>	<b>Activity #</b>	<b>Activity Description</b>
	1.1	Complete and submit quarterly EMPG program report
	1.2	Submit reimbursement requests through the NE Grants Management System (GEMS) and Mail back-up to NEMA
		Complete BSIR report including EMPG





**SAMPLE EMPG GAN**  
**(Grant Adjustment Notice)**  
(Special Conditions change with each Grant Year)

THIS PAGE INTENTIONALLY HAS NO DATA



Nebraska Emergency Management Agency

2015 Sub-Recipient Agreement  
for  
Cass County

Date of Award

8/26/2015

<b>1. Sub-Recipient Name and Address</b>  Cass County 8400 144th St, Suite 200 NE 68463	<b>2. Prepared by:</b> <i>Weber, Nicole</i>	<b>3. Award Number:</b> 15-SR 8698-01
	<b>4. Federal Grant Information</b>	
	<b>Federal Grant Title:</b>	Homeland Security Grant Program
	<b>Federal Grant Award Number/CFDA Number:</b>	EMW-2015-EP-00051-S01 / 97.042
	<b>Federal Granting Agency:</b>	Grant Programs Directorate Federal Emergency Management Agency U.S. Department of Homeland Security

**5. Award Amount and Grant Breakdowns**

<b>Total Award Amount</b>  \$94,642.06	<b>2015 Emergency Management Performance Grant</b>  <b>Performance Period:</b> FROM Jul 1, 2015 – Jun 30, 2016
--	---

6. Statutory Authority for Grant: This project is supported under Public Law 108-334, the Department of Homeland Security Appropriations Act of 2015.

7. Method of Payment: Primary method is reimbursement through the on-line Nebraska Grant Management System.

8. Debarment/Suspension Certification: By signing in block 10 below, the sub-recipient official certifies that any contractors utilized are not listed on the excluded parties listed system at <http://www.epls.gov>.

**9. Agency Approval**

<b>Approving NEMA Official:</b>  Bryan Tuma, Assistant Director	<b>Signature of NEMA Official:</b> <i>[Signature]</i>
	<b>Date:</b> 9/1/15

**10. Sub-Recipient Acceptance**

I have read and understand the attached Terms and Conditions.

<b>Print name and title of Authorized Sub-Recipient official:</b>  SANDRA L. WEYERS	<b>Signature of Authorized Sub-Recipient Official:</b>  <i>[Signature]</i>
---	--

<b>11. Enter Employer Identification Number (EIN) / Federal Tax Identification Number:</b> 47-6006439	<b>12. Date Signed :</b> 8-27-15
--	-------------------------------------

13. DUE DATE: 10/10/2015

Signed award and Direct Deposit Form (if applicable) must be returned to NEMA on or before the above due date.



NEBRASKA EMERGENCY

MANAGEMENT AGENCY (NEMA)

EMERGENCY MANAGEMENT PERFORMANCE GRANTS PROGRAM (EMPG)

AWARD NUMBER: EMW-2015-EP-00051-S01

CFDA: 97.042

SPECIAL CONDITIONS

1. This **Sub-Award** is subject to the FY2015 *Emergency Management Performance Grants Program* Guidelines and Application Kit. The Guidelines and Kit can be accessed at: [www.fema.gov/grants](http://www.fema.gov/grants) . This Sub-Award is also subject to the current Nebraska Emergency Management Performance Grant Program Instructions, the Federal Grant Award, and to the Grant Guidance imposed on NEMA by the Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA). The Nebraska Grant Instructions are intended to complement rather than replace the Federal Program Guidelines published by the DHS/FEMA, and are incorporated by references into this Sub-Award together with the attached Special Conditions.

2. **Purpose:** Sub-Award funds, as appropriated by NEMA under the Fiscal Year (FY) 2015 EMPG Program, provides resources to assist State, Local, and Tribal Governments in preparing for all hazards, as authorized by the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (42 USC 5121 et seq.).  
[www.fema.gov/pdf/about/stafford\\_act.pdf](http://www.fema.gov/pdf/about/stafford_act.pdf)

3. **Overview:** Funds provided shall be used to sustain local jurisdictional Emergency Management organizations by providing support for salaries, operational supplies, and equipment, needed to sustain an Emergency Management Program. All costs under these categories must be eligible under 2CFR, Part 225, located at [www.whitehouse.gov/omb/grants\\_circulars](http://www.whitehouse.gov/omb/grants_circulars) .

4. The **Notice to Sub-Recipient Award** is only an offer until the sub-recipient returns the signed copy of the *Notification of Sub-Recipient Award* and the last page of the Special Conditions document. Sub-Recipient agrees to make no requests for reimbursement prior to the return of these two (2) documents.

5. Sub-Recipient agrees to make no requests for reimbursement for goods or services procured by the sub-recipient prior to the performance period start date of this agreement.

6. Sub-Recipient shall comply with all applicable laws, regulations, and program guidance. Non-exclusive lists of regulations commonly applicable to DHS/FEMA grants are listed below, including the guidance:

**A. Administrative Requirements**

1. 2CFR, Part 200, Sub-Parts A-E – Reforms to Administrative Requirements
2. Federal Funding Accountability & Transparency Act (FFATA) [2CFR, Part 170]

**B. Cost Principles**

1. 2CFR, Part 200, Sub-Part E – Reforms to Cost Principles

**C. Audit Requirements**

1. 2CFR, Part 200, Sub-Part F – Audit Requirements

7. The EMPG program has a fifty percent (50%) Federal and a fifty percent (50%) Non-Federal Cost Match requirement

8. The Sub-Recipient agrees to use the Nebraska Grant Management System (GMS) for all financial transactions and tracking for the EMPG grant from NEMA, [www.nebraskagms.com](http://www.nebraskagms.com) .

9. Prior to disbursement of any FY2015 grant funds, the sub-recipient will have:

- A. The current County Local Emergency Operation Plan (LEOP)
- B. NIMS report that has been completed and submitted to NEMA Training Section for 2014

10. County/Counties located within a Region will not be allowed to receive any FY2015 grant funds for projects located with the county/counties, if the county/counties is/are not current on prior and current year DHS/FEMA/NEMA program requirements. The sub-recipient is not allowed to receive or expend funds in support of non-compliant county/counties within the Region.

11. Notwithstanding any other agreement provisions, the parties hereto understand and agree that NEMA's obligations under this agreement are contingent upon the receipt of adequate funds to meet NEMA's liabilities herein. NEMA shall not be liable to the Sub-Recipient for costs under this agreement which exceed the amount specified in the *Notice of Sub-Recipient Award*.

12. *Micro-Purchase (2CFR, Part 200.67)* – means a purchase of supplies or services using simplified acquisition procedures, the aggregate amount of which does not exceed the micro-purchase threshold. Micro-Purchase procedures comprise a sub-set of a Non-Federal entity's small purchase procedures. The Non-Federal entity uses such procedures in order to expedite the completion of its lowest dollar small purchase transactions and minimize the associated administrative burden and cost. The micro-purchase threshold is set by the Federal Acquisition Regulation at 48CFR, Sub-Part 2.1 (Definitions). It is \$3,000, except as otherwise discussed in Sub-Part 2.1 of the regulation, but this threshold is periodically adjusted for inflation.

13. **All Purchase above the \$3,000 Micro-Purchase limit** – are procurement transactions that must be conducted in a manner providing for full and open competition, and quotations are obtained from an adequate number of sources.

14. Administration of the grant will be accomplished through the Nebraska GMS website: [www.nebraskagms.com](http://www.nebraskagms.com).

15. The Sub-Recipient agrees to comply with all *Reporting Requirements*, and shall provide such information as required to NEMA for reporting as noted in the 2015 Federal Grant Guidelines. The jurisdiction is required to complete and submit the *Biannual Strategy Implementation Report (BSIR)* each July 15<sup>th</sup> and January 15<sup>th</sup> until the end of the grant. The report will include a narrative summary on the progress of each project. A final BSIR is due 90 days after the end of the grant award period. The BSIR is accessed through the online *Grant Reporting Tool (GRT)* at: [www.reporting.odp.dhs.gov](http://www.reporting.odp.dhs.gov). Failure to complete the BSIR and/or the EMPG Quarterly Reports is considered non-compliance with the grant guidance, and may result in grant funds being frozen.

16. 2CFR, Part 200.501: The Sub-Recipient must prepare and submit quarterly requests for reimbursement to NEMA for the duration of the grant performance period, or until all grant activities are completed and the grant is formally closed. The Sub-Recipient may also be required to submit additional information and data requested by NEMA.

17. Per 2CFR, Chapter 1, Part 170: NEMA will send the Sub-Recipient the *Federal Funding Accountability and Transparency Act (FFATA)* form that must be completed, signed, and returned to NEMA by the date specified in the cover letter to meet the FFATA reporting deadline for the 2015 EMPG grant.

18. NEMA may perform periodic reviews of Sub-Recipient performance of eligible activities and approved projects. These reviews may include, without limitation: performance of on-site visits or desk reviews, compliance and program monitoring – including inspection of all grant related records and items; comparing actual sub-recipient activities to those approved in the sub-award application and subsequent modifications if any; ensuring that advances have been disbursed in accordance with applicable guidelines; confirming compliance with grant assurances; information provided on performance reports and payment requests; needs and threat assessments and strategies.

19. NEMA may suspend or terminate sub-award funding in whole or in part, or other measures may be imposed for any of the following reasons: failing to comply with the requirements or statutory objectives of Federal law; failing to make satisfactory progress toward the goals or objectives set forth in the sub-award application; failing to follow grant agreement requirements or special conditions; failing to submit required reports; filing a false certification in the application or other report or document; and non-performance.

20. The Sub-Recipient agrees to retain all grant records for this, and any Federal grants, for three (3) years after they are notified by NEMA that the grant has been closed by DHA/FEMA.

21. The Sub-Recipient understands and agrees that it cannot use any Federal Funds, either directly or indirectly, to Lobby in support of the enactment, repeal, modification, or adoption of any law, regulation, or policy, at any level of government.

22. When implementing the DHS/FEMA funded activities, the sub-recipient must comply with all Federal Civil

Rights Laws, to include – Title VI of the Civil Rights Act, as amended. The sub-recipient is required to take reasonable steps to ensure persons of limited English proficiency have meaningful access to language assistance services regarding the development of proposals and budgets and conducting *Grant Programs Directorate (GPD)* funded activities.

23. Dues and Conference registration fees will only be paid for the following organizations:

- A. Nebraska Association of Emergency Managers
- B. Nebraska Infrastructure Protection Conference
- C. Nebraska EMT Association
- D. Nebraska Hazardous Materials Association
- E. Nebraska Fire School
- F. Nebraska Association of County Officials
- G. International Association of Emergency Manager
- H. Other Associations with **direct ties** to Emergency Management like the Nebraska Floodplain and Storm Water Association (tied to the Hazard Mitigation Program)

24. The Sub-Recipient will not be reimbursed by EMPG funds for meals or lodging when travelling to meetings, conferences, or trainings. Mileage will be paid if recorded as defined in the grant application and submitted with the quarterly reimbursement request. The only exception to the lodging is if NEMA is sponsoring a training, conference or exercise, where you have been informed lodging is allowable for reimbursement.

25. Allowable equipment categories are listed in the Grant Guidance package as categories 4, 5, 6, 7, 10, 11, 12, 14, 19, and 21. Besides being allowable, equipment must also be necessary, reasonable, and applicable to the Emergency Management Program.

26. The Sub-Recipients are required to provide the *Authorized Equipment List (AEL)* numbers for all equipment purchased with grant awarded funds. For any item requiring an *Environmental & Historic Preservation (EHP)* review, payment will not be made if the invoiced date is prior to the EHP approval, or if there is no EHP approval on file.

27. Repair and replacement parts may only be purchased for equipment that has been purchased using DHS/FEMA preparedness grant funding.

28. No communication equipment can be purchased until approved by NEMA Communications Specialist.

29. Title to equipment costing \$5,000 or more, and acquired by the sub-recipient with funds provided under this award shall vest in the sub-recipient. When the equipment is no longer needed by the sub-recipient, and the per unit fair market value is less than \$5,000, the sub-recipient may retain, sell, or dispose of the equipment with no further obligation to NEMA. If, on the other hand, the per unit fair market value is \$5,000 or more, then the sub-recipient must submit a written request to NEMA for disposition instructions.

30. The sub-recipient agrees to cooperate with an assessment, national evaluation efforts, information, or data collection requests, including but not limited to; the provision of any information required for the assessment or evaluation of any activities within this project.

31. Approval of this award does not indicate approval of any consultant rate in excess of \$450 per day. A detailed justification must be submitted to an approved by NEMA prior to obligation or expenditure of such funds.

32. To the extent that recipients of a grant use contractors or sub-contractors, such recipients shall use small, minority, women owned, or disadvantaged business concerns and contractors or sub-contractors to the extent practicable.

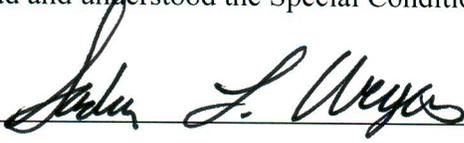
33. Sub-Recipients must maintain an updated inventory of equipment purchased through this grant program. Approved *Inventory Record* template is available at:

[www.nema.ne.gov/preparedness/grant-management.html](http://www.nema.ne.gov/preparedness/grant-management.html) .

34. All Communications projects involving towers and tower buildings cannot be ordered until the EHP is approved by DHA/FEMA. NEMA will coordinate the approval process, and the sub-recipient agrees to provide all documents as required.

35. The Sub-Recipient shall not undertake any project having the potential to impact the EHP resources **without the prior approval of FEMA**, including, but not limited to: communications towers; physical security enhancements; new construction; and modifications to building, structures, and objects, that are fifty (50) years old or older, or as indicated by the AEL list. Sub-Recipients must comply with all conditions placed on the project as the result of the RHP review. Any change to the approved project scope of work will require re-evaluation for compliance with the EHP requirements. If ground disturbing activities occur during project implementation, the sub-recipient must ensure monitoring of ground disturbance, and if any potential archeological resources are discovered, the sub-recipient will immediately cease construction in that area and notify FEMA, and the appropriate State Historic Preservation Office. Any construction activities that have been initiated without the necessary EHP review and approval will result in a **non-compliance finding and will not be eligible for FEMA funding**.

I have read and understood the Special Conditions for the 2015 EMPG Grant.



\_\_\_\_\_  
Signature of Jurisdiction Official



\_\_\_\_\_  
Date signed

**EMPG  
Reimbursement  
Form**

THIS PAGE INTENTIONALLY HAS NO DATA

Nebraska Emergency Management Agency						
Emergency Management Performance Grant #						
Subgrantee Reimbursement Request Form						
FY 2010 Local EMPG						
Performance Period July 1, 2010 through June 31, 2011			Claim Period Covered		From:	To:
Subgrantee:					Date of this request:	
				Allowable Cost Categories		
Item:	Date	Item Description	Personnel	Operating	Total	Payment Document #
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
21						
22						
23						
24						
Total Amounts Expended:			0.00	0.00	0.00	
Federal Reimbursement Requested:					0.00	
I Certify that all items listed are proper Emergency Management Performance Grant Expenditures and have been paid.						
Signed:			Title:			
Form EMPG 06			Page:			of

THIS PAGE INTENTIONALLY HAS NO DATA

# **EMPG Mileage Form**

THIS PAGE INTENTIONALLY HAS NO DATA



THIS PAGE INTENTIONALLY HAS NO DATA

**SAMPLE  
EMPG  
LOCAL PURCHASE  
SUBMISSION  
COVER SHEET**

**This form is required to be signed, dated and submitted for reimbursement. Invoices and other supporting documentation may be delivered to NEMA by mail, email, fax or attached in GMS.**

THIS PAGE INTENTIONALLY HAS NO DATA



**Jefferson County**  
Local Purchase Submission Cover Sheet

Feb 03, 2015



RR150028400

FOR OFFICIAL USE ONLY

Subgrantee Remittance Address		Contact Information	
<b>Organization:</b>	Jefferson County	<b>Name:</b>	John McKee
<b>Street:</b>	313 South K Street	<b>Agency:</b>	Jefferson County Emergency Management
<b>City/State/Zip:</b>	Fairbury, NE 68352	<b>City/State/Zip:</b>	Fairbury, NE 68352
<b>Federal ID#:</b>		<b>Phone:</b>	402-729-3602
<b>E-mail:</b>	jeffcoema@diodecom.net	<b>Fax:</b>	402-729-3602
<b>Fax:</b>	402-729-3602		

Item No.	Grant	Bar Code	Invoice No.	Amount
		Salaries and benefits for director and staff assistant.		
1	2014 EMPG		1010201401022015	\$21,041.38
		1180524		

<b>Invoiced Amount:</b>	\$21,041.38
<b>Subgrantee Funds:</b>	\$0.00
<b>Matching Funds:</b>	\$10,520.69
<b>Reimbursement Amount:</b>	\$10,520.69

*OK NW  
3.3.2015*

**Fax all documents to NEMA at: 402-471-7433.**

The following items must be submitted with your reimbursement request. IF LOCAL

- SPARS print out for each item.
- Copy of invoice for each item submitted. Invoices with multiple items should have the item submitted circled.
- Proof of payment or signed Economic hardship form.

I, John McKee, certify that I have received the above service/expenditure and the item is now on my subgrantee's inventory list.

Signature:  Date: 2/3/15

FOR OFFICIAL USE ONLY

THIS PAGE INTENTIONALLY HAS NO DATA

**EMPG  
FFATA  
Form**

THIS PAGE INTENTIONALLY HAS NO DATA

**Subrecipient Reporting Worksheet**

Section A - Federal Award Information

Federal Award Identifier Number (FAIN)	EMW-2014-EP-APP-00049	
Federal Awarding Agency Name	Federal Emergency Management Agency	Agency Code 7022
CFDA Program Number	97.42	
Award Date		
Sub-grant amount from this award		

Section B - Subrecipient Information

Subrecipient DUNS Number	
Subrecipient Name	
Subrecipient Address	
Physical	
Mailing	
City	
State	
County	
Zip Code + 4	
Congressional District	
Amount of Subgrant	\$0.00
Date of FEMA project Approval	
Subrecipient Principal Place of Performance	
Physical	Same as above
Mailing	0
City	0
State	0
County	0
Zip Code + 4	00000-0000
Congressional District	0
Subgrant Number	
Sub-grant Project Description	EMPG sub-grants have 6 projects, Administration, Training & Exercise, Planning, Response & Recovery, Technological Hazards and Public Education & Information.

Section C - Federal Award Information

1. In your business or organization's previous fiscal year, did your business organization (including parent organization, all branches, and all affiliates worldwide) receive 80% or more of your annual gross revenues in the U.S. federal contracts, sub-contracts, loans, grants, subgrants, and/or cooperative agreements AND \$25,000,000 or more in annual gross revenues from U.S. federal contracts, sub-contracts, loans, grants, sub-grants, and/or cooperative agreements?

**No** You are not required to provide officer compensation information

You are not required to provide officer compensation information

<b>N/A</b>	Information Not Required	Information Not Required	Information Not Required
	Information Not Required	Information Not Required	Information Not Required
	Information Not Required	Information Not Required	Information Not Required
	Information Not Required	Information Not Required	Information Not Required
	Information Not Required	Information Not Required	Information Not Required

Amount funded from Federal Grants	_____	<b>\$0.00</b> <i>total of grants in Section A</i>
Amount funded from State General Funds	_____	
Amount funded from State Cash Funds	_____	
Amount funded from Federal Cash Funds	_____	<i>fed sources other than grants</i>
Total amount funded from all sources	_____	<b>\$0.00</b> <i>should equal total of sub-grant</i>
Authorized Point of Contact Signature ----->		
<i>Sub-Grant Transparency Act 2010 Req Form</i>	<b><u>Please Sign and return to NEMA</u></b>	

**HMEP**  
**Sample Required**  
**Documents**  
**With Instructions**

THIS PAGE INTENTIONALLY HAS NO DATA

# **HMEP Grant Guidance for LEPCs**

THIS PAGE INTENTIONALLY HAS NO DATA

State of Nebraska Guidance for  
LEPCs

# Hazardous Materials Emergency Preparedness (HMEP)



Planning  
Grant

# **Hazardous Materials Emergency Preparedness (HMEP) Planning Grant**

## **Table of Contents**

- I. Introduction**
- II. Eligibility**
- III. Use of Funds**
- IV. LEPC Checking Accounts**
- V. Disbursement of Funds**
- VI. Review Process**
- VII. Accountability of Funds**

# **State of Nebraska Guidance for LEPCs Hazardous Materials Emergency Preparedness (HMEP) Planning Grant**

## **I. Introduction**

- A. The Hazardous Material Emergency Preparedness (HMEP) Planning Grant has been provided by the US Department of Transportation. The grant is designed to increase local effectiveness in preventing chemical accidents; to safely and efficiently handle hazardous materials incidents; and to enhance the implementation of the “Emergency Planning and Community Right to Know Act” (SARA Title III).
  
- B. Under the SARA Title III, fees collected from hazardous materials transporters are granted to States for use by the Local Emergency Planning Committees (LEPCs). The grants are awarded to and are being administered by the Nebraska Emergency Management Agency (NEMA).

## **II. Eligibility**

To be eligible to receive HMEP funds from the State, a LEPC shall be in compliance with the requirements defined in the “Nebraska Emergency Planning and Community Right to Know Act” (EPCRA), Neb. Rev. Stat. §§ 81-15, 191 to 81-15, 235:

- 1. Annually elect a chairperson (81-15, 216) and appoint a coordinator of information (81-15, 217b).
- 2. Establish rules to govern the LEPC function (81-15, 217a).
- 3. Establish procedures for receiving and processing information requests from the public (81-15, 217b).
- 4. Review (81-15, 217c) and exercise (81-15, 217d) the Local Emergency Operations Plan (LEOP) annually.
- 5. Have adopted by-laws on file with the SERC (81-15, 217a).
- 6. Conduct meetings in accordance with the Public Meetings Laws Neb. Rev. Stat. §§ 84-1408 to 84-1414.
- 7. Shall file a fiscal and annual report with the SERC (81-15, 217 (2)).

### **III. Use of Funds**

This guidance document contains information on how this money should be used. Specific planning activities related to the EPCRA and as allowed by provision of the Federal HMEP Planning Grant. It is not to be used for other purposes and its use must be auditable. Allowable activities/expenses will be discussed in detail in Disbursement of Funds.

### **IV. LEPC Checking Accounts**

Under the Nebraska EPCRA Neb. Rev. Stat. 81015, 217 (2), a LEPC may receive gifts, bequests, grants or other contributions or donations. An LEPC can establish a business non-interest bearing checking account by contacting their local bank.

In order to establish a checking account an LEPC must obtain a Federal Tax ID Number this can be done by calling the Internal Revenue Service at 800-829-3676 and requesting for SS4. The form can also be found on line at: [www.irs.ustreas.gov](http://www.irs.ustreas.gov).

Requirements for accounts may vary between banks (i.e.; service charges, minimum amount to be kept in account, etc.). The bank will need the Tax ID number, a mailing address for the LEPC, and some starting funds. It is suggested that an LEPC have several members able to sign checks.

### **V. Disbursement of Funds** **Funds disbursed on a reimbursement basis only.**

Eligible expenditures are such items as LEPC meeting expenses including publishing notices, mileage for LEPC members to attend meetings and other cost of daily operations of the LEPC. Allowable expenditures for daily operations are as follows:

1. Cost for printing, copying and mailing meeting announcements, minutes, By-laws, and other necessary correspondence.
2. Mileage for out of town LEPC members to attend meetings. The expense reimbursement sheet must have attached a copy of the minutes of the meeting and a copy of the attendance sign in sheet. Mileage shall be reimbursed at the rate not exceeding the State rate for reimbursement.

3. Cost of publishing annual notice in local newspaper as required by Nebraska EPCRA. The request for reimbursement must have attached a copy of the Affidavit of Publication.
4. Cost of sending notices of facilities not reporting TIER IIs. The request for reimbursement must include copy of the letter and list of facilities.
5. Meeting room fees, if an open use room is not available.

Eligible expenditures of office supplies related to the administration of an LEPC:

1. Stationary, pens, pencils, paper clips and other office supplies.
2. Office equipment such as desks or file cabinets are not eligible without pre-approval.

***Mini-Grant Program - Must be Pre-Approved***

All purchases in the amount of \$150.00 or more, and those less than \$150.00 that are not on the per-approved expenditures list must have prior approval from the SERC Coordinator. Request for approval of a mini-grant should be submitted on the Application for HMEP Funds (exhibit C). Upon approval of the mini-grant, the LEPC will receive a signed copy of the application.

Examples of possible mini-grants:

- ✓ Office Supplies, as noted above
- ✓ Risk/Hazard Analysis
- ✓ Expenses associated with hazardous materials planning; except food, personnel exercises, overtime etc.
- ✓ Commodity Flow assessments Enhancement of hazmat plans Exercises related to hazmat plans

*Expenses eligible for reimbursement without pre-approval and NOT exceeding \$150.00:*

All eligible expenditures not exceeding \$150.00 must be paid for directly by the LEPC. A request for reimbursement must have the following documentation attached and submitted to the SERC Coordinator for payment:

1. Copy of invoice from vendor
2. Proof of payment

Due to historical large balances remaining at the end of the period of performance in projects, effective 01 January 2017, all sub-recipients will be required to submit for reimbursements at a maximum quarterly (based on calendar year).

## **VI. Review Process**

Request for reimbursement and mini-grants will be reviewed by the SERC Coordinator and the Grants Manager for content, critical information and allowability. Funds will be distributed as soon as possible upon receipt of appropriate documentation.

## **VII. Accountability of Funds**

The use of these funds must comply with the Federal Cash Management Improvement Act. All funds within this grant will be subject to NEMA Grants Monitoring, Audit by the State Auditor, and local internal audits.

# Examples of Program Forms

**NEBRASKA HMEP  
LEPC APPLICATION**  
*Fiscal Year 2014 – 2015*

LEPC/County Name:

LEPC DUNS #:

Fiscal Agent if other than the LEPC/County above:

Address:

City:

Zip Code:

Telephone (with area code):

Email Address:

**Project Description/Statement of Work:**

*Briefly describe the project this grant will address, include the need identified and how this project will fill the identified gap. (A sample timeline is attached at the end of this application.)*

**Program Information:**

*State your proposal's goals, objectives (this is the who, what, when and where of the project), define the need and benefit of this project:*

*Indicate how the LEPC will measure the success of this project (how will you monitor the success).*

## HMEP APPLICATION BUDGET

The following can be used as a budget spreadsheet:

Item(s)	Projected Cost(s)	Funding Requested or In Kind Funding	Total Funding Requested

## Time Line

The following can be used as a timeline:

*Briefly indicate the major activities of your proposal in a timeline. If this is a long term project include steps of phases, the amount of time spent on each phase, and the responsible party.*

Activity	Expected Outcome	Estimated Date of Completion

### CERTIFICATION

I, \_\_\_\_\_, do hereby certify that I have been authorized by the LEPC/County herein identified to submit this application for funds, and I further certify that the information contained herein is accurate and correct to the best of my knowledge.

Signed:

Title:

LEPC/County:

**Completed applications should be sent to:**

**Tonya Ngotel**  
**State Emergency Response Commission Coordinator**  
[tonya.ngotel@nebraska.gov](mailto:tonya.ngotel@nebraska.gov)  
**402.471.7176**

**HMEP Grant Agreement  
between  
(        ) LEPC  
and the Nebraska Emergency Management Agency**

This agreement between (        ) LEPC and the Nebraska Emergency Management Agency (NEMA) is in support of the Hazardous Materials Emergency Preparedness (HMEP) Grant. The HMEP Grant money allocated below should not exceed the amount outlined nor should the monies be spent on projects not pre-approved.

Budget Categories:	Amount Approved:	Total Allocation:
•	\$	\$
•	\$	\$

In accepting these funds we agree to the following conditions:

- 1) Funds may not be used for purposes other than the activities listed above without the written permission.
- 2) Funds will be used as outlined in the budget categories above. Any request for change must be submitted to the SERC prior to expending funds.
- 3) All activities and expenditures must be approved through the application process.
- 4) Grant activities must be completed and funds expended by (1 September 2014).

Please sign below acknowledging receipt of this information. Please return the signed document to Tonya Ngotel at Nebraska Emergency Management Agency (NEMA), 2433 NW 24, Lincoln, NE 68524 no later than

\_\_\_\_\_.

\_\_\_\_\_  
Signature of Representative

\_\_\_\_\_  
Signature of Representative

\_\_\_\_\_  
Organization

\_\_\_\_\_  
NEMA

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

# **LEPC Reimbursement Form**

THIS PAGE INTENTIONALLY HAS NO DATA

**FY 2013/2014 HMEP SUB GRANT  
REQUEST FOR REIMBURSEMENT  
Request for the FY2013/2014 grant  
MUST be submitted to NEMA on or before September 1, 2014**

**LEPC/County or Individual Name:**

Fiscal Agent if other than the LEPC/County above:

**Tax Identification Number (or Social Security Number):**

**Address:**

**City:**

**Zip Code:**

**Telephone (with area code):**

**Email Address:**

*THE FOLLOWING MUST BE INCLUDED WITH THIS REQUEST FOR REIMBURSEMENT:*

*A zero balance hotel portfolio. The amount on the bottom of the invoice must have a 0 balance.*

Amount of Expenditure: \$

**CERTIFICATION**

I, \_\_\_\_\_, do hereby certify that I have been authorized by the LEPC/County herein identified to submit this request for funds, and I further certify that the information contained herein is accurate and correct to the best of my knowledge.

Signed:

LEPC/County:

Completed applications should be sent to:

Tonya Ngotel  
State Emergency Response Commission Coordinator  
2433 NW 24  
Lincoln, NE 68524  
[tonya.ngotel@nebraska.gov](mailto:tonya.ngotel@nebraska.gov)  
402.471.7176

THIS PAGE INTENTIONALLY HAS NO DATA

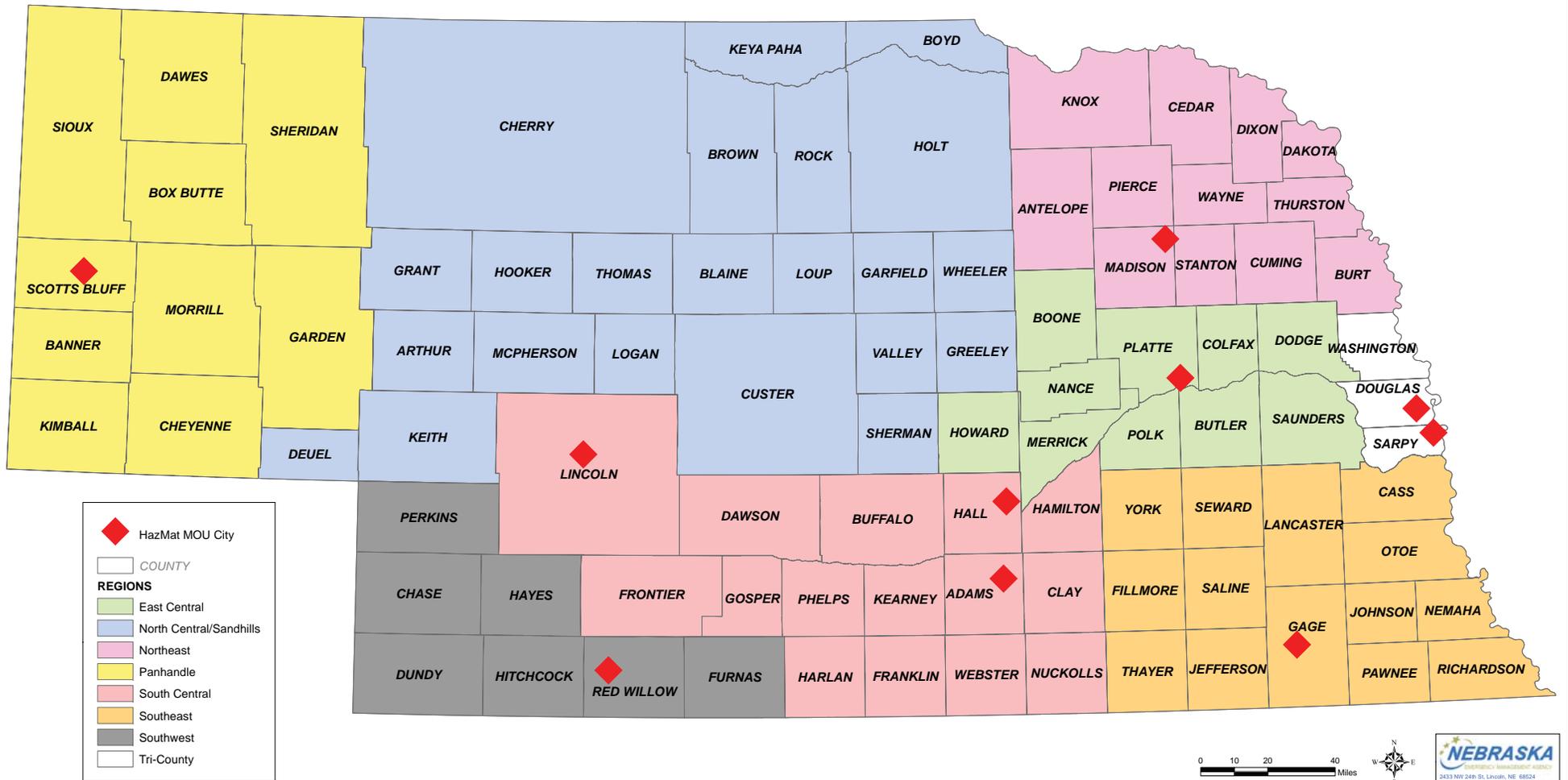
# **Other Attachments**

THIS PAGE INTENTIONALLY HAS NO DATA

# **PET Regional Map**

THIS PAGE INTENTIONALLY HAS NO DATA

# (SHSP) State Homeland Security Grant Program Planning, Exercise & Training Regions

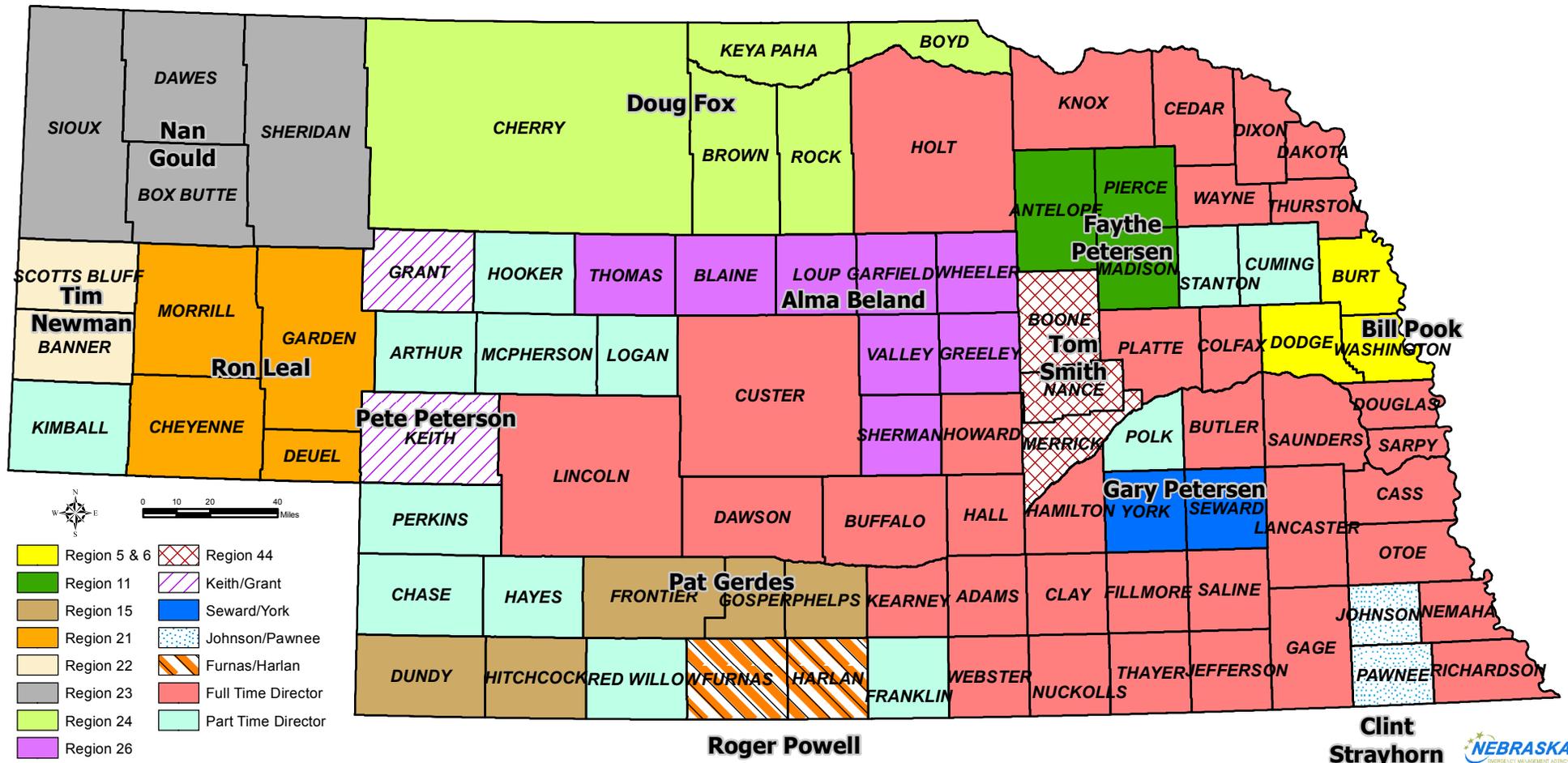


THIS PAGE INTENTIONALLY HAS NO DATA

# EMPG Map

THIS PAGE INTENTIONALLY HAS NO DATA

# (EMPG) EMERGENCY MANAGEMENT PERFORMANCE GRANT JURISDICTIONS



THIS PAGE INTENTIONALLY HAS NO DATA

# List of Acronyms

THIS PAGE INTENTIONALLY HAS NO DATA

AEL	Authorized Equipment List
BSIR	Biannual Strategy Implementation Report
CAPR	Categorical Assistance Program Reports
CBRNE	Chemical, Biological, Radiological, Nuclear or Explosive
CCP	Citizen Corp Program
CERT	Community Emergency Response Teams
CI/KR	Critical Infrastructure/Key Resources
COOP/ COG	Continuity of Operations and Continuity of Government
DHS	Department of Homeland Security
DOJ	Department of Justice
DOT	Department of Transportation
EHP	Environmental and Historical Preservation
EM	Emergency Manager/Emergency Management
EMA	Emergency Management Agency
EMPG	Emergency Management Performance Grant
EMS	Emergency Medical Services
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
EPCRA	Emergency Planning and Community Right to Know Act
ESF	Emergency Support Function
FBI	Federal Bureau of Investigation
FEMA	Federal Emergency Management Agency
FSR	Financial Status Report
GAN	Grant Adjustment Notice
GAO	Government Accountability Office
GAR	Grant Adjustment Request
GMS	Grant Management System
GPD	Grant Programs Directorate
GRT	Grant Reporting Tool
HAZMAT	Hazardous Materials
HMEP	Hazardous Materials Emergency Preparedness Planning Grant
HSEEP	Homeland Security Exercise and Evaluation Program
HSGP	Homeland Security Grant Program
ICS	Incident Command System
IED	Improvised Explosive Device

JIC	Joint Information Center
LEOP	Local Emergency Operations Plan
LEPC	Local Emergency Planning Committees
M & A	Management and Administration
MMRS	Metropolitan Medical Response System
MOU	Memorandum of Understanding
NEMA	Nebraska Emergency Management Agency
NEPA	National Environmental Policy Act
NIMS	National Incident Management System
NIMSCAST	National Incident Management System Capabilities Assessment Support Tool
NRF	National Response Framework
ODP	Office for Domestic Preparedness
OMB	Office of Management and Budget
PET	Planning Exercise and Training
RKB	Responder Knowledge Base
SAA	State Administrative Agency
SEOC	State Emergency Operations Center
SEOP	State Emergency Operations Plan
SERC	State Emergency Response Commission
SHSGP	State Homeland Security Grant Program
SOP	Standard Operating Procedure
SHSP	State Homeland Security Program
UASI	Urban Area Security Initiative Program
UTL	Universal Task List

# Glossary

THIS PAGE INTENTIONALLY HAS NO DATA

## Allowable/Non-Allowable Expenditures

Please refer to your specific grant guidance, or contact NEMA if you have questions about the acceptability of purchases.

## Capital Equipment

Capital Equipment is defined as items of conservable value and durability, other than real estate or software, which are used to provide a service.

## End user

The eligible agency/entity, as authorized pursuant to Homeland Security Grant Program Guidance (HSGP) / National Telecommunications & Information Agency (NTIA), that is provided equipment purchased with HSGP funds.

## Fair Market Value

A price at which buyers and sellers, with a reasonable knowledge of pertinent facts and not acting under any compulsion, are willing to do business.

## Local Sub-recipient

A local sub-recipient is defined as a local unit of government, specifically a county emergency management agency, or CCP or MMRS fiscal agent.

## Regional Sub-recipient

A regional sub-recipient is defined as a local unit of government designated and approved by a majority vote of the voting members of the Homeland Security Planning, Exercise and Training Regional Board to act as the fiscal agent on behalf of the region.

## Salaries

Salaries should be listed for each person being paid directly as a grant-paid employee. Fringe benefits should be included in the salaries line. Each person being paid with homeland security funds must be accountable for their time. Do not list overtime/backfill payments under salaries, as they are under either training or exercise expenses, as appropriate. Law Enforcement personnel salaries, as well as supplanting any existing salaries, are not allowed.

## State Sub-recipient

A State sub-recipient is defined as a Nebraska State Agency.

## Sub-Recipients Agreement

This is generated by the Nebraska Grant Management System (GMS) and sent via email to the sub-recipient point of contact. This document must be signed on the front cover page and at the end of the terms and special conditions page. Once signed, this document must be sent to the NEMA Grant Administrator.

## Subcontracts

Subcontracts are defined as written agreements for goods or services. The written contract must contain a set of objective deliverables for both the contractor and the contracting party. Payments for services may be by the hour, but should include a maximum payment. Payments may also be deliverables based. If requested, an actual copy of the subcontract must be submitted to a NEMA grant manager for approval prior to any work being initiated. The completion date for subcontracts may not exceed the project performance period minus 30 days. Sub-recipients must check <http://www.llis.gov> to check if any subcontractors or vendors are on the Debarment/Suspension list. Contracts must be attached in GMS when requesting reimbursement.