Homeland Security Grant Program

2012 Award Kickoff

October 2012

Topics

- 2012 Award Timeline – Key Dates
- Sub-Recipient Agreement (SRA)
- Grants Management Tool (SPARS)
- Biannual Strategy Implementation Report (BSIR)
- Milestone Entries
- Quarterly Reporting
- Updating POC & Elected Officials
- Expenditure Request Process
- FEMA Responders Knowledge Base (RKB)
- Expenditures Requiring Special Approval
  - EHP Reviews
  - SWIC Reviews
- Reimbursement Request Process
- THSSAA Monitoring
- Questions

Award Timeline – Key Dates

2012	NOV	DEC
	FY2012 Return Signed SRA 11/15/2012	FY2012 Enter Milestones 12/14/2012
	FY2012 Enter BSIR Data 11/30/2012	

2013	FEB	AUG	NOV
	FY2012 Submit EHPs 02/28/2013	FY2011 Period End Local Subrecipients 08/31/2013	FY2011 Period End COGS 11/30/2013

2014	JAN	FEB	APR	MAY	AUG
	FY2012 Period End Local Subrecipients 01/31/2014	FY2011 Period End UASI Core Cities 2/28/2014	FY2012 Period End COGS 4/30/2014	FY2012 Period End UASI Core Cities 05/31/2014	FY2011 and FY2012 Period End State Award & Maintenance Contracts 08/31/2014

Sub-Recipient Agreement (SRA)

This is a legally binding agreement between the SAA and each grant sub-recipient

For jurisdictions, it must be signed by the City Mayor or County Judge (or their documented designee)

For other grant recipients, it should be signed by the executive with legal financial signatory authority for the organization

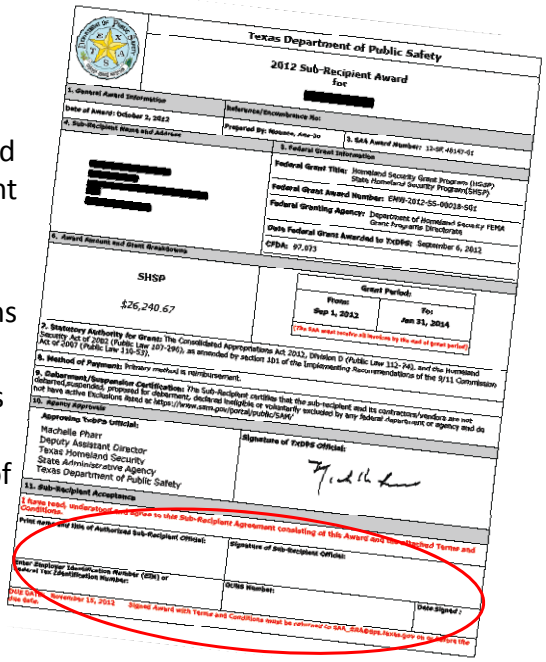
Instructions:

The Sub-recipient shall:

1. Fill in the information and sign the Grant Sub-Recipient Award;

2. Certify they have read and understand these Terms and Conditions;

3. Certify to the statements provided in Exhibits A, B, C and D located at the back of this document by filling in contact information and signing all exhibits, and



Texas Department of Public Safety

2012 Sub-Recipient Award for [redacted]

1. General Award Information

Date of Award: October 2, 2012

Reference/Encumbrance No:

Prepared by: Nasuna, Ana-Jo

3. SAA Award Number: 12-SF-48147-01

4. Sub-Recipient Name and Address

[redacted]

5. Federal Grant Information

Federal Grant Title: Homeland Security Grant Program (HSGP) State Homeland Security Program(SHSP)

Federal Grant Award Number: EMW-2012-SS-00018-S01

Federal Granting Agency: Department of Homeland Security FEMA Grant Programs Directorate

Date Federal Grant Awarded to TxDPS: September 6, 2012

CFDA: 97.073

6. Award Amount and Grant Breakdown

SHSP

$26,240.67

Grant Period:

From: Sep 1, 2012

To: Aug 31, 2014

(The SAA must receive all invoices by the end of grant period)

7. Statutory Authority for Grant: The Consolidated Appropriations Act 2012, Division D (Public Law 112-74), and the Homeland Security Act of 2001 (Public Law 107-296), as amended by section 101 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53).

8. Method of Payment: Primary method is reimbursement.

9. Debarment/Suspension Certification: The Sub-Recipient certifies that the sub-recipient and its contractors/vendors are not debarred,suspended, proposed for debarment, declared ineligible or voluntarily excluded by any federal department or agency and do not have active Exclusions listed at https://www.sam.gov/portal/public/SAM/

10. Agency Approval

Approving TxDPS Official:

Machelle Pharr
Deputy Assistant Director
Texas Homeland Security
State Administrative Agency
Texas Department of Public Safety

Signature of TxDPS Official:

11. Sub-Recipient Acceptance

I have read, understand and agree to the Sub-Recipient Agreement consisting of this Award and the attached Terms and Conditions.

Print name and title of Authorized Sub-Recipient Official:

Signature of Sub-Recipient Official:

Enter Employer Identification Number (EIN) or Federal Tax Identification Number:

DUNS Number:

Date Signed:

DHS SAA Deadline: September 19, 2012 Signed Award with Terms and Conditions must be returned to SAA_SRA@dps.texas.gov on or before the due date.

4. Return all documents via email to SAA_SRA@dps.texas.gov on or before the date provided in the transmittal letter and/or in this grant.

Signed SRA's
must be returned to the SAA by:

November 15, 2012

Remit signed SRA's to:

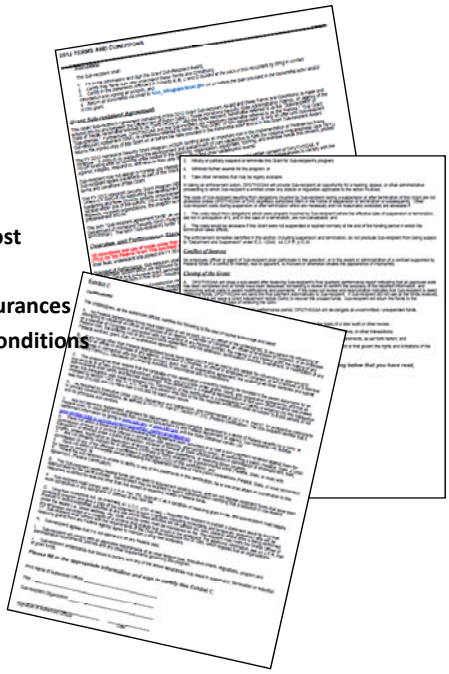
SAA_SRA@dps.texas.gov

Please send only **one** copy

No need to mail a hard copy!

Terms and Conditions

- Grant Sub-recipient Agreement
- Overview and Performance Standards
- Environmental Review
- Funding Obligations
- Performance Period
- Uniform Administrative Requirements, Cost Principals and Audit Requirements
- DHS Specific Acknowledgements and Assurances
- Operation Stonegarden (OPSG) Specific Conditions
- State Requirements for Grants
- Restrictions and General Conditions
- Other Requirements
- Monitoring
- Audit
- Retention and Accessibility of Records
- Legal Authority
- Notice of Litigation and Claims



Excerpt from 2012 Terms and Conditions:

Uniform Administrative Requirements, Cost Principals and Audit Requirements

Except as specifically modified by law or this Grant, Sub-recipient shall administer this Grant through compliance with the most recent version of all applicable laws and regulations, including but not limited to DHS program legislation, Federal awarding agency regulations, and the terms and conditions of this Grant. A non-exclusive list is provided below.

A. Administrative Requirements

1. 44 C.F.R. Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the A-102 Common Rule);
2. 2 C.F.R. Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations (OMB Circular A-110).
3. 44 C.F.R. Part 10, Environmental Considerations

B. Cost Principles

1. 2 C.F.R. Part 225, Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87)
2. 2 C.F.R. Part 220, Cost Principles for Educational Institutions (OMB Circular A-21)
3. 2 C.F.R. Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122)
4. 48 C.F.R. Subpart 31.2, Federal Acquisition Regulations (FAR), Contracts with Commercial Organizations

C. Audit Requirements

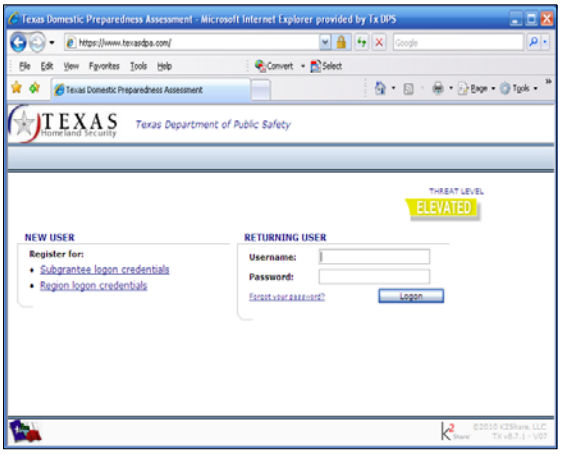
OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations.

D. Grant Guidance (Funding Opportunity Announcement)

Sub-recipient agrees that all allocations and use of funds under this Grant shall be in accordance with the applicable FY 2012 Funding Opportunity Announcement and supplemental resources for the HSGP currently available at http://www.fema.gov/pdf/government/grant/2012/fy12_hsgp_foa.pdf and the Nonprofit Security Grant Program (NSGP), http://www.fema.gov/pdf/government/grant/2012/fy12_nsgp_foa.pdf.

Grants Management Tool

State Preparedness Assessment and Reporting Service (SPARS) www.texasdpa.com

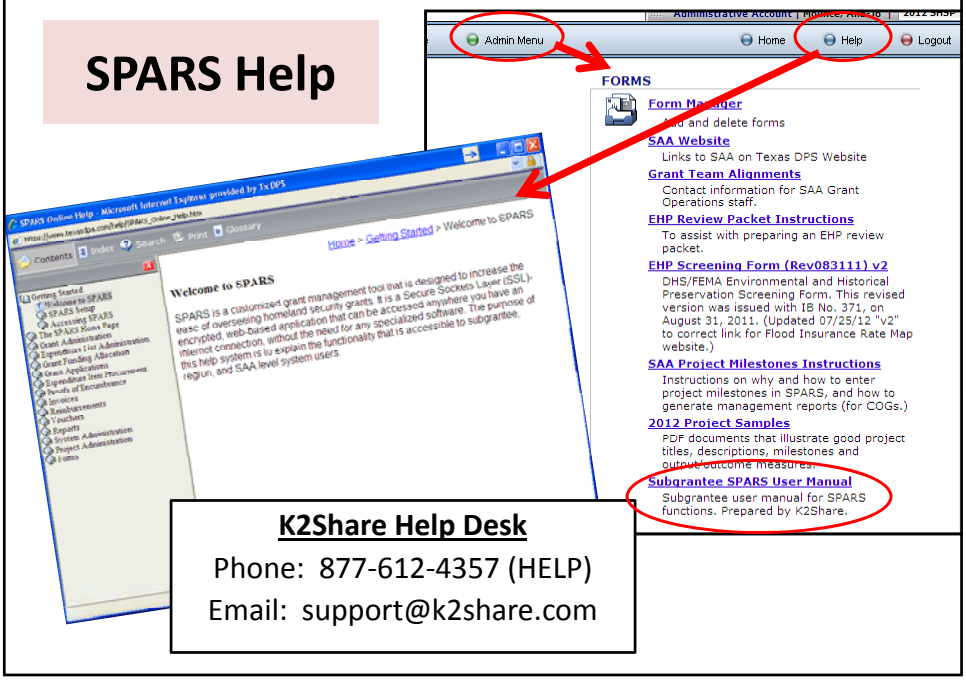


This is a secured website containing sensitive and proprietary information

Each authorized user must have their own account – do not share sign-ins

All activity is tracked

SPARS Help



K2Share Help Desk

Phone: 877-612-4357 (HELP)

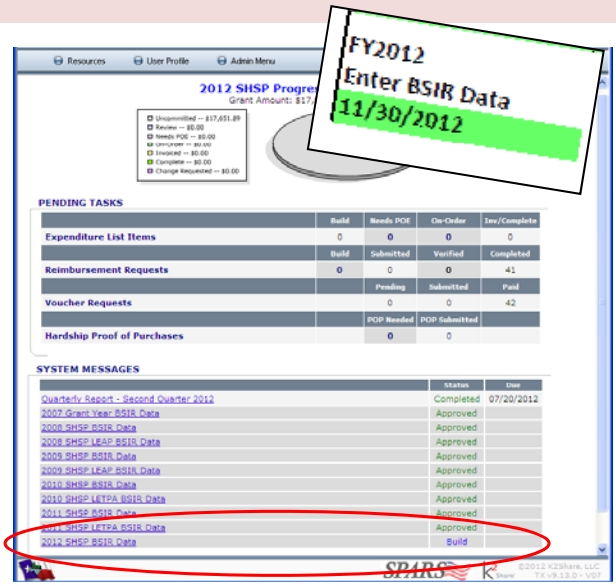
Email: support@k2share.com

BIANNUAL STRATEGY IMPLEMENTATION REPORT (BSIR)

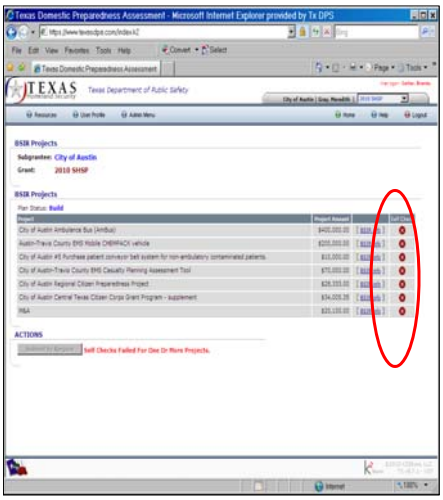
Sub-grantees must complete the BSIR information in SPARS to complete the award process

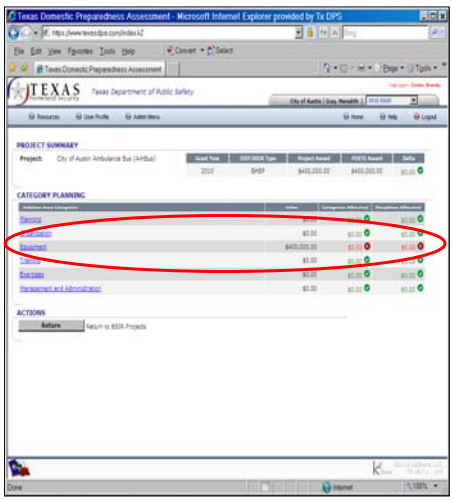
Click on one of the 2012 BSIR data links under the System Messages list and fill in information for ***each*** project and submit to the Region

The Regions will review the BSIR's for accuracy. When correct, they will submit to the SAA for review and approval

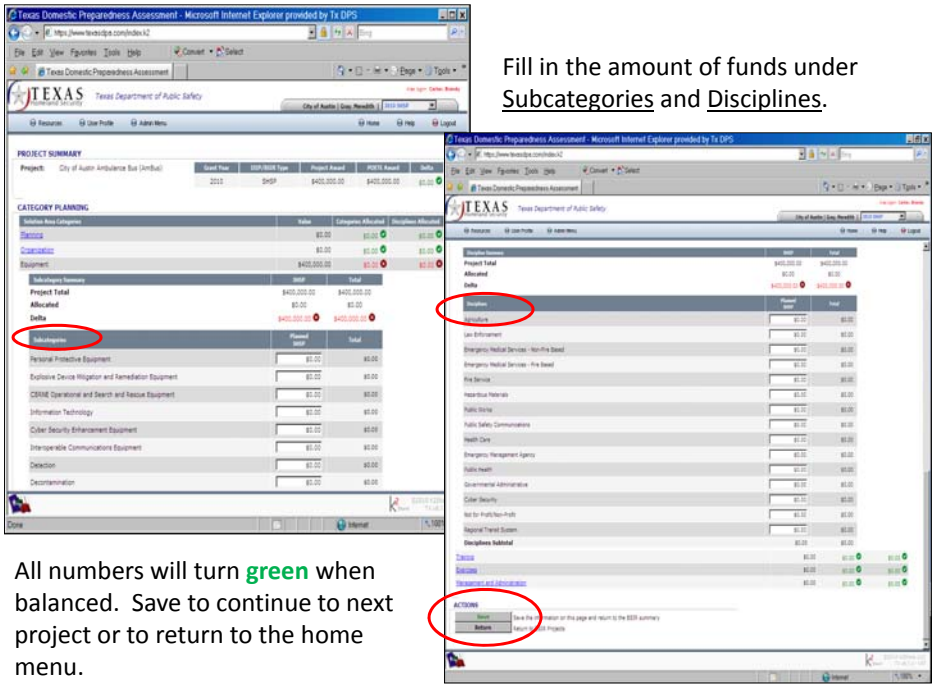


Select BSIR info under the projects that are **red** under Self Check.





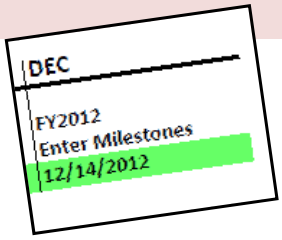
Select POETE category that is **red** under Categories Allocated & Disciplines Allocated.



Fill in the amount of funds under Subcategories and Disciplines.

All numbers will turn **green** when balanced. Save to continue to next project or to return to the home menu.

Milestone Entries



Reporting Objectives:

- Evaluate Project Progress
- Expedite Federal Fund Draw Downs
- Tell Our Story Internally and Externally

What is a Milestone: A milestone is a reference point that marks a major event in a project and is used to monitor the project's progress. The milestones for a project should present a clear sequence of events that will incrementally build up to completion of the approved project

Identifying Milestones:

Identify what the different critical tasks will be in realizing the project objective. These tasks will be your milestone markers.

Most HSGP projects would include (but should not be limited to) the following general milestones:

- Planning (EHP? FCC? FEMA Approval?)
- Expenditure Entry / SAA Approval
- Procurement (Bid Required?)
- Ordering
- Delivery (Vendor Fulfillment Issues?)
- Installation/Testing
- Reimbursement

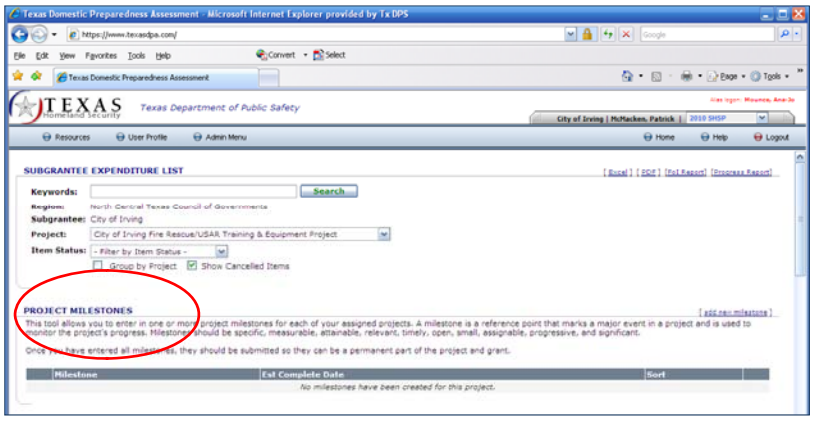
Milestones should be:

Specific • Measurable
Attainable • Relevant • Timely
Assignable • Progressive
Significant

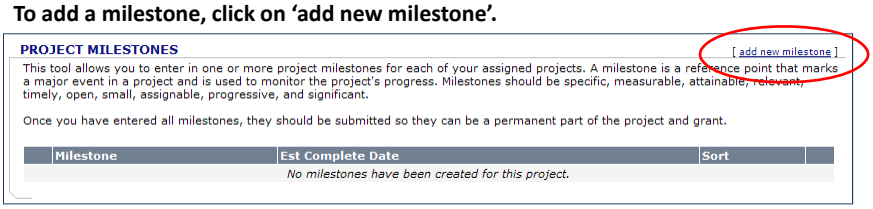
Identify the planned completion date for each milestone.

Milestones are entered on a grant-by-grant and project-by-project basis at the Local level. To access the milestone entry point:

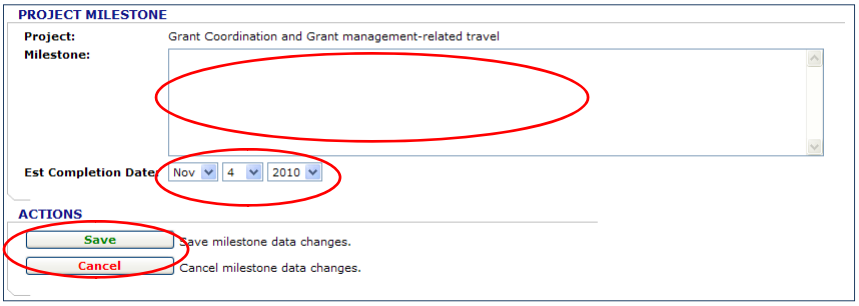
- ✓ Log in at your Local level account in SPARS.
- ✓ From the Home page select a project from the Project list at the bottom of the page. This will take you to the Subgrantee Expenditure List for that project.



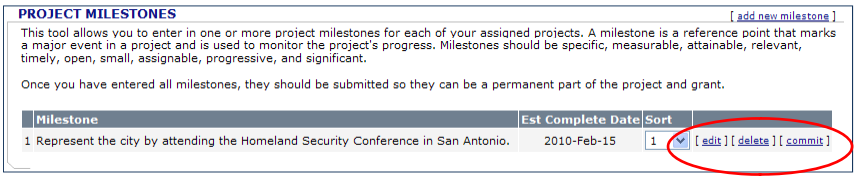
To add a milestone, click on 'add new milestone'.



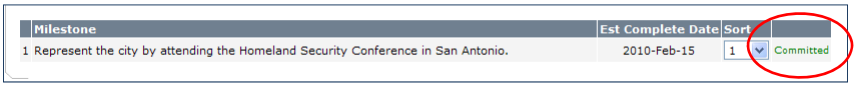
A narrative description should be entered into the text field and an estimated completion date entered where provided. If your milestone is for a period of time, choose the end date of the period for the completion date. Save your entry.

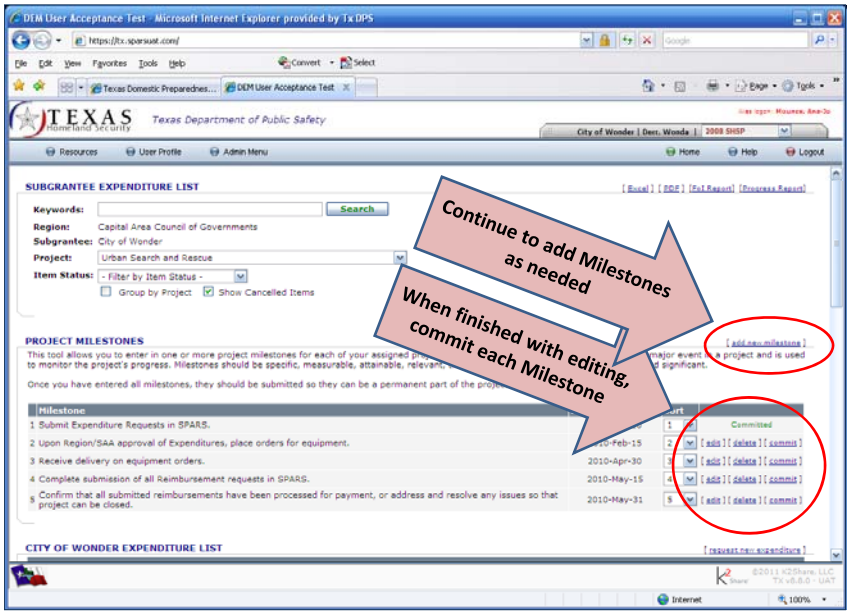


Once the Milestone is saved you will have the option to "edit," "delete," or "commit" it. Once a milestone is committed it becomes part of the project record and cannot be changed. Milestones will be listed on the quarterly reports, at which point you will report on progress toward each milestone.

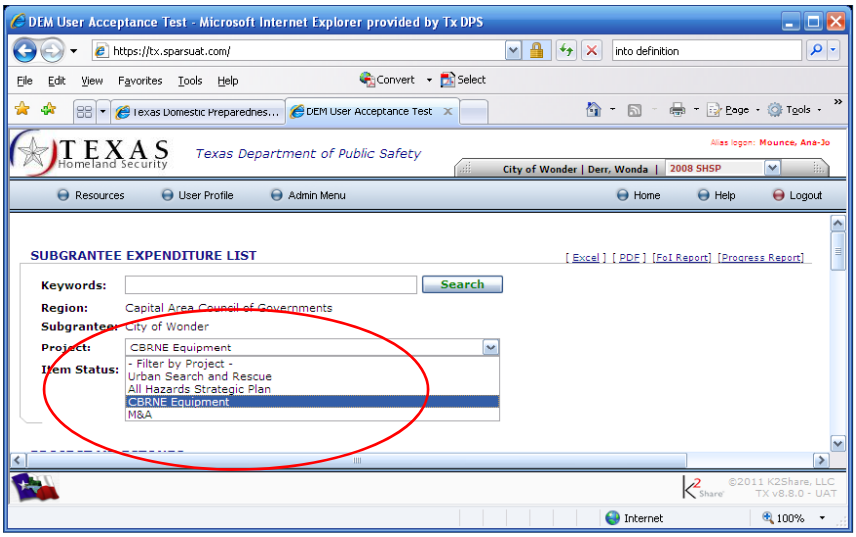


When the entry and editing of the milestone is complete, select "commit" to finalize the milestone entry. The status will then be indicated as "Committed." The "edit" and "delete" options will no longer be available. *Do NOT leave milestones in edit status indefinitely. If you need to make a correction, contact your SAA Grant Coordinator for assistance.*





Continue to select projects from the drop down menu and enter milestones for each project. Do the same for each grant program/year for which you received funding.



Quarterly Reporting

Mark % Complete

2011 SHSP

Project	Award	Obligated *	Expended *	% Complete
Project A Improve Communications Systems in the ATCOG region	$25,000.00	$0.00	$20,177.50	

Provide overall project assessment (provide specifics):
obtaining quotes

Project Milestones

1. Submit equipment expenditures in SPARS for approval

Indicate the relative weight of this milestone in completing the overall project:
1

Explain progress in detail:
obtaining quotes

2. Receive SAA approval on equipment for expenditures — 11-May-12

Indicate the relative weight of this milestone in completing the overall project:
1

Explain progress in detail:
obtaining quotes

Provide detailed information in all applicable sections

Report on Milestone progress

Reporting Periods

Jan 1 -Mar 31
April 1- June 30
July 1- Sept 30
Oct 1-Dec 31

Grant recipients are required to file quarterly progress reports on all open grants, and all projects

Due Dates

April 20
July 20
October 20
January 20

Updating POC & Elected Officials

It is important to keep contact information for jurisdiction POCs and elected officials up-to-date in SPARS.

On occasion this box will automatically come up when you sign in to do your quarterly reports

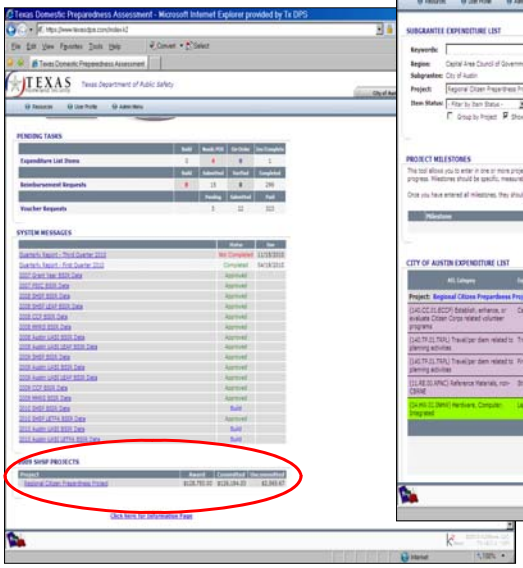
You will indicate that everything is current, or enter the correct information

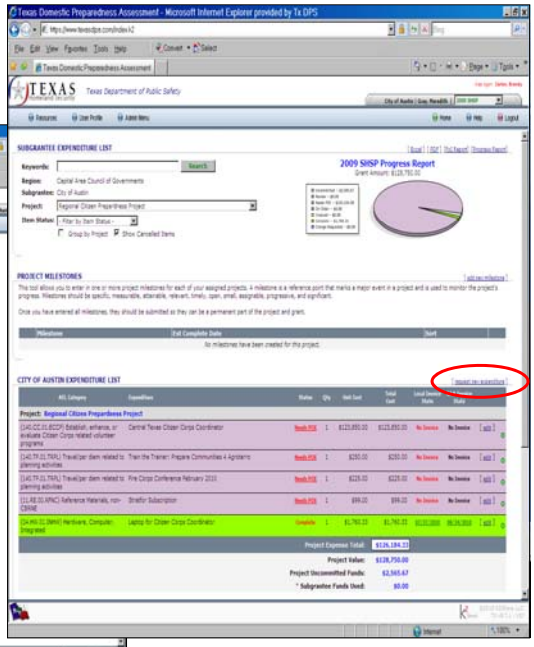
At other times, contact your Grant Coordinator at the SAA to submit updates to information

Expenditure Request Process

- Expenditures must be inline with the approved project scope as entered in SPARS
- Under the Description provide the 5 W's, especially:
  - What – Describe the product or service in plain language
  - Who/Where – Indicate the jurisdiction, department, etc. that will be using the equipment/service
  - Why – Explain how having the equipment/service will advance homeland security activities (law enforcement terrorism prevention relevance must be mentioned if LETPA projects) If this is well covered in the project description, there is no need to repeat that information
  - How – Explain what will be involved in the installation of any fixed-in-place equipment
- Provide other supporting documents; URL, proposals, quotes, specifications, EHP Approvals, SWIC Approvals, etc.

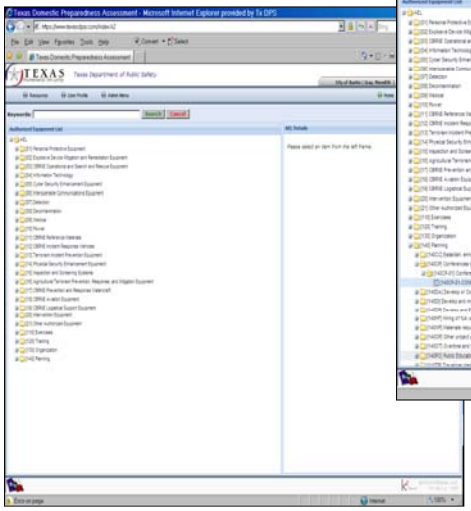
Select the project you want to add expenditures to from the project list on the Home Page

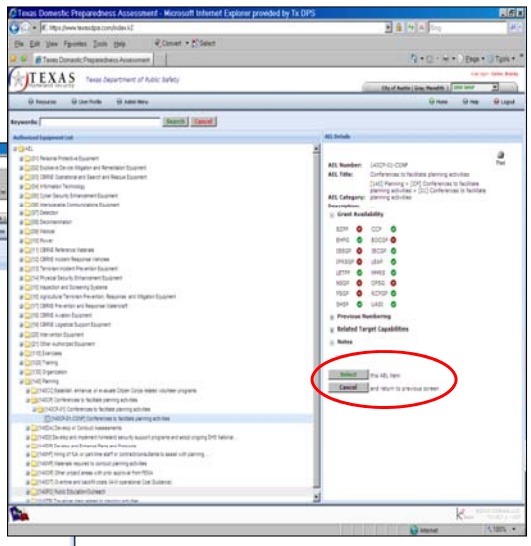




Select "request expenditure"

Select the appropriate code from the Authorized Equipment List (AEL) list, down to the lowest level possible (Reference the RKB online beforehand)

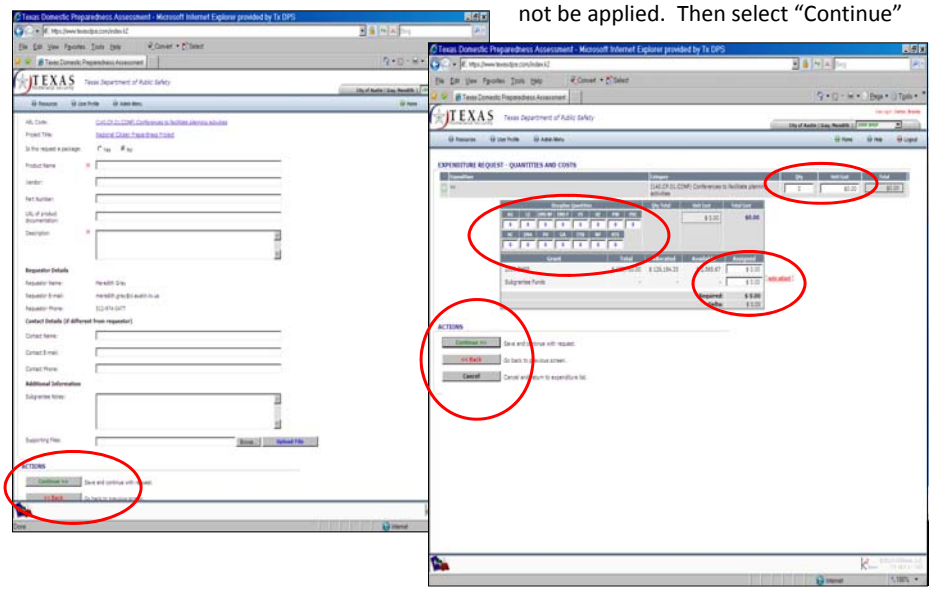


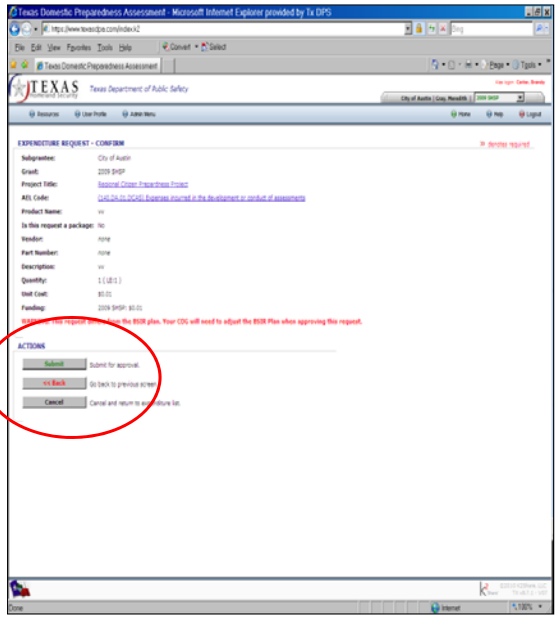


After verifying that the piece of equipment or service is allowable under the grant, click **"Select"**

Fill in all data fields on the request, then click "Continue"

Fill in Qty, Unit cost, and the Discipline. You **MUST click auto adjust** or funds will not be applied. Then select "Continue"





Review entry

You can go back and make corrections if needed

Submit sends your request to the Region for review

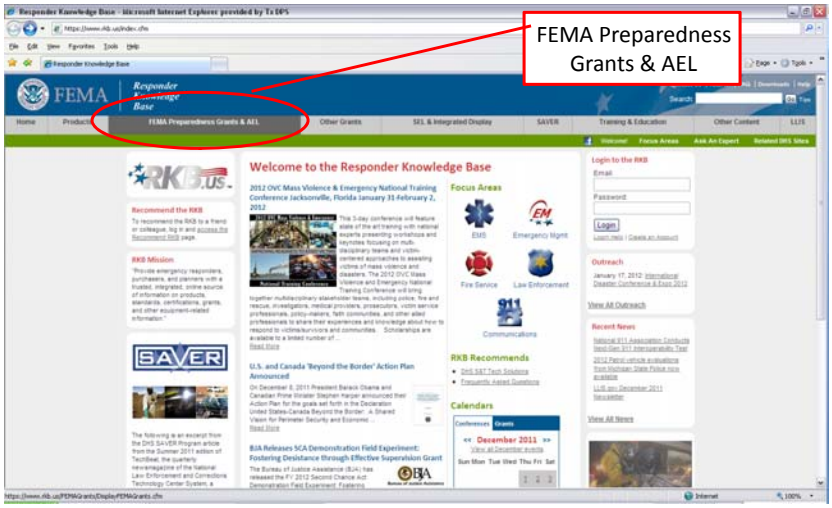
The Region will approve or deny your request

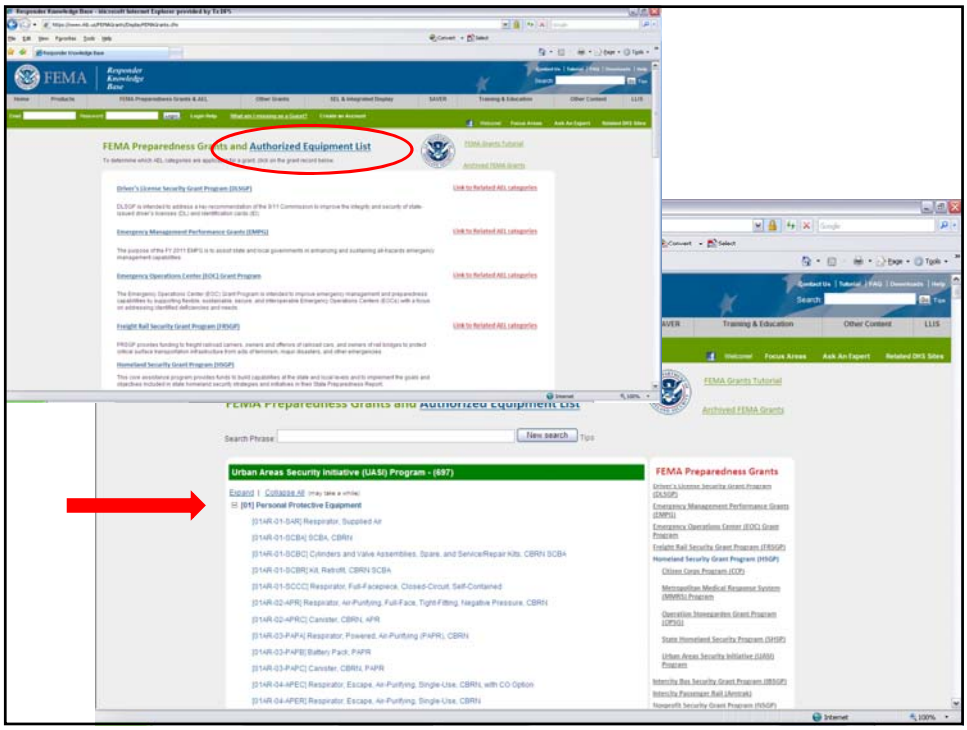
If denied the expenditure will return to you with reasons for the denial or a request for more information

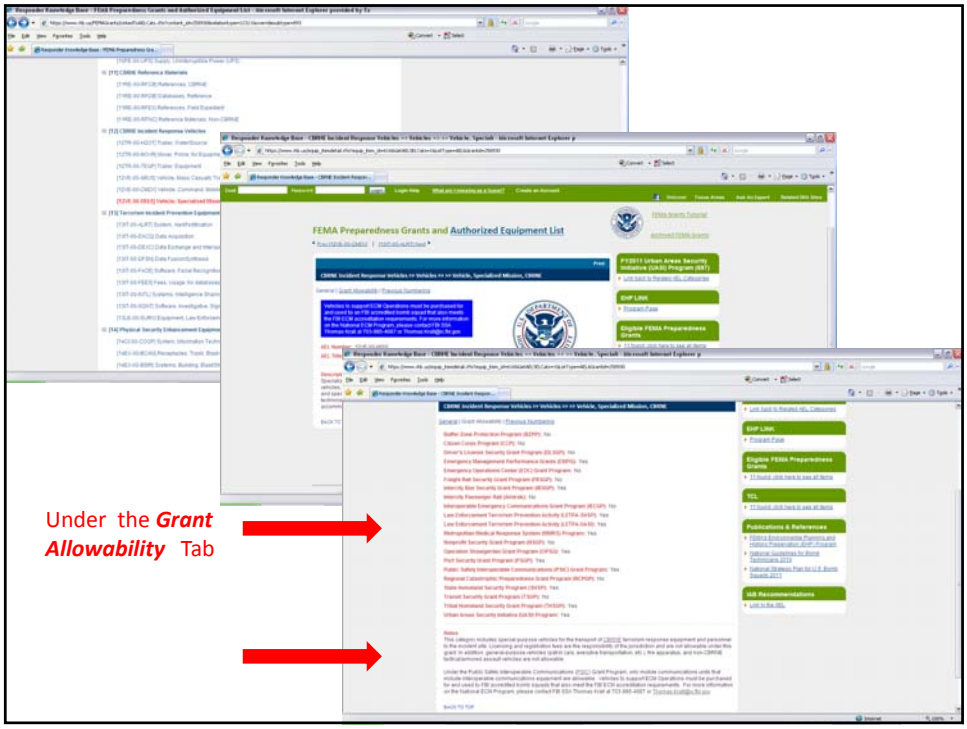
Expenditures approved by the Region will be submitted to SAA for review

FEMA Responders Knowledge Base (RKB)

https://www.rkb.us/





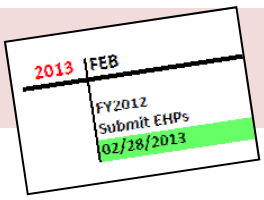


Expenditures Requiring Special Approval

Interoperable Communications Equipment: All interoperable communication equipment for projects that are $50,000 and greater will be reviewed by the Statewide Communications Coordinator's (SWIC) office

Installed Equipment/New Construction/Renovations: EHP Screenings are required for all grant funded equipment purchases or activities that require ground disturbance, installation of equipment, alterations to historical buildings/districts, or alterations to the natural environment; no matter how seemingly minor

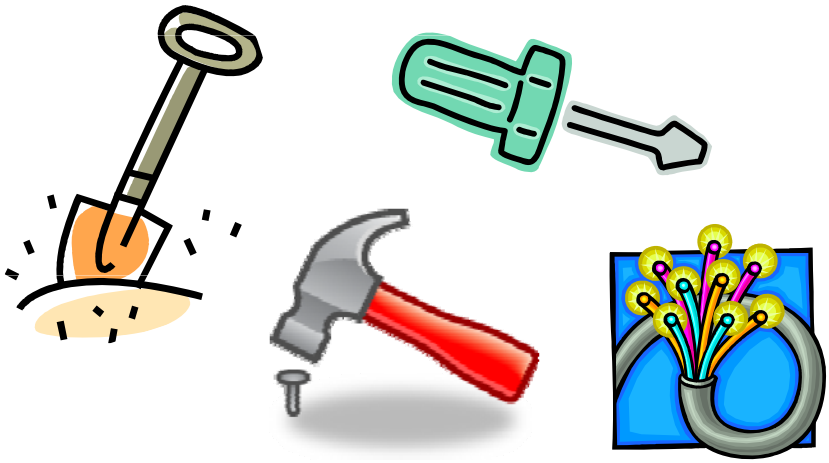
Boats and Aircraft: All boats and aircraft require review and approval from FEMA. Contact your Grant Coordinator for additional information if needed. Allow several months for the process.



EHP Reviews

- All projects funded with Federal grant dollars must comply with EHP laws, regulations, and Executive Orders
- Projects must be EHP approved ***before*** initiated
- FEMA may be required to consult with State Historic Preservation Office (SHPO), the U.S. Fish and Wildlife Service (FWS), or other interested parties

PROJECTS THAT REQUIRE EHP APPROVAL



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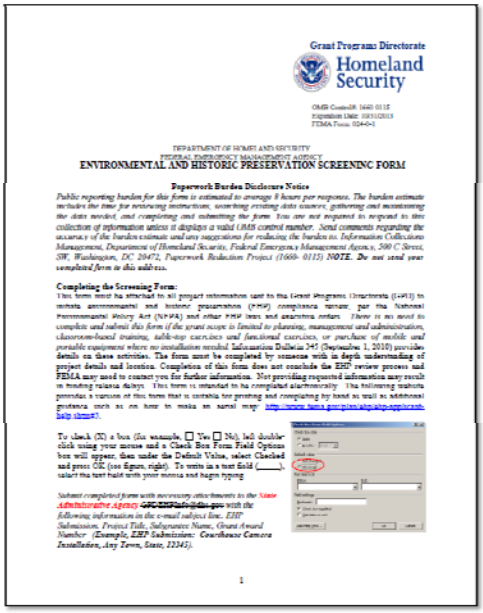
A properly completed EHP review packet will provide the necessary information to expedite the EHP review

- Screening Form
  (Version Rev083111)
- Photographs



Grant Programs Directorate
Homeland Security

DEPARTMENT OF HOMELAND SECURITY
FEDERAL EMERGENCY MANAGEMENT AGENCY

ENVIRONMENTAL AND HISTORIC PRESERVATION SCREENING FORM

Paperwork Burden Disclosure Notice

Public reporting burden for this form is estimated to average 8 hours per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and submitting the form. You are not required to respond to this collection of information unless it displays a valid OMB control number. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Department of Homeland Security, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472, Paperwork Reduction Project (1660- 0115) NOTE: Do not send your completed form to this address.

Completing the Screening Form:

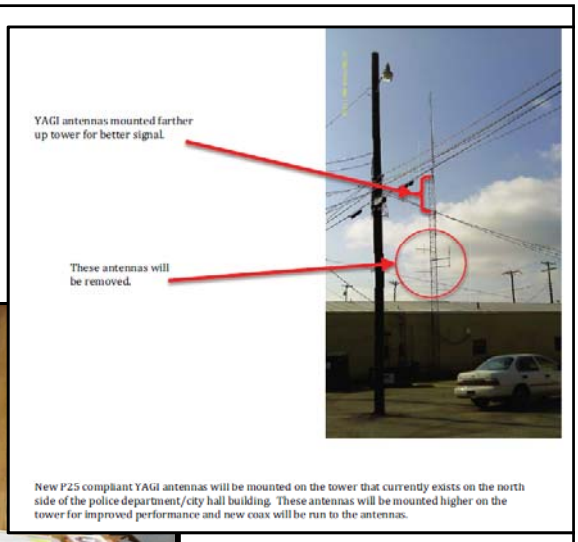
This form must be attached to all project information sent to the Grant Programs Directorate (GPD) to initiate environmental and historic preservation (EHP) compliance review, per the National Environmental Policy Act (NEPA) and other EHP laws and executive orders. *There is no need to complete and submit this form if the grant scope is limited to planning, management and administration, classroom-based training, table-top exercises and functional exercises, or purchase of mobile and portable equipment where no installation needed.* Information Bulletin 345 (September 1, 2010) provides details on these activities. The form must be completed by someone with in depth understanding of project details and location. Completion of this form does not conclude the EHP review process and FEMA may need to contact you for further information. Not providing requested information may result in funding release delays. This form is intended to be completed electronically. The following website provides a version of this form that is suitable for printing and completing by hand as well as additional guidance such as on how to make an aerial map: http://www.fema.gov/plan/ehp/ehp-applicant-help.shtm#7.

To check (X) a box (for example, ☐ Yes ☐ No), left double-click using your mouse and a Check Box Form Field Options box will appear, then under the Default Value, select Checked and press OK (see figure, right). To write in a text field (_____), select the text field with your mouse and begin typing.

Submit completed form with necessary attachments to the State Administrative Agency ~~GPD.EHPInfo@dhs.gov~~ with the following information in the e-mail subject line. EHP Submission, Project Title, Subgrantee Name, Grant Award Number (Example, EHP Submission: Courthouse Camera Installation, Any Town, State, 12345).

1

Colored photographs are required as part of the submission packet. Be sure that each is labeled with relevant information



Tips for a Timely EHP Review

- Start gathering documentation for your submittal as soon as you receive your award notice or in your planning phase
- Provide a clear and thorough project description: *What* work is being proposed, *where* will it take place, and *how* will it be carried out
- Properly label color photos
- Include any previous Master Plans, SHPO research, or other environmental documentation

Check with your SAA Grant Coordinator when uncertain about what/when to submit an EHP Approval

and Give Yourself Plenty of Time!

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EHP Resources

FEMA

EHP Program Homepage: http://www.fema.gov/plan/ehp
http://www.fema.gov/plan/ehp/ehp-applicant-help.shtm
http://www.fema.gov/plan/ehp/envdocuments/ea-region6.shtm

IS-253 Coordinating Environmental and Historic Preservation Compliance Course

http://training.fema.gov/EMIWeb/IS/is253.asp

EHP Screening Form (SPARS Forms-Admin Menu)

https://www.texasdpa.com

State Administrative Agency Website

http://www.txdps.state.tx.us/director_staff/saa/links.htm

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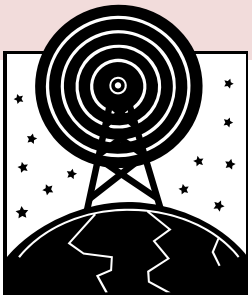
SWIC Reviews



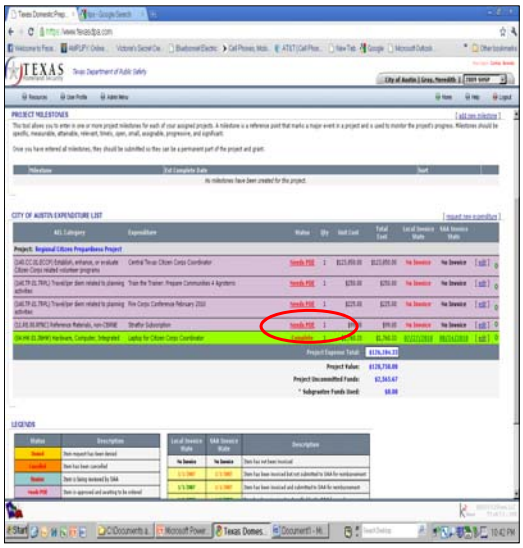
All communications projects $50,000 or more must be approved by the Statewide Communications Interoperability Coordinator (SWIC)

- Projects will only be accepted for review on the SWIC-approved spreadsheet
- Spreadsheet will be completed and signed by the vendor
- Submit completed spreadsheet to the SAA for processing
- Upon approval, SAA will provide documentation of the approval to attach to the expenditure request in SPARS

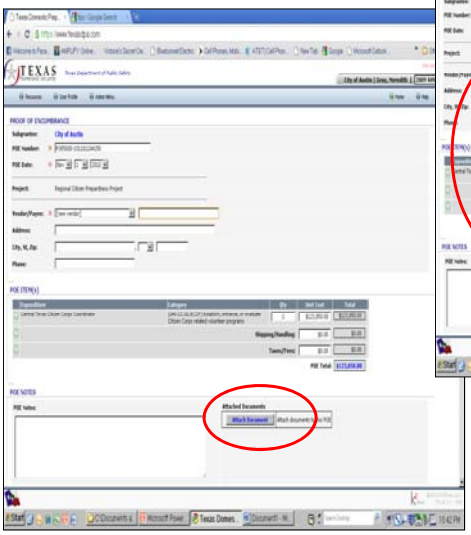
Reimbursement Request Process

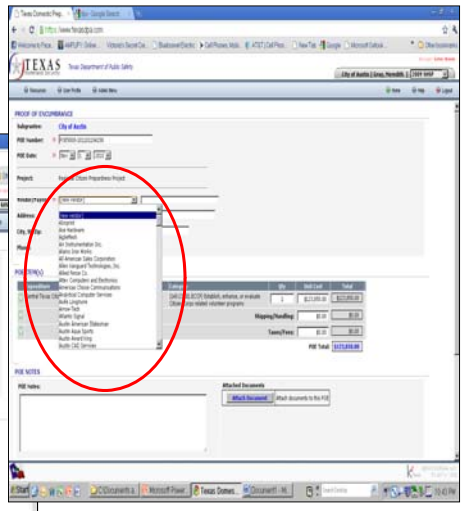
Each approved expenditure needs to be moved through the **Needs POE** (Proof of Encumbrance) Status in SPARS before a reimbursement request can be submitted.

From the expenditure list, click on the words, **Needs POE**



At the Proof of Encumbrance screen, fill in all data fields and attach any supporting documentation

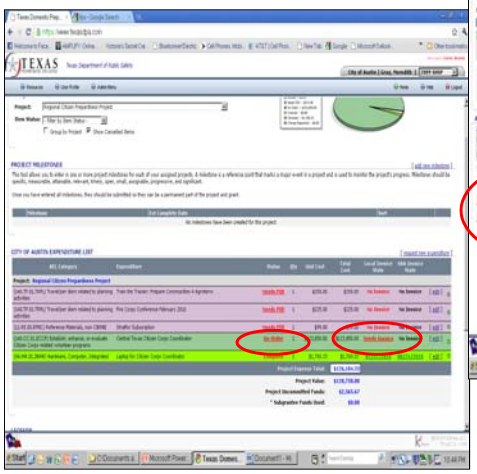


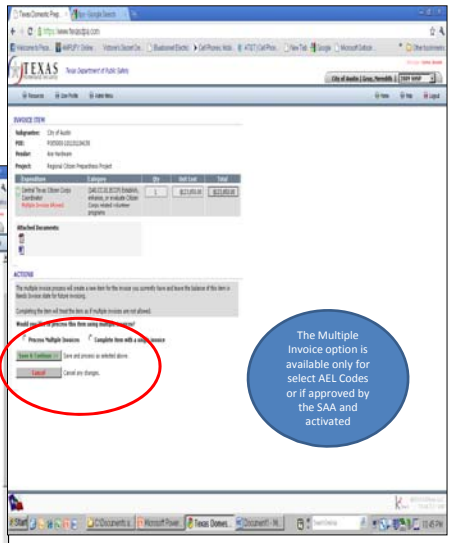


If the vendor has been previously used you can select them from the drop down menu.
Submit when completed.

Your item will now be in **ON ORDER** status. The item is now ready to be submitted for reimbursement

Click the words, **Needs Invoice**





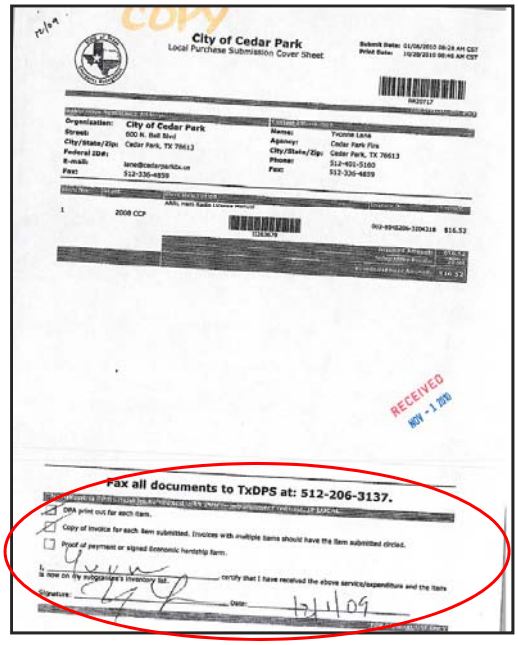
- Verify all information
- Select invoice choice
- Save & Continue

A cover sheet will generate when the reimbursement request is submitted

You will have a sheet for each item on the request

IMPORTANT: Even though you push submit in SPARS this does NOT mean you have completed the submission. You **MUST** sign the cover sheet and e-mail (or fax) it to the SAA with other required documents

Send emails to:
SAA_RR@dps.texas.gov



The Process In Summary….

1) Request reimbursement thru SPARS

2) Upload a copy of the invoice and proof of payment in SPARS

3) E-mail (or fax) the SPARS generated cover sheet and any supporting documents to SAA Business Operations Section at **SAA_RR@dps.texas.gov** (or by fax to 512.206.3137)

If you have questions about the process, contact your Grant Coordinator or Grant Technician for assistance

The Details….

- Reimbursements can only be made **after** services and equipment are delivered in full
- Reimbursement Requests **must include**:

Supporting documentation

*Invoices *Purchase Order *Receiving Report/Packing List

Proof of Payment

*Canceled Check *General Ledger

*Credit Card Statement or Credit Card Transaction List, **and** proof that the credit card bill was paid

For additional information on supporting documentation requirements, see SAA IB 11-005, *Grant Expenditure Reimbursement Request Supporting Documentation*

Continued…

- Signed Hardship Letter (if needed)
- Submit M&A and Planning reimbursement requests monthly (salaries, rent, supplies, etc.)
- Individual items cannot be reimbursed in segments
- Down payments/advance payments/milestone payments are not allowed
- Discounts must be integrated into the price of the item or service

Common Causes for Reimbursement Delays:

- Not taking the second step in the process

  SPARS online submission is the first step. The second step is sending in the signed coversheet and supporting documentation. Omitting this second step will delay your reimbursement.

- Not providing the proof of payment or a receiving report
- SPARS data entry errors: incorrect dates, invoice number, vendor names
- Rounding unit prices

Final Notes…

- Payments will take approximately 3 to 4 weeks for direct deposit of funds
- Hardship/Advance Payments: Upon receipt of the advance funds, a Subgrantee has **15 days** to pay the vendor. The Subgrantee then has **30 days**, after payment to the vendor, to submit proof of payment to the SAA.

THSSAA Monitoring

What is Monitoring?

- Sub-recipient Monitoring is required by the 44 CFR and the Texas Uniform Grant Management Standards (UGMS)
- The Monitoring sections mission is to ensure grant sub-recipients comply with State and Federal Regulations
- Reporting Process
- Technical Assistance

How does the Monitoring Process Work?

Jurisdictions are chosen by the THSSAA Risk Assessment

Notification Process

Monitoring is accomplished by Desk and On-site visits

Reporting Process - Report and Corrective Action Plan

Technical Assistance - helps to clarify and provide guidance for the completion of the Corrective Action Plan

Information Bulletin # 12-003

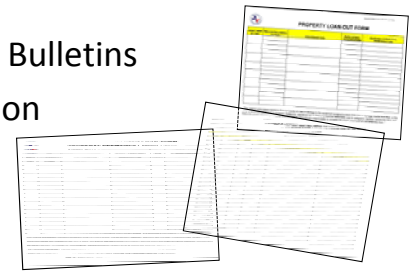
- Released June 29, 2012
- Provides requirements for the use of the EPLS System-Federal Debarment
- All Sub-recipients are required to abide by this information bulletin and have a written local policy
- Not vendor self certification!
- Must be verified regardless of tier or unit cost
- THSSAA IB # 12-003 is located at : (http://www.txdps.state.tx.us/director_staff/saa/documents/saa12-003.pdf)

Information Bulletin # 12-004

- Released May 24, 2012
- Provides requirements for the management of grant funded assets
- All Sub-recipients are required to abided by this information bulletin
- Updates to New IB:
  - Definitions
  - Expanded Control Items List
  - Updated tagging procedures
- THSSAA IB # 12-004 is located at : (http://www.txdps.state.tx.us/director_staff/saa/documents/saa12-004.pdf)

For More Information

- Please Visit the THSSAA Monitoring page located at http://www.txdps.state.tx.us/director_staff/saa/audit_and_compliance.htm
- The page provides:
  - Access to Information Bulletins
  - Monitoring Presentation
  - Monitoring Forms



Questions?

Presented by:
The Texas Homeland Security
State Administrative Agency

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