

# STATE ADMINISTRATIVE AGENCY

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## Sub-recipient Manual: Volume II

November 2011



# SAA Sub-recipient Manual: Volume II

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## **I. EXPENDITURES**

After grant awards have been made to sub-recipients for approved projects, each sub-recipient should begin the process of creating expenditure requests. Before expenditure requests can be submitted, each sub-grantee should:

- Certify that the terms and conditions have been read by initialing the bottom of each page of the Sub-Recipient Agreement (SRA).
- Certify the statements provided in Exhibits A, B, and C located at the back of the document by filling in the contact information and signing both exhibits.
- Fill in contact information.
- Submit their signed SRAs along with the signed Terms and Conditions to the SAA. These must be signed by the elected official, executive director, or other designated representative.
- Complete the Biannual Strategy Implementation Report (BSIR) information in the State Preparedness Assessment and Reporting Service (SPARS). New users may apply for an account online and access SPARS at <https://www.texasdpa.com>.

Regions should ensure the BSIR information is completed and accurate, and then submit to the SAA for review and approval.

### **A. PERFORMANCE PERIODS**

Sub-recipient performance periods may vary by grant. Allowable expenditures are only authorized during the approved performance period of the grant. All items must be received and invoices should be submitted to the SAA before the end of the performance period.

Sub-recipients should refer to their SRAs or Grant Adjustment Notice (GAN) for the specific beginning and ending dates for the performance period of specific grants. Realize that some grants that are awarded in the same year may have different periods of performance.

Performance periods for sub-recipients may also vary from the federal performance period of each grant. This allows for a timely reallocation of grant funds at the local, regional, and state level.

### **B. ADDITIONAL GRANT GUIDANCE**

For additional information related to guidelines and regulations for spending grant funds, sub-recipients should review and understand the following:

- FEMA/DHS Guidance and Application Kit for each specific grant found at: <http://www.fema.gov/government/grant/index.shtm>

- FEMA/DHS Information Bulletins (FEMA/DHS IB) found at:  
<http://www.fema.gov/government/grant/bulletins/index.shtm>
- SAA Information Bulletins (SAA IB) found in Appendix A
- Allowable/Unallowable Costs
  - Allowable Cost and Allowable Cost Matrix for the specific grant funding can be found in the appropriate FEMA/DHS Guidance and Application Kit
  - Responders Knowledge Base (RKB) – See information below
- Environmental Planning and Historical Preservation (EHP)
  - FEMA/DHS IB#329, Environmental and Historical Preservation Requirements for Grants
- Milestones and expenditure timelines
- Review Match / Cost Sharing Guidelines, if applicable, found in the appropriate FEMA/DHS Guidance and Application Kit (link above).
- Assurances and Certifications
- State and Federal laws, policies, and regulations regarding:
  - Lobbying
  - Debarment and Suspension
  - Drug-free Workplace
  - Nondiscrimination
- Davis-Bacon Act on wage determinations for federally funded projects
- FEMA Forms (FF) 20-16A,B,C

### **C. AUTHORIZED EQUIPMENT LIST AND RESPONDER KNOWLEDGE BASE**

Allowable prevention, protection, response, and recovery equipment categories and equipment standards for all homeland security grant programs are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB) website at <https://www.rkb.us>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. In addition, grant recipients will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

### **D. ENVIRONMENTAL PLANNING AND HISTORIC PRESERVATION COMPLIANCE**

FEMA is required to consider the potential impacts to the human and natural environment of projects proposed for FEMA grant funding. FEMA, through its Environmental Planning and Historic Preservation (EHP) Program, engages in a review process to ensure that FEMA-funded activities comply with various Federal laws including: *National Environmental Policy Act*; *National Historic Preservation Act*; *Endangered Species Act*; the *Clean Water Act*; and Executive Orders on Floodplains (11988), Wetlands (11990), and Environmental Justice (12898).

The goal of these compliance requirements is to protect our nations water, air, coastal, wildlife, agricultural, historical, and cultural resources, as well as to minimize potential adverse effects to low-income and minority populations. The grantee shall provide all relevant information to the SAA for FEMA Grants Program Directorate review and approval to ensure compliance with applicable Federal EHP requirements. Any project with the potential to impact **natural or biological resources** or **historic properties** cannot be initiated until FEMA has completed the required EHP review. In addition to a detailed project description that describes what is to be done with the grant funds, how it will be done, and where it will be done, grantees shall provide detailed information about the project (where applicable), including, but not limited to, the following:

- Project location (i.e., exact street address or map coordinates)
- Total extent of ground disturbance and vegetation clearing
- Extent of modification of existing structures
- Construction equipment to be used, staging areas, etc.
- Year that any affected buildings or structures were built
- Natural, biological, and/or cultural resources present within the project area and vicinity, including wetlands, floodplains, and geologic resources, threatened or endangered species, or National Register of Historic Places listed or eligible properties, etc.
- Visual documentation such as good quality, color and labeled site and facility photographs, project plans, aerial photos, maps, etc.
- Alternative ways considered to implement the project (not applicable to procurement of mobile and portable equipment)

For more information, please read FEMA/DHS Information Bulletin #329, Environmental and Historical Preservation Requirements for Grants:

<http://www.fema.gov/government/grant/bulletins/index.shtm>.

## E. COST PRINCIPLES

Federal cost principles are intended to establish a uniform approach for determining costs and promoting effective program delivery, efficiency, and better relationships between grant recipients, sub-recipients, and the Federal government. The principles are promulgated to determine allowable costs, enforce compliance with Federal grant requirements, and ensure that the Federal Government bear its fair share of costs except where restricted or otherwise prohibited by law.

Additionally, Federal cost principles are applied by all Federal agencies in determining costs incurred by state governmental units under performance of a federal award. These principles are likewise applicable to all sub-awards and affiliated sub-recipient organizations.

- **OMB Circular A-21:** *Cost Principles for Educational Institutions* (2 CFR Parts 215 and 220).

- **OMB Circular A-87:** *Cost Principles for State and Local Governments* (2 CFR Part 225).
- **OMB Circular A-102:** *Grants and Cooperative Agreements With State and Local Governments* (44 CFR Part 13).
- **OMB Circular A-122:** *Cost Principles for Non-Profit Organizations* (2 CFR Part 230).
- **OMB Circular A-133:** *Audit of States, Local Governments, and Non-Profit Organizations*
- **48 CFR Chapter 1, Part 31:** *Contract Cost Principles and Procedures*.

All four cost principles contain similar allocability, reasonableness, consistency, and documentation requirements. Each OMB circular contains allowability determinations for individual cost items.

The following outline summarizes general cost requirements applicable to each circular and identifies, defines, and summarizes individual cost items and discusses the allowability and any accompanying conditions or restrictions. The outline first summarizes general requirements applicable to all costs and then lists individual cost items under "Allowed," "Disallowed," and "Allowability Determinations" headings.

## **F. MATCH/COST SHARING**

This means the value of the third party in-kind contributions and the portion of the costs of a federally-assisted project or program not borne by the Federal Government. All cost-sharing or matching funds claimed against a FEMA grant by State, local or Tribal governments must meet the requirements of the program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225.

**Cash Match:** This includes cash spent for project-related costs under a grant agreement. Allowable cash match must include only those costs which are allowable with Federal funds in compliance with the program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225.

**In-kind Match:** This means contributions of the reasonable value of property or services in lieu of cash which benefit a federally-assisted project or program. This type of match may only be used if not restricted or prohibited by OMB Circular A-102 or other program statute, regulation or guidance and must be supported with source documentation. Only property or services that are in compliance with program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225, are allowable:

**For costs to be eligible to meet matching requirements, the costs must first be allowable under the grant program.** The costs must also be in compliance with all Federal requirements and regulations (e.g., 44 CFR Part 13 and 2 CFR Part 225); the costs must be reasonable, allowable, allocable, and necessary. Records for all expenditures relating to cost sharing or matching must be kept in the same manner as those for the grant funds.

EXAMPLE: The Emergency Management Director has 50% of his/her salary paid from State funds and 50% paid from Federal grant funds, but 60% of his/her time is spent on the Federal grant program that only pays 50% salary. The additional 10% of time toward the Federal grant program can be claimed as an in-kind match. All record keeping requirements to prove the 60% time allocation apply.

**G. ALLOWABLE/UNALLOWABLE COSTS**

**Allowable costs are listed in the applicable Grant Guidance and Application kit. For more information on equipment allowability, please refer to the RKB.**

Reimbursable costs incurred before grant award may be allowable only with the written consent of DHS requested through the SAA, and only if they are included in the award agreement.

**H. BUDGET AND PROJECT REVIEW COST ANALYSIS**

Below is a list of general items to consider when planning budgets and project costs. The table below provides a method of considering when allowable costs are necessary. Sub-recipients should be prudent when determining expenditures, and contact an SAA grant coordinator if they are unsure about a particular cost or would like more detailed information.

| Allowable  | Allocable   | Reasonable   | Necessary   |
|--|---|--|---|
| <ul style="list-style-type: none"> <li>• Necessary and reasonable</li> <li>• Conforms to the Cost Principles and grant’s Terms and Conditions</li> <li>• Authorized or permitted by law or regulation</li> <li>• Treated consistently as a direct or indirect cost</li> <li>• Adequately documented</li> </ul> | <ul style="list-style-type: none"> <li>• Chargeable and assignable to cost categories</li> <li>• Incurred solely to advance the work under the sponsored agreement</li> <li>• Necessary to the overall operation of the agreement</li> <li>• Not charged to other Federal awards</li> </ul> | <ul style="list-style-type: none"> <li>• Reasonable costs are determined by the prudent person test (i.e., charge amount not excessive and within the bounds of common sense)</li> </ul> | <ul style="list-style-type: none"> <li>• A cost that is necessary for proper and efficient performance and administration of the grant</li> </ul> |

## **Budget Review Considerations**

### **1. Personnel**

- a. Is the basis for determining each employee's compensation described (annual salary and % time devoted)
- b. Is each position identified by title?
- c. Are time commitments and the amount of compensation stated and reasonable?
- d. Are salary increases anticipated during the grant period and are they justified (COLA, etc.)
- e. Fringe Benefits
  - i. Is the amount specified as a separate line item?
  - ii. Is each type of benefit indicated separately or does the organization provide a fringe benefit rate?

### **2. Travel**

- a. Is the basis for computation provided?
- b. Is the travel necessary for the purpose of the program?
- c. Are travel costs separately identifiable and reasonable: including transportation, hotel, meals, mileage, etc?
- d. Does the organization have a written travel policy?
- e. Do travel policies adhere to State and federal Uniform Grant Management Standards?

### **3. Equipment**

- a. Are equipment items specified by unit and cost?
- b. Is the request reasonable and allowable under the project?
- c. Does the organization have a procurement policy in place?

### **4. Supplies**

- a. Are supplies listed separately?
  - i. Office
  - ii. Training
  - iii. Research
  - iv. Other types of supplies
- b. Is the basis for the cost reasonable?
- c. Monthly estimates may be necessary for certain types of supplies

### **5. Contractual**

- a. Is the type of each service to be rendered described?
- b. Does the contract include personnel?
  - i. Is an hourly, daily, or weekly base rate given?
  - ii. Are rates allowable, justified, reasonable, and comparable to market?

- c. Is the procurement method described?
- d. Was procurement competitive bid, interagency agreement, sole source, etc.?

**6. Other**

- a. Are items listed by major type (space rental, printing, phone, maintenance, etc.)?
- b. Space rental:
  - i. Is facility owned by grantee organization? (do not charge “rental” costs to grant)
  - ii. Are maintenance costs included?
  - iii. Is the square footage and cost per square foot provided?
  - iv. Are all costs justified, reasonable, and allowable?

**7. Indirect Costs**

- a. Are costs incurred for common or joint objectives?
- b. Can costs be readily allocated to a particular award / project?
- c. Do costs contribute to recipient’s ability to support projects and programs and sustain organization’s daily operations?
- d. Is there a Negotiated Indirect Cost Rate Agreement?
- e. Is there a ratio or percentage of total indirect costs to direct cost?
- f. Indirect Cost Examples:
  - i. Administrative salaries such as executive director or finance staff
  - ii. Supplies
  - iii. Costs of operating and maintaining facilities, equipment, grounds, etc.
  - iv. Depreciation or use allowances

**8. Management and Administrative (M&A) Costs**

- a. Are costs incurred to directly administer a particular program/award?
- b. Are these costs identifiable and unique to each program/award?
- c. Can the costs be charged based on the activity performed for that particular project?
- d. M&A Cost Examples:
  - i. Hiring full-time/part-time staff or contractors/consultants for grant administration and reporting
  - ii. Responses to State/DHS data calls
  - iii. Travel expenses directly related to program administration
  - iv. Meeting-related expenses directly related to program administration

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## II. EXPENDITURE REQUESTS

Once SRAs and other required grant documentation is completed and submitted, jurisdictions can begin creating and submitting expenditure requests. All requests should be created in SPARS after sub-recipients have reviewed the appropriate grant guidance information for the specific grant award. *(For details on SPARS entry, please refer to the SPARS User Guide by clicking on the “Help” button after logging on to <https://www.texasdpa.com>.)*

### A. APPROVAL PROCESS

New expenditure requests are submitted by sub-recipients to their respective Regions or UASI. The region or UASI may then:

- **Approve** and send expenditure to SAA Grant Coordinator for review. The status in SPARS changes to “Review at SAA”
- **Ask for More Information** and send the request back to the jurisdiction for additional information. The jurisdiction must resubmit to the Region/UASI with requested information.
- **Deny** and the request is returned back to the jurisdiction with notes from the region outlining the reason for denial. The status in SPARS is “Denied”.

Once the Region or UASI approves the expenditure, it is submitted to SAA. A grant coordinator will review the request and:

- **Approve.** The expenditure is approved and SAA changes the status in SPARS to “Needs POE”.
- **Ask for More Information.** The request goes back to the Region and jurisdiction for additional information. The jurisdiction must resubmit to the Region/UASI with requested information.
- **Denied.** The request is returned back to the jurisdiction with notes from the SAA and Region outlining reasons for the denial. The status in SPARS is “Denied”.

**Some expenditures require special approval.** All interoperable equipment requests of \$50,000 or more will be reviewed by the Statewide Communications Coordinator. This will assist with the Statewide Interoperable Communications Plan (SWIC) and also assist in standardizing purchases. Certain expenditures may also require an Environmental and Historical Preservation Program approval from FEMA. Jurisdictions should verify whether or not any project they are undertaking requires EHP approval, especially those involving construction or the installation of equipment. In addition, certain grants, such as Operation Stonegarden, go through a specific approval process. Sub-recipients should check with an SAA grant coordinator to see if any of their expenditure requests require special approval.

**B. CREATING AN EXPENDITURE REQUEST**

1. Create expenditure request in SPARS.
  - a. Select appropriate grant year.
  - b. Select project where expenditures will be added.

The screenshot shows the Texas Domestic Preparedness Assessment web application. The main content area displays the "2010 SHSP Progress Report" with a grant amount of \$180,000.00. A pie chart shows the distribution of funds, and a "THREAT LEVEL" indicator is set to "LOW". Below the report is a "PENDING TASKS" table and a "SYSTEM MESSAGES" table. A dropdown menu is open on the right side, showing a list of grant years from 2004 to 2010. A red arrow points to the "2010 SHSP" option in the dropdown. Another red arrow points to the "2010 SHSP PROJECTS" table at the bottom of the page.

| Category         | Amount       |
|------------------|--------------|
| Uncommitted      | \$12,500.00  |
| Review           | \$0.00       |
| Needs POP        | \$0.00       |
| On-Order         | \$147,480.00 |
| Involved         | \$0.00       |
| Exclude          | \$0.00       |
| Change Requested | \$0.00       |

| Task                        | Build | Needs POP  | On-Order      | Inv/Complete |
|-----------------------------|-------|------------|---------------|--------------|
| Expenditure List Items      | 0     | 0          | 1             | 0            |
| Reimbursement Requests      | 2     | 2          | 0             | 100          |
| Voucher Requests            | 0     | 0          | 1             | 100          |
| Hardship Proof of Purchases | 0     | POP Needed | POP Submitted | 27           |

| Project  | Award        | Committed    | Uncommitted |
|--|--------------|--------------|-------------|
| Parker County Homeland SAR rapid response vehicles | \$180,000.00 | \$147,480.00 | \$12,500.00 |

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### 2. Select 'Request New Expenditure'.

**TEXAS** Homeland Security Texas Department of Public Safety  
Parker County | Cloud, Janice | 2010 SHSP

Resources | User Profile | Admin Menu | Home | Help | Logout

#### SUBGRANTEE EXPENDITURE LIST

[Risk] [FDR] [Est Search] [Expense Search]

Keywords:  Search

Region: North Central Texas Council of Governments  
Subgrantee: Parker County  
Project: Parker County MexMet and SAR rapid response vehicle  
Item Status: Filter by Item Status  
 Group by Project  Cancelled Items

#### 2010 SHSP Progress Report

Grant Amount: \$150,000.00

- Discovered - \$12,520.00
- Review - \$0.00
- Needs FDR - \$0.00
- On Hold - \$147,480.00
- Invoice - \$0.00
- Expense - \$0.00
- Change Requested - \$0.00

#### PROJECT MILESTONES

[Add New Milestone]

This tool allows you to enter in one or more project milestones for each of your assigned projects. A milestone is a reference point that marks a major event in a project and is used to monitor the project's progress. Milestones should be specific, measurable, attainable, relevant, timely, open, small, assignable, progressive, and significant.

Once you have entered all milestones, they should be submitted so they can be a permanent part of the project and grant.

| Milestones                        | Est Complete Date | Sort                      |
|-----------------------------------|-------------------|---------------------------|
| 1 1/19/11 - Awaiting vendor quote | 2012-May-01       | 1 [Add] [Delete] [Cancel] |

#### PARKER COUNTY EXPENDITURE LIST

[Request New Expenditure]

| A/E Category   | Expenditure        | Status  | Qty | Unit Cost    | Total Cost   | Local Invoice State | FDR Invoice State |
|--|--------------------|---------|-----|--------------|--------------|---------------------|-------------------|
| Project: Parker County MexMet and SAR rapid response vehicle |                    |         |     |              |              |                     |                   |
| (12/18/00/MISS) Vehicle, Specialized Mission, CERN           | Pierce #550 Rescue | On Hold | 1   | \$147,480.00 | \$147,480.00 | Needs Invoice       | No Invoice        |
| Project Expense Total:                                       |                    |         |     |              | \$147,480.00 |                     |                   |
| Project Value:   |                    |         |     |              | \$100,000.00 |                     |                   |
| Project Uncommitted Funds:                                   |                    |         |     |              | \$12,520.00  |                     |                   |
| Subgrantee Funds Used:                                       |                    |         |     |              | \$0.00       |                     |                   |

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3. Select correct Authorized Equipment List (AEL) category down to the lowest level possible. (Refer to the Responder Knowledge Base)
4. After verifying that the piece of equipment or service is allowable under the grant you are working with – Click: ‘Select – this AEL Item’.

The screenshot displays the Texas Department of Public Safety's Authorized Equipment List (AEL) interface. The interface is divided into two main sections: the Authorized Equipment List (AEL) on the left and the AEL Details on the right.

**Authorized Equipment List (AEL):** This section shows a hierarchical tree view of AEL categories. The selected category is [D1AR-01-SCBA] SCBA, CBRN. The tree view includes various categories such as Personal Protective Equipment, Respiratory Protection Equipment, and Support Equipment.

**AEL Details:** This section provides detailed information about the selected AEL item. The details include:

- AEL Number:** D1AR-01-SCBA
- AEL Title:** SCBA, CBRN
- AEL Category:** [D1] Personal Protective Equipment > [AR] Respiratory Protection Equipment > [D1] CBRN Self-Contained Breathing Apparatus (SCBA) and Supplied-Air Respirators (SAR)
- Description:** CBRN SCBA - Self-Contained Breathing Apparatus certified as compliant with NFPA 1981 and certified by NIOSH as compliant with the CBRN approval criteria. Worn with multiple ensemble configurations.

Below the description, there are sections for Grant Availability, Previous Numbering, Related Target Capabilities, and Notes. The Grant Availability section lists various equipment types with status indicators (e.g., BZPP, CBPP, CCP, DLSGP, BMPG, BODGP, TSSGP, TSSGP, IFRSGP, LEAP, LETPA, LETPP, MMRS, NSGP, OFSG, FSGP, PSIC, ROPGP, SHSP, TSGP, URSI). The Notes section contains a disclaimer: "DHS has adopted the NIOSH Standard for Chemical, Biological, Radiological, and Nuclear (CBRN) Open-Circuit Self-Contained Breathing Apparatus (SCBA). Only SCBA certified by NIOSH as compliant with the standard are allowable."

At the bottom of the AEL Details section, there are two buttons: "Select this AEL Item" and "Cancel and return to previous screen". A red arrow points to the "Select this AEL Item" button.



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6. Fill in Qty, Unit Cost, and Discipline. You MUST also click 'Auto Adjust'. When checking the 'Multiple Invoice Request' the quantity must always be one. Select 'Continue'.

The screenshot displays the 'EXPENDITURE REQUEST - QUANTITIES AND COSTS' form. The form includes a table for 'Expenditure Quantities' with columns for 'Qty', 'Unit Cost', and 'Total Cost'. A red box highlights the 'Qty' and 'Unit Cost' columns, with an arrow pointing to a callout box that says 'Fill in Qty, Unit Cost'. Another red box highlights the 'Discipline' column, with an arrow pointing to a callout box that says 'Fill in Discipline'. A red box highlights the 'Auto Adjust' button, with an arrow pointing to a callout box that says 'Click on this'. A red box highlights the 'Continue on' button, with an arrow pointing to a callout box that says 'Continue on'. The 'Continue on' button is described as 'Save and continue with request'. The 'Back' button is described as 'Go back to previous screen'. The 'Cancel' button is described as 'Cancel and return to expenditure list'. The form also shows a summary table with columns for 'City Total', 'Unit Cost', and 'Total Cost'. The 'Required' total is \$4,000 and the 'Budget' total is \$2,500.

| Expenditure | Qty | Unit Cost | Total Cost |
|-------------|-----|-----------|------------|
| 001         |     |           | \$2,500    |
| 002         |     |           | \$2,500    |
| 003         |     |           | \$2,500    |
| 004         |     |           | \$2,500    |
| 005         |     |           | \$2,500    |
| 006         |     |           | \$2,500    |
| 007         |     |           | \$2,500    |
| 008         |     |           | \$2,500    |
| 009         |     |           | \$2,500    |
| 010         |     |           | \$2,500    |
| 011         |     |           | \$2,500    |
| 012         |     |           | \$2,500    |
| 013         |     |           | \$2,500    |
| 014         |     |           | \$2,500    |
| 015         |     |           | \$2,500    |
| 016         |     |           | \$2,500    |
| 017         |     |           | \$2,500    |
| 018         |     |           | \$2,500    |
| 019         |     |           | \$2,500    |
| 020         |     |           | \$2,500    |
| 021         |     |           | \$2,500    |
| 022         |     |           | \$2,500    |
| 023         |     |           | \$2,500    |
| 024         |     |           | \$2,500    |
| 025         |     |           | \$2,500    |
| 026         |     |           | \$2,500    |
| 027         |     |           | \$2,500    |
| 028         |     |           | \$2,500    |
| 029         |     |           | \$2,500    |
| 030         |     |           | \$2,500    |
| 031         |     |           | \$2,500    |
| 032         |     |           | \$2,500    |
| 033         |     |           | \$2,500    |
| 034         |     |           | \$2,500    |
| 035         |     |           | \$2,500    |
| 036         |     |           | \$2,500    |
| 037         |     |           | \$2,500    |
| 038         |     |           | \$2,500    |
| 039         |     |           | \$2,500    |
| 040         |     |           | \$2,500    |
| 041         |     |           | \$2,500    |
| 042         |     |           | \$2,500    |
| 043         |     |           | \$2,500    |
| 044         |     |           | \$2,500    |
| 045         |     |           | \$2,500    |
| 046         |     |           | \$2,500    |
| 047         |     |           | \$2,500    |
| 048         |     |           | \$2,500    |
| 049         |     |           | \$2,500    |
| 050         |     |           | \$2,500    |
| 051         |     |           | \$2,500    |
| 052         |     |           | \$2,500    |
| 053         |     |           | \$2,500    |
| 054         |     |           | \$2,500    |
| 055         |     |           | \$2,500    |
| 056         |     |           | \$2,500    |
| 057         |     |           | \$2,500    |
| 058         |     |           | \$2,500    |
| 059         |     |           | \$2,500    |
| 060         |     |           | \$2,500    |
| 061         |     |           | \$2,500    |
| 062         |     |           | \$2,500    |
| 063         |     |           | \$2,500    |
| 064         |     |           | \$2,500    |
| 065         |     |           | \$2,500    |
| 066         |     |           | \$2,500    |
| 067         |     |           | \$2,500    |
| 068         |     |           | \$2,500    |
| 069         |     |           | \$2,500    |
| 070         |     |           | \$2,500    |
| 071         |     |           | \$2,500    |
| 072         |     |           | \$2,500    |
| 073         |     |           | \$2,500    |
| 074         |     |           | \$2,500    |
| 075         |     |           | \$2,500    |
| 076         |     |           | \$2,500    |
| 077         |     |           | \$2,500    |
| 078         |     |           | \$2,500    |
| 079         |     |           | \$2,500    |
| 080         |     |           | \$2,500    |
| 081         |     |           | \$2,500    |
| 082         |     |           | \$2,500    |
| 083         |     |           | \$2,500    |
| 084         |     |           | \$2,500    |
| 085         |     |           | \$2,500    |
| 086         |     |           | \$2,500    |
| 087         |     |           | \$2,500    |
| 088         |     |           | \$2,500    |
| 089         |     |           | \$2,500    |
| 090         |     |           | \$2,500    |
| 091         |     |           | \$2,500    |
| 092         |     |           | \$2,500    |
| 093         |     |           | \$2,500    |
| 094         |     |           | \$2,500    |
| 095         |     |           | \$2,500    |
| 096         |     |           | \$2,500    |
| 097         |     |           | \$2,500    |
| 098         |     |           | \$2,500    |
| 099         |     |           | \$2,500    |
| 100         |     |           | \$2,500    |

**Continue on** Save and continue with request.

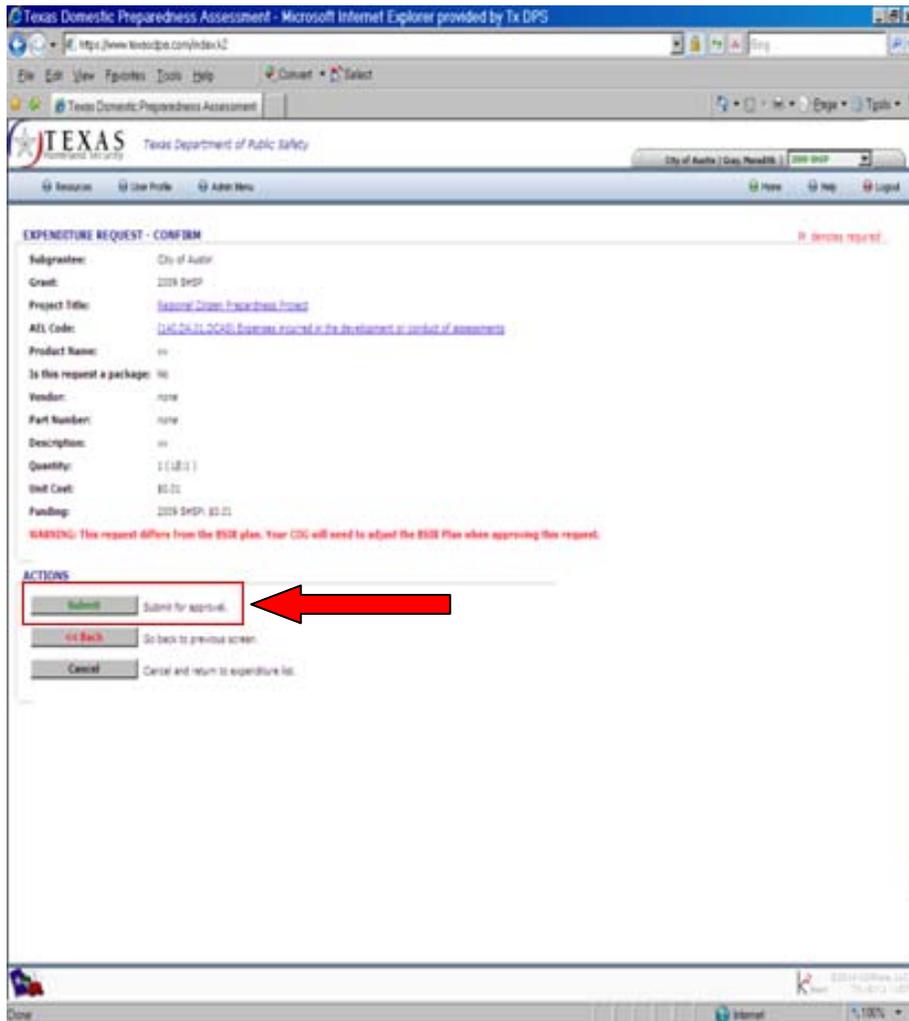
**Back** Go back to previous screen.

**Cancel** Cancel and return to expenditure list.

## CHAPTER II

### SAA Sub-recipient Manual: Volume II

7. Review Entry. Select 'Submit'. This sends the request to the Region. The Region will approve or deny. If denied, this expenditure will be returned with instructions or a request for more information. Approved expenditures by Region will be submitted to SAA for review.
  - a. Expenditure request submitted to the Region or UASI for review and approval will show a SPARS status of "Review at Region".



*(For more detailed information on required documentation for submitting an expenditure request, please refer to the SAA information bulletins found in Appendix A)*

**C. EXPENDITURE CHANGE REQUEST**

Sub-recipients must submit expenditure change requests in SPARS. Expenditure change requests entail:

- Change of line items to include deletions and additions
- Change of vendor
- Change of funding amounts
- Change of quantities

Change requests are submitted to regions or UASI for review and approval. If disapproved, the request will go back to the jurisdiction with the reason for denial. If approved, requests are forwarded to an SAA Grant Coordinator for review and approval.

**SUBMITTING A CHANGE REQUEST**

1. Select the expenditure request item in which the corrections need to be made.

**2009 SHSP Progress Report**  
Grant Amount: \$170,000.00

- Uncommitted - \$70,461.57
- Invoiced - \$1,281.00
- Needs POI - \$21,953.00
- Invoiced - \$22,913.50
- Invoiced - \$0.00
- Citywide - \$23,466.00
- Change Requested - \$24,261.50

| A/E Category      | Expenditure  | Status    | Qty | Unit Cost  | Total Cost | Local Invoice | SAA Invoice |
|-------------------|--|-----------|-----|------------|------------|---------------|-------------|
| (100.TW.01.TW.00) | Fees for attending training workshops and/or conferences                     | Needs SOG | 2   | \$640.00   | \$1,280.00 | No Invoice    | No Invoice  |
| (100.TW.01.TW.00) | Fees for attending training workshops and/or conferences                     | Needs SOG | 2   | \$180.00   | \$360.00   | No Invoice    | No Invoice  |
| (100.TW.01.TW.00) | Fees for attending training workshops and/or conferences                     | Needs SOG | 8   | \$600.00   | \$4,800.00 | No Invoice    | No Invoice  |
| (100.TP.01.TP.01) | Travel/per diem related to training activities                               | Needs SOG | 8   | \$718.00   | \$4,390.00 | No Invoice    | No Invoice  |
| (100.TP.01.TP.01) | Travel/per diem related to training activities                               | Needs SOG | 2   | \$778.00   | \$1,556.00 | No Invoice    | No Invoice  |
| (100.TW.01.TW.00) | Fees for attending training workshops and/or conferences                     | Needs SOG | 1   | \$280.00   | \$280.00   | No Invoice    | No Invoice  |
| (100.TW.01.TW.00) | Fees for attending training workshops and/or conferences                     | Needs SOG | 4   | \$1,800.00 | \$8,000.00 | No Invoice    | No Invoice  |
| (100.TP.01.TP.01) | Travel/per diem related to training activities                               | Needs SOG | 4   | \$922.00   | \$3,688.00 | No Invoice    | No Invoice  |
| (01.AR.01.S0A)    | S00SAR300104 - S003001000 S00MAY2M - SCOTT SUPPLIED AIR RESPIRATOR LINE UNIT | Needs SOG | 1   | \$2,679.00 | \$2,679.00 | No Invoice    | No Invoice  |





- The change request will be submitted to an SAA grant coordinator for approval.

The screenshot shows the Texas Department of Public Safety website interface. At the top, there is a navigation bar with 'Resources', 'User Profile', 'Admin Menu', 'Home', 'Help', and 'Logout'. The main content area is titled 'SUBGRANTEE EXPENDITURE LIST' and includes a search form with fields for 'Keywords', 'Region' (South Plains Association of Governments), 'Subgrantee' (City of Levelland), 'Project' (South Plains Regional Search & Rescue Team), and 'Item Status' (Change Request). A '2009 SHSP Progress Report' is displayed with a pie chart and a legend showing financial breakdowns: Uncommitted (\$72,461.37), Review (\$1,081.83), Needs PDE (\$21,853.00), On-Order (\$23,913.30), Invoiced (\$0.00), Complete (\$23,409.00), and Change Requested (\$24,260.50). Below this is a 'PROJECT MILESTONES' section with a table that currently shows 'No milestones have been created for this project.' At the bottom, the 'CITY OF LEVELLAND EXPENDITURE LIST' table is shown with columns for AEL Category, Expenditure, Status, Qty, Unit Cost, Total Cost, Local Invoice State, and SAA Invoice State. Two rows are visible, both with a 'Change Request' status. A red box labeled 'Change Request Status' has an arrow pointing to the 'Status' column of the first row in the expenditure list.

| Milestone   | Est Complete Date | Sort |
|---|-------------------|------|
| No milestones have been created for this project. |                   |      |

| AEL Category   | Expenditure  | Status         | Qty | Unit Cost  | Total Cost  | Local Invoice State | SAA Invoice State |
|--|--|----------------|-----|------------|-------------|---------------------|-------------------|
| <b>Project: South Plains Regional Search &amp; Rescue Team</b> |  |                |     |            |             |                     |                   |
| (120.TP.01.TRPL)   | PER DIEM FOR STRUCTURAL COLLAPSE TRAINING                          | Change Request | 10  | \$1,369.00 | \$13,690.00 |                     | [ edit ]          |
|  | Travel/per diem related to training activities                     |                | 9   | \$1,369.00 | \$12,321.00 |                     | [ edit ]          |
| (01.WA.03.SUTD)  | 6S36Q0RED-MTO - CATALYST SEARCH N RESCUE DRY DIVE SUIT AND ENSEMBL | Change Request | 6   | \$1,761.75 | \$10,570.50 |                     | [ edit ]          |
|  | Suit, Dry, Diving  |                | 4   | \$1,858.95 | \$7,435.80  |                     | [ edit ]          |

**D. CANCELLING EXPENDITURES**

Sub-recipients must request cancellations of expenditures in SPARS. Regions or UASIs will review the cancellation requests. If disapproved, the request will go back to the jurisdiction with the reason for denial and request for additional information. If approved, the expenditures are cancelled.

**SUBMITTING A CANCELLATION REQUEST**

1. Select 'Edit'.

The screenshot displays the SPARS system interface for the Texas Department of Public Safety. The main content area shows the 'CITY OF LEVELLAND EXPENDITURE LIST' for the project 'South Plains Regional Search & Rescue Team'. The table lists various expenditures with columns for A/E Category, Expenditure, Status, Qty, Unit Cost, Total Cost, Local Invoice, and SAA Invoice. The first row is highlighted, and a red arrow points to the 'edit' link in the rightmost column of that row.

| A/E Category     | Expenditure  | Status    | Qty | Unit Cost  | Total Cost | Local Invoice | SAA Invoice |          |
|------------------|--|-----------|-----|------------|------------|---------------|-------------|----------|
| (120.TW.01.TW00) | Fees for attending training workshops and/or conferences | Needs PDR | 2   | \$540.00   | \$1,080.00 | No Invoice    | No Invoice  | [ edit ] |
| (120.TW.01.TW00) | Fees for attending training workshops and/or conferences | Needs PDR | 2   | \$150.00   | \$300.00   | No Invoice    | No Invoice  | [ edit ] |
| (120.TW.01.TW00) | Fees for attending training workshops and/or conferences | Needs PDR | 8   | \$500.00   | \$4,000.00 | No Invoice    | No Invoice  | [ edit ] |
| (120.TF.01.TF04) | Travel/per diem related to training activities           | Needs PDR | 8   | \$718.00   | \$4,190.00 | No Invoice    | No Invoice  | [ edit ] |
| (120.TF.01.TF04) | Travel/per diem related to training activities           | Needs PDR | 2   | \$778.00   | \$1,558.00 | No Invoice    | No Invoice  | [ edit ] |
| (120.TW.01.TW00) | Fees for attending training workshops and/or conferences | Needs PDR | 1   | \$280.00   | \$280.00   | No Invoice    | No Invoice  | [ edit ] |
| (120.TW.01.TW00) | Fees for attending training workshops and/or conferences | Needs PDR | 4   | \$1,500.00 | \$6,000.00 | No Invoice    | No Invoice  | [ edit ] |
| (120.TF.01.TF04) | Travel/per diem related to training activities           | Needs PDR | 4   | \$922.00   | \$3,688.00 | No Invoice    | No Invoice  | [ edit ] |
| (01.AR.01.S06A)  | SCBA, CERN   | Needs PDR | 1   | \$3,679.00 | \$3,679.00 | No Invoice    | No Invoice  | [ edit ] |

# CHAPTER II

## SAA Sub-recipient Manual: Volume II

### 2. Select 'Cancel Item'.

**TEXAS** Homeland Security Texas Department of Public Safety

City of Levelland | Stark, Ode | 3009 SHSP

Resources User Profile Admin Menu Home Help Logout

#### EXPENDITURE ITEM

**Project:** South Plains Regional Search & Rescue Team  
**Expenditure:** PADI CERTIFIED DIVE TRAINING  
**Description:** TRAINING FOR BRIAN PLEASANT AND CHRIS EFFLER FOR DIVE TRAINING IN OPEN WATER, ADVANCED OPEN WATER, RESCUE DIVER AND ENRICHED AIR DIVER CERTIFICATIONS THAT WILL BE USED IN THE REGION FOR WATER RESCUE. 08/10/2010-10/24/2010  
**AEL category:** (100.TW.01.TW00) Fees for attending training workshops and/or conferences  
**Request Date:** 11/01/2010 02:04 PM CST  
**Is this request a package:**  Yes  No  
**Grant Number:**  
**Item Status:** Needs POC

| Discipline Quantities |     |        |       |     |    |     |     | Qty Total | Unit Cost | Total Cost |
|-----------------------|-----|--------|-------|-----|----|-----|-----|-----------|-----------|------------|
| AG                    | LE  | DMS-NP | DMS-F | FS  | HZ | PW  | PSC | 2         | \$ 640.00 | \$1,280.00 |
| 0                     | 0   | 0      | 0     | 2   | 0  | 0   | 0   |           |           |            |
| WC                    | DMA | PH     | GA    | CYS | NP | RTS |     |           |           |            |
| 0                     | 0   | 0      | 0     | 0   | 0  | 0   |     |           |           |            |

| Grant            | Total         | Allocated   | Available        | Assigned          |
|------------------|---------------|-------------|------------------|-------------------|
| 3009 SHSP        | \$ 170,000.00 | \$97,808.63 | \$72,491.37      | \$1,280.00        |
| Subgrantee Funds | -             | -           | -                | \$0.00            |
|                  |               |             | <b>Required:</b> | <b>\$1,280.00</b> |
|                  |               |             | <b>Delta:</b>    | <b>\$0.00</b>     |

#### ITEM NOTES

**Expenditure Item Notes:**  
Open Water Certification:  
The PADI Open Water course is a full entry level certification you earn by successfully completing the entire course. It qualifies you for:  
- Dives in open water, while developing the knowledge and skills you...

**Attached Documents:**  
ADW Information Handout [Download]  
OW Information Handout [Download]  
Enriched Air Diver Course [Download]  
Rescue Information Handout [Download]

**SAA Notes:**  
11/04/2010 10:02 AM CST - Terry, Scott - need more info: Need more information. Need specific course name(s) and description detailing topics covered. A course outline would be helpful.

#### ACTIONS

**Save** Save changes and return to the expenditure list.  
**Return** Return to the expenditure list.  
**Cancel Item** Request that this item be cancelled and removed from the list.

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### III. PROCUREMENT

When procuring equipment and services under a grant, the SAA and its sub-recipients (including state agencies) will follow local, State, and Federal policies and procedures for procurements. The SAA and its sub-recipients will ensure that every purchase order or other contract includes all clauses required by Federal statutes and executive orders and their implementing regulations.

#### A. PROCUREMENT PROCESS

Counties/cities will follow their county/city procurement procedures provided they are compliant with Uniform Grant Management Standards, 44 CFR § 13.36, 2 CFR Part 225, OMB Circular A-102 and, for grants predating April 1, 2007, 28 CFR Part 66.

- Identify conditions requiring prior approval
- Understand difference between types:
  - Competitive
  - Federal (GSA) or State contract
  - Sole source
- Sole-source procurement is discouraged except for:
  - Emergency (must be clearly documented and substantiated)
  - Only one source (provider) (uniqueness / compatibility)
  - After solicitation, competition deemed inadequate
- Time and material type contracts are highly discouraged and may only be used:
  - After a determination that no other contract is suitable, and
  - If the contract includes a ceiling price, the contractor exceeds at own risk.

#### **The approval and documentation requirements for purchases apply to all sub-recipients.**

The procedures herein support federal procurement guidelines and apply to all expenditures, including but not limited to, contracts and leases, equipment, services, and supplies. Compliance with these procedures will reduce the overall time and effort involved in the procurement approval process.

In all cases, selection of other than the lowest bidder must always be fully justified. All procurement transactions, whether negotiated (on state or federal contracts) or competitively bid and without regard to dollar value, will be conducted to provide maximum open and free competition.

The sub-recipient will be alert to organizational conflicts of interest or noncompetitive practices among contractors which may restrict or eliminate competition or otherwise restrain trade. Contractors who develop or draft specifications, requirements, statements of work and/or Requests for Proposal (RFP) for a proposed procurement will be excluded from bidding or

submitting a proposal to compete for the award of such procurement as such involvement provides an advantage over other bidders.

The SAA as grantee and sub-recipients shall use procurement procedures and regulations that conform to applicable federal law and standards identified in 44 Code of Federal Regulations (CFR) § 13.36, *Procurement* for DHS grants awarded since April 1, 2007 and 28 CFR, § 66.36, *Procurement* for DHS grants awarded prior to April 1, 2007.

The following procedures adhere to instructions contained in the Uniform Grant Management Standard, 44 CFR Part 13 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"; 2 CFR Part 215 (OMB Circular A-110) Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations and the Grant Terms and Conditions; 2 CFR Part 225 (OMB Circular A-87) "Cost Principals for State, Local and Indian Tribal Governments"; OMB Circular A-102 "Grants and Cooperative Agreements to State and Local Governments" Amended 8/29/1997; and 28 CFR: Judicial Administration, Part 66 - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

## **B. BIDDING PROCESS**

Sub-recipients must comply with proper competitive bidding procedures as required by the applicable federal and state rules.

### **Items Requiring Federal Approval**

Although items may be on the federal and/or state contracts, sub-recipients must receive prior written approval from the SAA **and** federal awarding agency for those items which require prior federal approval (e.g. boats, helicopters, etc) per the applicable grant guidance and application kit. This written approval is required in advance of purchase. The SAA will notify the sub-recipient when a determination has been received from the federal awarding agency.

### **Purchasing Items From Federal and State Contract Lists**

If an item(s) is purchased from the U.S. General Services Administration (GSA) Schedule 70 or GSA Schedule 84 or a state contract, no additional bidding is required unless permission to procure is required by federal guidance (e.g. boats, helicopters, etc). Information on items that are on the GSA Schedule may be found at [www.gsaschedule.com](http://www.gsaschedule.com).

Sub-recipients including state agencies and local governments who perform their own procurement must include the federal and/or state contract number on the invoice when submitting for reimbursement.

### **Sole Source Procurement**

Use of sole source procurement is discouraged. If, after completion of the competitive bidding process, only one responsive bid is received (less than two complete competitive bids received), then this is a sole source procurement (based on 44 CFR § 13.36).

**All** sole source procurements require the explicit **prior** written approval of the SAA. This approval can be requested by completing and submitting **Sole Source Contracting letter** found in SAA Information Bulletin #11. All sole-source procurements in excess of \$100,000 must receive prior written approval from both the SAA and the federal awarding agency. Pursuant to Information Bulletin # 11, sole source procurements of consultant's fees are limited to \$450 per day.

## C. DEBARMENT AND SUSPENSION

Sub-recipients should comply with additional regulations and Executive Orders regarding Debarment and Suspension as defined in 28 CFR, Part 67. Sub-recipients can access debarment information by going to [www.epls.gov](http://www.epls.gov) and the State Debarred Vendor List: [www.window.state.tx.us/procurement/prog/vendor\\_performance/debarred/](http://www.window.state.tx.us/procurement/prog/vendor_performance/debarred/).



Vendors should not be debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency; and

- Have not within a three-year period preceding this application 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; 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;

- Are not 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 applicable guidance; and
- Have not within a three-year period preceding award had one or more public transactions (Federal, State, or local) terminated for cause or default.

#### **D. CODE OF CONDUCT**

The Code of Conduct applies to all officers, employees, or agents of sub-recipients engaged in the award or administration of contracts supported by federal grant funds.

No officer, employee, or agent of a sub-recipient shall participate in the selection, award, or administration of a contract supported by federal funds, if a conflict of interest, real or apparent, would be involved. Such a conflict would arise when the employee, officer or agent has a financial or other interest in the firm selection for award. This also applies to:

- any member of his or her immediate family;
- his or her partner; or
- an organization which employs, or is about to employ any of the above.

Officers, employees, or agents of the sub-recipient shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, potential contractors, or subcontractors.

To the extent permitted by federal, state, or local laws or regulations, violation of these standards may cause penalties, sanctions, or other disciplinary actions taken against sub-recipient officers, employees, or agents, or contractors, potential contractors or their agents.

#### **E. SMALL/MINORITY/WOMEN OWNED BUSINESS**

The State encourages the use of Historically Underutilized Business (HUB). Eligible contractors must agree to HUB Subcontracting plan identified in Texas Government Code Chapter 2161 and Texas Administrative Code, Title 1, Section 20.13 and 20.14.

#### **F. CONFLICT OF INTEREST**

##### **Financial Interest Prohibited**

A conflict of interest may arise when the employee, officer or agent; any member of his or her immediate family; his or her partner; or, any organization that employs, or is about to employ any of the above, has a financial or other interest in the firm or person selected to perform a subcontract pursuant to this Sub-recipient agreement. The Sub-recipient shall ensure that no

employee, officer, or agent of the Sub-recipient shall participate in the selection, in the award or administration of a subcontract supported by Sub-recipient agreement funds pursuant to this Sub-recipient agreement and comply with Chapter 171, Texas Local Government Code.

#### **Other Prohibited Interests**

In all cases not governed by this section and except for eligible administrative or personnel costs, no person who is an employee, agent, consultant, officer, elected official, appointed official of the Sub-recipient or of a subcontractor of the Sub-recipient who exercises or have exercised any functions or responsibilities with respect to the activities assisted under this Sub-recipient agreement or any other DHS/FEMA Sub-recipient agreement who are in a position to participate in a decision making process or gain inside information with regard to such activities, may obtain a financial interest or benefit from the activity, have an interest in or benefit from the activity or have any interest in any Sub-recipient agreement, subcontract or agreement with respect to the activities or the proceeds either for themselves or those with whom they have family or business ties during their tenure or for one year thereafter.

Texas Government Code Sec. 2254.032 requires an employee of a state agency to report to the chief executive of the agency, not later than the 10th day after the date on which a private consultant submits an offer to provide consulting services to the agency, any financial interest of the employee or the employee's family.

#### **G. EQUIPMENT AND/OR NON-EXPENDABLE SUPPLIES**

Equipment and/or non-expendable supplies are defined as tangible, nonexpendable, personal property regardless of current market price or resale value.

- Requested equipment that is not found on the AEL at <https://www.rkb.us> may only be purchased after receiving written approval from the SAA **and** federal awarding agency.
- Requested equipment that is not listed as allowable on the AEL for a specific grant may only be purchased after submitting a request for waiver through SAA and receiving a written waiver from DHS.

#### **H. MAINTENANCE, WARRANTIES AND SERVICE OF EQUIPMENT**

Service contracts are subject to the same procurement procedures as equipment. In Homeland Security grant funds can only be used for maintenance, warranties, and service of equipment originally purchased with similar Homeland Security grant funds.

- Maintenance, Repair and Service Fees for Equipment
  - Maintenance and repair costs for vehicles purchased with federal grant funds or other funds are unallowable. Sub-recipients who accept a vehicle procured with federal grant funds must assume the financial responsibility for title, license,

registration, insurance, fuel, oil changes, inspection fees, tires, maintenance, wear and tear, repair costs and service costs of said vehicle.

- Warranties
- Certification and Calibration Fees
- Grant Period Limitations

**I. SUBMITTING PROOF OF ENCUMBRANCE**

Verify that the planned procurement matches original new expenditure request (update in SPARS if necessary).

1. Review vendor information, quantity, price, delivery date
2. Check to see if vendor is listed in the Excluded Parties List System ([www.epls.gov](http://www.epls.gov))
3. Submit Proof of Encumbrance (POE) in SPARS for approved expenditure request. This will change the status to “On-Order”.

The screenshot displays the 'PROOF OF ENCUMBRANCE' form in the SPARS system. The form is for a subgrantee named 'City of Levelland' and includes fields for POE Number, POE Date, Project, Vendor/Payer, Address, City, State, Zip, and Phone. A table titled 'POE ITEM(s)' shows a single item with a quantity of 2 and a unit cost of \$542.00. Below the table are sections for POE Notes, Attached Documents, and Other Items. At the bottom, there are 'ACTIONS' buttons: 'Save POE' (highlighted with a red box), 'Save POE changes to database', 'Cancel', and 'Cancel any changes'.

## **IV. REIMBURSEMENTS**

After sub-recipients have procured equipment, services, and/or other allowable expenditures, they should promptly submit requests for reimbursements. In order to receive reimbursements, expenditures must be associated with an approved project funded by Homeland Security grants. Expenditure requests must have also been previously submitted and approved in SPARS by the Region/UASI and SAA. Requests for reimbursements must also be made in SPARS.

### **A. REIMBURSEMENT REQUEST PREPARATION**

Before logging into SPARS to enter data, sub-recipients should gather all necessary documents and arrange them by project. They should then:

1. Verify the date(s) of the invoice(s) fall within the period of performance.
2. Verify the equipment, goods, and/or services were received during the period of performance.
3. If there are multiple invoices for a project, run an adding machine tape on all invoices to obtain a total for the reimbursement request for each project.
4. Ensure all documents being submitted in support of the reimbursement are clear and legible. Important information (such as itemized costs or personnel salaries) should be highlighted and easily identifiable.

*(Reimbursement Process continued on next page)*

**B. CREATING REIMBURSEMENT REQUESTS**

Once an expenditure request has been approved and delivery of equipment and/or services has been made, jurisdictions must enter their requests for reimbursement in SPARS.

1. Select the project that has expenditures needing reimbursement.

The screenshot displays the SPARS system interface for the Texas Department of Public Safety. The page includes a navigation menu with 'Resources', 'User Profile', and 'Admin Menu'. A summary table shows the following data:

|                               | Count | Submitted | Reviewed  | Completed |
|-------------------------------|-------|-----------|-----------|-----------|
| <b>Reimbursement Requests</b> | 8     | 15        | 0         | 299       |
| <b>Voucher Requests</b>       |       | Pending   | Submitted | Paid      |
|                               |       | 3         | 22        | 323       |

Below the summary table is a 'SYSTEM MESSAGES' section with a table listing various reports and their statuses:

|   | Status        | Due        |
|---|---------------|------------|
| <a href="#">Quarterly Report - Third Quarter 2010</a> | Not Completed | 11/15/2010 |
| <a href="#">Quarterly Report - First Quarter 2010</a> | Completed     | 04/19/2010 |
| <a href="#">2007 Grant Year BSIR Data</a>             | Approved      |            |
| <a href="#">2007 PSIC BSIR Data</a>                   | Approved      |            |
| <a href="#">2008 SHSP BSIR Data</a>                   | Approved      |            |
| <a href="#">2008 SHSP LEAP BSIR Data</a>              | Approved      |            |
| <a href="#">2008 CCP BSIR Data</a>                    | Approved      |            |
| <a href="#">2008 MMS BSIR Data</a>                    | Approved      |            |
| <a href="#">2008 Austin UASI BSIR Data</a>            | Approved      |            |
| <a href="#">2008 Austin UASI LEAP BSIR Data</a>       | Approved      |            |
| <a href="#">2009 SHSP BSIR Data</a>                   | Approved      |            |
| <a href="#">2009 Austin UASI BSIR Data</a>            | Approved      |            |
| <a href="#">2009 Austin UASI LEAP BSIR Data</a>       | Approved      |            |
| <a href="#">2009 CCP BSIR Data</a>                    | Approved      |            |
| <a href="#">2009 MMS BSIR Data</a>                    | Approved      |            |
| <a href="#">2010 SHSP BSIR Data</a>                   | Build         |            |
| <a href="#">2010 SHSP LETPA BSIR Data</a>             | Approved      |            |
| <a href="#">2010 Austin UASI BSIR Data</a>            | Build         |            |
| <a href="#">2010 Austin UASI LETPA BSIR Data</a>      | Build         |            |

The '2009 SHSP PROJECTS' table is shown below, with the 'Regional Citizen Preparedness Project' circled in red:

| Project                               | Award        | Committed    | Uncommitted |
|---------------------------------------|--------------|--------------|-------------|
| Regional Citizen Preparedness Project | \$128,750.00 | \$126,184.33 | \$2,565.67  |

At the bottom of the page, there is a link: [Click here for Information Page](#). The Windows taskbar at the bottom shows the time as 10:41 PM.

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2. Click Needs POE. (Note: This will be lavender color to denote this status)

The screenshot shows the Texas Department of Public Safety website interface. The main content area displays the 'CITY OF AUSTIN EXPENDITURE LIST' for the 'Regional Citizen Preparedness Project'. The table below shows various expenditure items with their respective statuses. The 'Needs POE' status is highlighted in lavender in the original image.

| AEL Category     | Expenditure  | Status    | Qty | Unit Cost    | Total Cost   | Local Invoice State | SAA Invoice State |
|------------------|--|-----------|-----|--------------|--------------|---------------------|-------------------|
| (140.CC.01.ECCP) | Establish, enhance, or evaluate Central Texas Citizen Corps Coordinator Citizen Corps related volunteer programs | Needs POE | 1   | \$223,850.00 | \$123,850.00 | No Invoice          | No Invoice        |
| (140.TP.01.TRPL) | Travel/per diem related to planning Train the Trainer: Prepare Communities 4 Agroterrorism activities            | Needs POE | 1   | \$250.00     | \$250.00     | No Invoice          | No Invoice        |
| (140.TP.01.TRPL) | Travel/per diem related to planning Fire Corps Conference February 2010 activities                               | Needs POE | 1   | \$225.00     | \$225.00     | No Invoice          | No Invoice        |
| (11.RE.00.RTNC)  | Reference Materials, non-CDRNE Stratfor Subscription   | Needs POC | 1   | \$99.00      | \$99.00      | No Invoice          | No Invoice        |
| (04.HW.01.DHWH)  | Hardware, Computer, Integrated Laptop for Citizen Corps Coordinator  | Complete  | 1   | \$1,760.33   | \$1,760.33   | 07/27/2010          | 08/24/2010        |

Project Expense Total: **\$126,104.33**  
 Project Value: **\$126,750.00**  
 Project Uncommitted Funds: **\$2,565.67**  
 \* Subgrantee Funds Used: **\$0.00**

**LEGENDS**

| Status    | Description                                 | Local Invoice State | SAA Invoice State | Description   |
|-----------|---|---------------------|-------------------|---|
| Denied    | Item request has been denied                |                     |                   |   |
| Cancelled | Item has been cancelled                     |                     |                   |   |
| Review    | Item is being reviewed by SAA               | 1/1/2007            | 1/1/2007          | Item has been invoiced but not submitted to SAA for reimbursement |
| Needs POE | Item is approved and awaiting to be ordered | 1/1/2007            | 1/1/2007          | Item has been invoiced and submitted to SAA for reimbursement     |

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3. Complete the requested information. For each new vendor you must enter the vendor information where indicated. This information should be on the invoice(s). Attach the necessary supporting documents. *(A list of required supporting documents can be found in the SAA information bulletins in Appendix A)*

**PROOF OF ENCUMBRANCE**

Subgrantee: City of Austin

POE Number: POE5000-101101104158

POE Date: Nov 1 2010

Project: Regional Citizen Preparedness Project

Vendor/Payer: [new vendor] [ ]

Address: [ ]

City, St, Zip: [ ] [ ] [ ]

Phone: [ ]

**POE ITEM(s)**

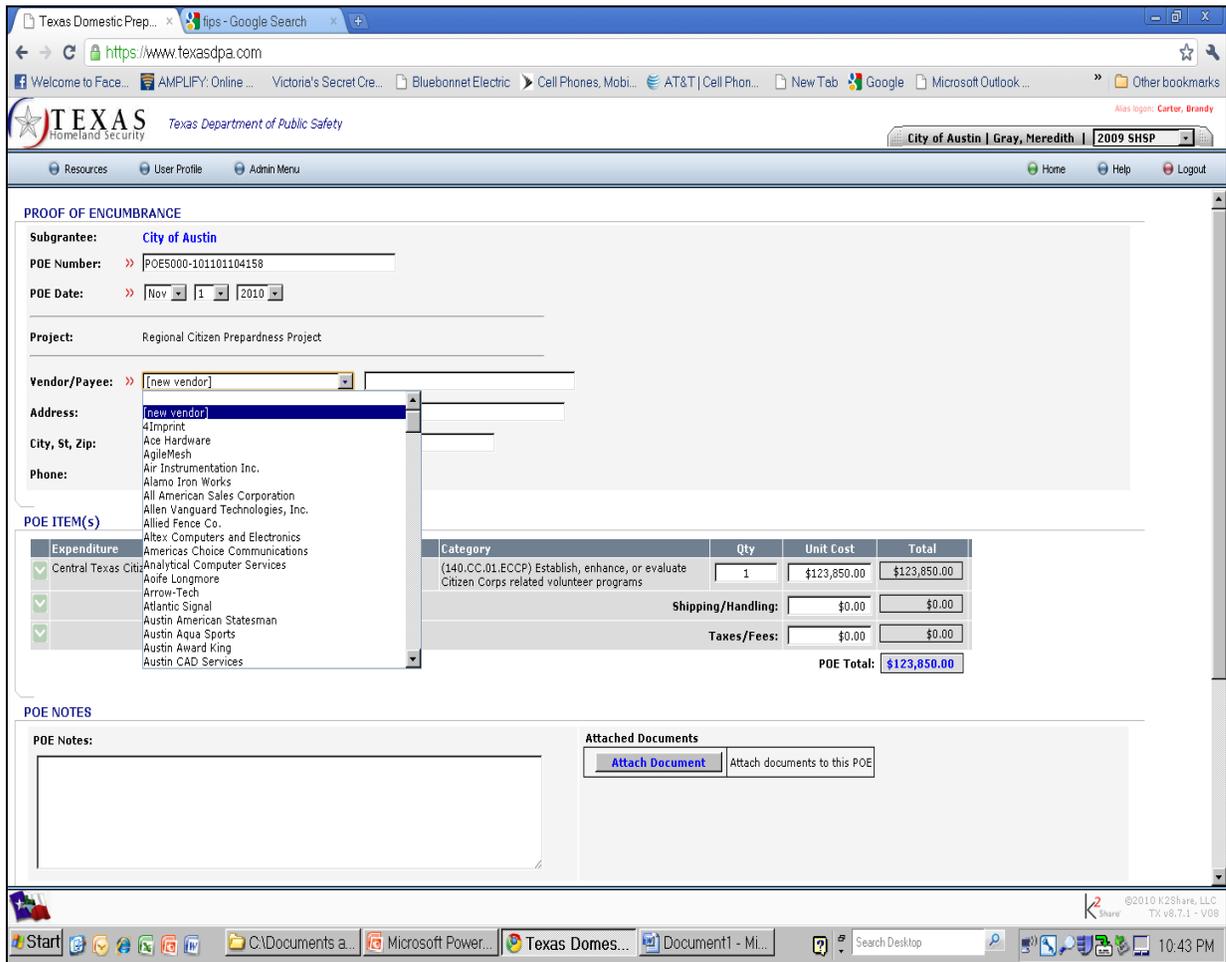
| Expenditure                             | Category  | Qty | Unit Cost    | Total        |
|---|---|-----|--------------|--------------|
| Central Texas Citizen Corps Coordinator | (140.CC.01.ECCP) Establish, enhance, or evaluate Citizen Corps related volunteer programs | 1   | \$123,850.00 | \$123,850.00 |
|   | Shipping/Handling:  |     | \$0.00       | \$0.00       |
|   | Taxes/Fees:   |     | \$0.00       | \$0.00       |
| POE Total:                              |   |     |              | \$123,850.00 |

**POE NOTES**

POE Notes: [ ]

Attached Documents: [ Attach Document ] Attach documents to this POE

- If this is a vendor you have used before you can select them from the drop down menu. Once the information is entered and is correct, "Save POE."



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5. Your item will now be ON ORDER status. Click NEEDS INVOICE.

The screenshot shows the Texas Department of Public Safety website interface. At the top, there is a navigation bar with 'Resources', 'User Profile', and 'Admin Menu'. Below this, the 'Project' dropdown is set to 'Regional Citizen Preparedness Project'. The 'Item Status' dropdown is set to 'Filter by Item Status'. A pie chart shows the project's financial breakdown: Needs POE (\$174,000), On-Order (\$1,050,000), Invoiced (\$0.00), Complete (\$1,760.33), and Change Requested (\$0.00).

**PROJECT MILESTONES**

This tool allows you to enter in one or more project milestones for each of your assigned projects. A milestone is a reference point that marks a major event in a project and is used to monitor the project's progress. Milestones should be specific, measurable, attainable, relevant, timely, open, small, assignable, progressive, and significant.

Once you have entered all milestones, they should be submitted so they can be a permanent part of the project and grant.

| Milestone   | Est Complete Date | Sort |
|---|-------------------|------|
| No milestones have been created for this project. |                   |      |

**CITY OF AUSTIN EXPENDITURE LIST**

| ACL Category  | Expenditure  | Status    | Qty | Unit Cost      | Total Cost          | Local Invoice State | SAA Invoice State |
|---|--|-----------|-----|----------------|---------------------|---------------------|-------------------|
| <b>Project: Regional Citizen Preparedness Project</b> |  |           |     |                |                     |                     |                   |
| (140.TP.01.TRPL)                                      | Travel/per diem related to planning Train the Trainer: Prepare Communities 4 Agroterro activities                | Needs POE | 1   | \$250.00       | \$250.00            | No Invoice          | No Invoice        |
| (140.TP.01.TRPL)                                      | Travel/per diem related to planning Fire Corps Conference February 2010 activities                               | Needs POE | 1   | \$225.00       | \$225.00            | No Invoice          | No Invoice        |
| (11.RE.00.RPNC)                                       | Reference Materials, non-CRNF Stratfor Subscription  | Needs POE | 1   | \$99.00        | \$99.00             | No Invoice          | No Invoice        |
| (140.CC.01.ECCP)                                      | Establish, enhance, or evaluate Citizen Corps related volunteer programs Central Texas Citizen Corps Coordinator | On-Order  | 1   | \$1,050,000.00 | \$1,050,000.00      | Needs Invoice       | No Invoice        |
| (04.HW.01.INHW)                                       | Hardware, Computer, Integrated Laptop for Citizen Corps Coordinator  | Complete  | 1   | \$1,760.33     | \$1,760.33          | 07/27/2010          | 08/24/2010        |
| <b>Project Expense Total:</b>                         |  |           |     |                | <b>\$126,184.33</b> |                     |                   |
| <b>Project Value:</b>                                 |  |           |     |                | <b>\$128,750.00</b> |                     |                   |
| <b>Project Uncommitted Funds:</b>                     |  |           |     |                | <b>\$2,565.67</b>   |                     |                   |
| <b>* Subgrantee Funds Used:</b>                       |  |           |     |                | <b>\$0.00</b>       |                     |                   |

**LEGENDS**

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- Verify all information on the screen below. Select multiple or single invoice. Then click Save and Continue.

The screenshot shows a web browser window displaying the Texas Department of Public Safety website. The page title is "INVOICE ITEM". The user is logged in as "Carter, Brandy" and is viewing the "City of Austin | Gray, Meredith | 2009 SHSP" account.

**INVOICE ITEM**

Subgrantee: City of Austin  
 PO#: POE5000-101101104158  
 Vendor: Ace Hardware  
 Project: Regional Citizen Preparedness Project

| Expenditure  | Category  | Qty | Unit Cost    | Total        |
|--|---|-----|--------------|--------------|
| ✓ Central Texas Citizen Corps Coordinator<br><i>Multiple Invoice Allowed</i> | (140.CC.01.ECCP) Establish, enhance, or evaluate Citizen Corps related volunteer programs | 1   | \$123,850.00 | \$123,850.00 |

**Attached Documents:**

**ACTIONS**

The multiple invoice process will create a new item for the invoice you currently have and leave the balance of this item in Needs Invoice state for future invoicing.  
 Completing the item will treat the item as if multiple invoices are not allowed.

**Would you like to process this item using multiple invoices?**

Process Multiple Invoices     Complete item with a single invoice

**Save & Continue >>** Save and process as selected above.  
**Cancel** Cancel any changes.

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7. A cover sheet will be generated in SPARS. This Cover Sheet must be printed, signed and submitted to SAA. **Note: Even though you click the submit button in SPARS, this does not officially submit the request. You must sign then email, fax, or mail a completed Cover Sheet to SAA before the process is complete.**

12/10/09

**City of Cedar Park**  
Local Purchase Submission Cover Sheet

Submit Date: 01/06/2010 08:28 AM CST  
Print Date: 10/28/2010 08:46 AM CST

RR20717

Subrecipient Reimbursement Address: [REDACTED]

| Organization Information |                      | Contact Information |                      |
|--------------------------|----------------------|---------------------|----------------------|
| Organization:            | City of Cedar Park   | Name:               | Yvonne Lane          |
| Street:                  | 600 N. Bell Blvd     | Agency:             | Cedar Park Fire      |
| City/State/Zip:          | Cedar Park, TX 78613 | City/State/Zip:     | Cedar Park, TX 78613 |
| Federal ID#:             |                      | Phone:              | 512-401-5160         |
| E-mail:                  | lane@cedarparktx.us  | Fax:                | 512-336-4859         |
| Fax:                     | 512-336-4859         |                     |                      |

| Item No. | Grant    | Item Description              | Invoice No.         | Amount  |
|----------|----------|-------------------------------|---------------------|---------|
| 1        | 2008 CCP | ARRL Ham Radio License Manual | 002-9545206-3204218 | \$16.52 |

11263679

|                       |         |
|-----------------------|---------|
| Invoiced Amount:      | \$16.52 |
| Subgrant Budget:      | \$0.00  |
| Reimbursement Amount: | \$16.52 |

RECEIVED  
NOV - 1 2010

**Fax all documents to TxDPS at: 512-206-3137.**

~~The following items must be submitted with your reimbursement request if LOCAL:~~

- DPA 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, Yvonne Lane, certify that I have received the above service/expenditure and the items is now on my subgrantee's inventory list.

Signature: [Signature] Date: 12/1/09

FOR OFFICIAL USE ONLY

### C. ADDITIONAL REIMBURSEMENT INFORMATION

Below is a list of additional reimbursement guidelines for sub-recipients.

- Jurisdictions with Planning Grants should submit for reimbursement monthly.
- Individual expenditures cannot be reimbursed in segments.
- Down payments and advance payments cannot be reimbursed prior to receipt of the services/equipment.

- Milestone payments are not allowed.
- For equipment delivered and/or services rendered, all payments must be paid in full.
- Discounts must be integrated into the price.
- Be aware of common submittal reimbursement errors:
  - No proof of payment.
  - Incorrect dates. Dates in SPARS must match those on the invoice.
  - Incorrect vendor names. Vendor names must match those on the invoice.
  - Rounding issues. Ensure costs are entered with 2 decimal places.
- When a hardship is requested, funds will be disbursed to the jurisdiction. Jurisdictions must remit those funds to the vendor within 10 days of receipt.
  - Jurisdictions must provide SAA with proof of payment to the vendor within 30 days of payment.
  - Failure to provide proof of payment may result in grants being locked until such proof is received.

**D. ACCEPTABLE SUPPORTING DOCUMENTATION**

| Category                           | Acceptable Supporting Documentation  |
|------------------------------------|--|
| <b>Salary</b>                      | <ul style="list-style-type: none"> <li>• Copy of the payroll journal for the month reimbursement is being requested, listing the individuals name, and rate of pay. The page should also be certified by the Payroll Officer.</li> </ul>   |
| <b>Travel</b>                      | <ul style="list-style-type: none"> <li>• Travel voucher with all supporting documents (i.e., airline ticket, gasoline receipts, meals, and lodging).</li> <li>• Accounting ledger/budget report listing.</li> <li>• <b>All out-of-state travel must be pre-approved prior to commencement.</b></li> </ul>  |
| <b>Supplies &amp;/or Equipment</b> | <ul style="list-style-type: none"> <li>• Three way match (invoice, purchase order, receipt of goods, services, or equipment document).The invoice should be stamped paid and reference to, either a check number, ach routing number, or the means of payment used and date.</li> <li>• If the three way match information is not available a combination of the following should be provided:</li> <li>• Accounting ledger/budget report                             <ul style="list-style-type: none"> <li>○ Invoice marked paid</li> <li>○ A copy of the credit card statement reflecting the purchase and the cancelled check paying the balance.</li> </ul> </li> <li>• If an order is made via the internet and payment is made by credit card, provide a copy of the internet receipt and the confirmation email. The purchase order and receiver should also be provided.</li> </ul> |

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|   |   |
|---|---|
| <b>Contractual Services</b>   | <ul style="list-style-type: none"> <li>• For the first reimbursement request (expecting multiple payments for the contract period the request must contain a copy of the signed contract.(Details on # of payments being applied along with the amounts and dates of scheduled services to be provided)</li> <li>• Copy of the cancelled check and the vendor invoice reflecting the contract number.</li> <li>• Accounting ledger/budget report listing.(expanded with enough details to understand calculations)</li> </ul> <p><b>NOTE: All payments for contractual services must reflect a date within the grant performance period. If the invoice reflects services outside the performance period, reimbursement will be denied.</b></p>                                   |
| <b>Operating Expenses</b>   | <ul style="list-style-type: none"> <li>• Postage, printing, communications, rental, software, etc.</li> </ul> <p><i>Use the Cost Reimbursement Form with accounting ledger as back-up. (Ensure to identify each category on the ledger to each category on the CRF)</i></p>   |
| <b>Training</b>   | <ul style="list-style-type: none"> <li>• Copy of the registration form and training certificate.</li> <li>• For payments made by credit card, a credit Card Statement reflecting the charge and a copy of the cancelled check reflecting the payment of the credit card statement.</li> <li>• Backfill charges must have:             <ul style="list-style-type: none"> <li>○ the name of the individual used as backfill</li> <li>○ a breakdown of the amount and how it was derived</li> <li>○ documentation supporting this information</li> </ul> </li> <li>• If training reservation is made via the internet and payment is made by credit card, provide a copy of the internet receipt and the confirmation email. The purchase order should also be provided.</li> </ul> |
| <b>Exercise</b>   | <ul style="list-style-type: none"> <li>• Name, type of exercise and location</li> <li>• Certificate from exercise, if offered</li> <li>• If a certificate is not offered, a copy of the order to participate in the exercise</li> <li>• Accounting ledger/budget report with attendee's name</li> </ul>   |
| <b>General Submissions</b>  | <ul style="list-style-type: none"> <li>• Ten (10) line items or less pre submission.</li> <li>• Do not mix projects on a submission.</li> <li>• Do not combine and resubmit denied submissions.</li> </ul>  |
| <ul style="list-style-type: none"> <li>• <b>Omitting the proper supporting documentation will result in denial of the reimbursement request.</b></li> <li>• <b>Please submit your signed submission cover sheet and the supporting documentation by scanning and email to your Grant Accountant/Technician and following up by sending the signed coversheet to SAA.</b></li> <li>• <b>If you do not have scanning capabilities, you may fax your signed submission cover sheet with the supporting documentation to (512) 206-3137 to the attention of your Grant Accountant.</b></li> </ul> |   |

## **V. PROPERTY MANAGEMENT**

Federal guidelines and regulations require sub-recipients to be prudent in the acquisition and management of property acquired with federal funds. Sub-recipients must assure an effective system for property management exists; this assurance is included within the award agreement with the SAA. The following are the management requirements outlined in the 44 CFR § 13.32.

### **A. PROPERTY AND EQUIPMENT RECORDS**

Sub-recipients are required to maintain accurate property and equipment records. These property and equipment records shall include, at minimum:

- Description of the property (including make and model)
- Manufacturer's serial number or other identification number
- Vendor (source of the property)
- Acquisition date
- Cost of the property
- Percentage of federal participation in the cost of the property
- Location of the equipment
- Condition of the equipment as of the date the information is reported
- Disposition data: Date of disposal and sale price

#### **1. EQUIPMENT CONTROL**

Sub-recipients shall affix asset tag where applicable and list equipment on Master Equipment Inventory List (found in the SAA information bulletins in Appendix A). The asset tag must identify jurisdiction and tag sequence number (e.g. Bexar County – No. 00025).

#### **2. EQUIPMENT EXCHANGE OR RETURN**

Equipment that is damaged, incomplete, non-functional or incorrect should be returned or exchanged as soon as possible.

#### **3. INSPECTION OF EQUIPMENT**

Upon receipt of equipment from a vendor, the receiving entity for the sub-recipient must immediately inspect the equipment for damage, completeness, and functionality. The sub-recipient is permitted to delegate the responsibility of inspecting the equipment to the end-user.

#### **4. MILEAGE LOGS**

Sub-recipients must maintain mileage logs for vehicles procured with federal funds. The SAA may request mileage records at any time for a vehicle procured with federal funds to verify allowable vehicle use (e.g. official response to CBRNE incidents).

**5. MASTER EQUIPMENT INVENTORY LIST**

The sub-recipient shall maintain a master equipment inventory list of grant purchased equipment. Federal and SAA policies require the sub-recipient to conduct a full equipment inventory at least once every two years. Any discrepancy must be investigated by sub-recipients and reported to SAA if it is not resolved.

**6. LOSS, THEFT OR DAMAGE OF EQUIPMENT**

Sub-recipient should make all efforts to prevent loss, theft or damage of equipment. Any loss, theft or damage of equipment should be investigated and reported to the SAA within 10 days.

**7. EQUIPMENT MAINTENANCE**

The end user of equipment must implement maintenance procedures to keep the property in good condition. Evidence of this requirement will be reviewed as part of the monitoring process.

**8. EQUIPMENT PREPARED FOR DEPLOYMENT**

The end user of equipment must inspect equipment to ensure it is operational for deployment. Evidence of this requirement will be reviewed as part of the monitoring process.

**9. TRANSFERRING PROPERTY AND EQUIPMENT**

A sub-recipient must inform the SAA within 30 days when transferring equipment from its original documented location to another location. Sub-recipients must submit Property Transfer Record Agreement (found in the SAA information bulletins in Appendix A). The sub-recipient must retain a copy of the agreement in the applicable federal grant file.

**10. DISPOSITION OF EQUIPMENT**

Disposition of equipment is addressed in SAA Informational Bulletin #3 found in Appendix A.

**B. EQUIPMENT VS SUPPLIES**

An “equipment” item is a material unit which meets **ALL** of the following conditions:

- It retains its original shape and appearance with use.
- It is nonexpendable; that is, it is usually more feasible to repair it rather than replace it with an entirely new unit.
- It does not lose its identity through incorporation into a different or more complex unit or substance.

Therefore, if an item does not meet **all** of the above criteria it must be considered as a “supply” item.

**C. SAFEGUARDING GOVERNMENT PROPERTY**

A control system shall be in effect to ensure adequate safeguards to prevent loss, damage, or theft of the property. Sub-recipients are responsible for replacing or repairing the property which is willfully or negligently lost, stolen, damaged or destroyed. Any loss, damage or theft of the property must be investigated and fully documented, and made part of the official grant record. The investigation report and documentation shall be submitted to the SAA.

{Page intentionally left blank}

## **VI. BIENNIAL STRATEGY IMPLEMENTATION REPORT (BSIR) AND GRANT CLOSE OUT**

Sub-recipients will be required to submit updated strategy implementation information biannually. BSIRs will satisfy the narrative reporting requirement, which are due within 30 days after the end of the reporting periods (June 30 and December 31), for the life of the award. BSIRs will update information on obligations, expenditures, and progress made on activities noted in the Initial Strategy Implementation Plan (ISIP), and will include an update of all information submitted in that report. The report format for the BSIR will be identical to the ISIP. Sub-recipients are also required to submit a Final Strategy Implementation Report **90 days** after the end date of the federal performance period.

SAA grant close-outs are done once the period of performance has ended for the sub-recipient. Any funds not expended will be reallocated according to SAA guidance. Any unexpended funds will be de-obligated at the end of the federal grant period of performance and returned to FEMA.

### **A. REGIONAL / LOCAL LEVEL CLOSEOUT**

- Close out and reconciliation of grant within 45 days after end of the sub-recipient performance period or any approved extensions
  - Submission of any outstanding invoices and related expenditure documents
- Awarded funds that were not expended will be reallocated according to SAA policy
- Complete final progress report in SPARS
  - Status of projects
  - Milestones accomplished
- Complete Final Strategy Implementation Report requirements for respective jurisdictions within 90 days after the end of the federal performance period

### **B. STATE / FEDERAL LEVEL CLOSEOUT**

- Close out due within 90 days after end of the federal performance period or any approved extensions
  - No new expenditures can be submitted during close out
  - All adjustments, credits, and reconciliations must be completed
  - Once closeout is complete no adjustments or reimbursements will occur; sub-recipients will have to contact FEMA directly to submit payments or credits

**C. RETENTION OF RECORDS**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of three years from the date of submission of the final expenditure report per OMB Circular A-110. The three year period begins after the SAA has submitted the final report for the state, not when the sub-recipient has submitted its report to the SAA.

**D. ACCESS TO RECORDS**

OMB Circular A-110.53 sets forth requirements for record retention and access to records for awards to recipients.

## **VII. MONITORING**

As the grantee of homeland security grant funding for Texas, the SAA, assisted by the Council of Governments (COGs) pursuant to their Statement of Work, is responsible for monitoring sub-award activities. The SAA monitors sub-recipients to provide assurance that the Federal award is administered in compliance with Federal and State requirements and ensure performance is achieved.

### **A. MONITORING PROCESS**

Monitoring begins from the time a jurisdiction receives a grant award and continues throughout the life of the grant. The monitoring process includes reviews and approvals of expenditure requests, reimbursements, property management, financial records, and other activities associated with allocating and expending grant funds. Annual single A-133 audits are reviewed for those sub-recipients that expend \$500,000 in Federal and state funds. Quarterly performance reports are also analyzed. Periodically, the SAA and COGs will conduct monitoring through desk reviews and on-site visits.

### **B. DESK REVIEWS AND ON-SITE VISITS**

In desk reviews, to substantiate progress and ensure compliance with Federal regulations and grant terms and conditions, monitors conduct detailed, paper-based reviews and evaluations of financial transactions, progress reports, correspondence, and other grant documentation. After completing the desk review, monitors may also decide to conduct an on-site visit.

When the SAA conducts on-site monitoring, it sends a pre-monitoring letter/email to the jurisdiction. In the letter, SAA staff will confirm location, date, and time of the visit, and introduces the team of SAA and COG staff conducting the monitoring. The letter also requests the necessary sub-recipient representatives who should be available (i.e. the designated representative, authorized official, and/or procurement official) and highlights some of the materials / equipment necessary for monitoring. Enclosed in the letter is also a Representation Form and the Monitoring Checklist.

*(Continued on next page)*

**TEXAS DEPARTMENT OF PUBLIC SAFETY**

5805 N. LAMAR BLVD • BOX 4087 • AUSTIN, TEXAS 78773-0001  
512/424-2000

[www.txdps.state.tx.us](http://www.txdps.state.tx.us)



STEVEN C. McCRAW  
DIRECTOR  
LAMAR BECKWORTH  
CHERYL MacBRIDE  
DEPUTY DIRECTORS



COMMISSION  
ALLAN B. POLUNSKY, CHAIR  
C. TOM CLOWE, JR.  
ADA BROWN  
JOHN STEEN  
CARIN MARCY BARTH

DATE

Name of Elected Official  
Title  
Address  
City, State, Zip Code

Dear Sir/Ma'am:

This letter is to follow-up a recent notification by the Texas Department of Public Safety State Administrative Agency of an on-site monitoring review at \_\_\_\_\_ on **DATE of Review**. The purpose of the visit is to verify that your Homeland Security grant award is administered in compliance with grant requirements and the Sub-recipient Agreement. Also included is a review of your jurisdiction's performance in support of the Texas Homeland Security Strategic Plan.

Grant eligibility will be reviewed including, but not limited to your Emergency Management Plan level, NIMS compliance, TRRN registration and certification, and financial records. Your inventory control process will be evaluated. Grant funded assets over \$5,000 and all controlled assets will be checked including your inventory control log, tagging, maintenance, security, and deployment. The jurisdiction will need to document compliance with its procurement process in purchasing grant funded assets.

We look forward to working with you during our visit for a safer Texas.

Sincerely,

Machelle Pharr  
Deputy Assistant Director  
Texas Homeland Security, State Administrative Agency

MP:cs

Enclosures: 1 - Representation Form  
2 - SAA Monitoring Checklist

**Notification Letter**



**Sample Copy**  
**Representation Form**

We request that this form be signed in blue ink and returned to the monitor on the date of the visit. The jurisdiction confirms, via signature, the following representations.

1. We are responsible for ensuring that equipment is tracked and secured in the manner that is most likely to prevent theft, loss, damage, or misuse of assets.
2. We have ensured purchased equipment has been opened, inspected, and readied for immediate deployment.
3. The purchased equipment supports the Texas Homeland Security Strategic Plan and the jurisdiction's sub-recipient agreement.

These representations are made in good faith and to the best of our knowledge and belief.

\_\_\_\_\_  
Jurisdiction POC or Designee/Date

**Representation Form**



**Sample of only Cover Page**  
**SAA MONITORING CHECKLIST**



| SUPPLANTING VERIFICATION   | REFERENCE  |
|--|--|
| Did your jurisdiction use grant money to pay for items that had previously been appropriated for in your local budget? | Office of Grants Management<br>Financial Guide and Uniform Grant Management Standards (UGMS) 2004  |
| <b>FINANCIAL MANAGEMENT</b>  |  |
| What is your jurisdiction's procurement policy?  | Office of Grants Management<br>Financial Guide, Uniform Grant Management Standards (UGMS) 2004, Local Government Code Chapters 252 (municipalities) and 262 (counties) |
|  | <b>Note:</b> Copies of your procurement policy will be requested and reviewed to ensure compliance with State standards  |
| Did your jurisdiction analyze the approved purchasing methods to determine the best option for purchase?               | Office of Grants Management<br>Financial Guide, Uniform Grant Management Standards (UGMS) 2004, and Federal grant guidelines.  |
|  | <b>Note:</b> Prime Vendor, HGAC or Local Purchase  |

**Monitoring Checklist**

During the on-site or desk-review, SAA personnel will conduct a review and complete the Monitoring Checklist. The most common problem areas found during monitoring visits include:

- the jurisdiction has not adopted or cannot locate its National Incident Management System (NIMS) Plan or its procurement policy;
- the jurisdiction failed to check whether its vendors are on the Excluded Parties List System at [www.EPLS.gov](http://www.EPLS.gov);
- the jurisdiction's inventory failed to list all equipment purchased with grant funds for more than \$5,000, or did not collect each of the 12 pieces of required information, see the Property Inventory Control Log; or finally,
- the jurisdiction used grant-funded vehicles improperly. Vehicle logs must be kept and no executive transport with grant-funded vehicles is allowed. The list of forms are located on SAA's website at [www.txdps.state.tx.us/director\\_staff/saa/audit\\_and\\_compliance.htm](http://www.txdps.state.tx.us/director_staff/saa/audit_and_compliance.htm)

### NIMSCAST Website

**Welcome to the NIMSCAST!**

https://www.fema.gov/nimscast/

**FEMA National Integration Center**

NIMS Compliance Assistance Support Tool (NIMSCAST)

not logged in

**Welcome to the NIMS Compliance Assistance Support Tool (NIMSCAST)**

Welcome to the National Incident Management System (NIMS) Compliance Assistance Support Tool (NIMSCAST). FEMA's National Integration Center designed the NIMSCAST as the premier self-assessment instrument for State, tribal, and local governments to evaluate and report their jurisdiction's implementation of NIMS.

Beginning in Fiscal Year (FY) 2005, Homeland Security Presidential Directive (HSPD)-5 requires Federal departments and agencies to make adoption of the NIMS by State and local organizations a condition for Federal preparedness assistance through grants, contracts, or other activities. The National Integration Center relies on its implementation guidelines (objectives) contained in the NIMSCAST determine if States have met the HSPD-5 adoption requirement.

The 2010 NIMS implementation guidance remains the same as in previous FYs 2008 and 2009. Users need to review, update (as appropriate), and save their responses to each implementation metric. Once complete, users will need to "Submit for Rollup" to record your jurisdiction's responses. Additionally, State, tribal, and local governments following the Five-Year NIMS Training Plan, can now use NIMSCAST to assess and report on the following NIMS implementation Objectives pertaining to the following courses: IS-701: *NIMS Multiagency Coordination System*, IS-702: *NIMS Public Information Systems*, IS-703: *NIMS Resource Management*, IS-704: *NIMS Communication and Information Management*. For additional information on the Five-Year NIMS Training Plan, select "Five-Year Training Plan" under "Resources" on the left tool bar or visit the NIMS Resource Center.

**Note:**

- All established accounts, user permissions and/or rolled-up assessments that were previously entered in the NIMSCAST have been maintained.
- As of June 20, 2008 the NIMSCAST will no longer be collecting responses to the 2005-2006 NIMSCAST assessments, data entered into the system will still be available for review via the reporting functions. Ability to change FYs 2007-2009 NIMSCAST data is restricted on a State-by-State basis.

**OMB NO.: 1660-0087**  
EXPIRATION DATE: 01/31/2013

**PAPERWORK BURDEN DISCLOSURE NOTICE**

Public reporting burden for this data collection is estimated to average 5 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 this form. You are not required to respond to this collection of information unless a valid OMB control number is displayed on this form. 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, 1800 South Bell Street, Arlington, VA 20588-3005, Paperwork Reduction Project (1550-0087) **NOTE: Do not send your completed**





## CHAPTER VII

SAA Sub-recipient Manual: Volume II

### TEXAS DEPARTMENT OF PUBLIC SAFETY

5805 N LAMAR BLVD • BOX 4087 • AUSTIN, TEXAS 78773-0001

512/424-2000

[www.dps.texas.gov](http://www.dps.texas.gov)



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COMMISSION  
ALLAN B. POLUNSKY, CHAIR  
ADA BROWN  
JOHN STEEN  
CARIN MARCY BARTH  
A. CYNTHIA LEON

Name of elected Official  
Title/Jurisdiction  
Address  
City and State

Dear: \_\_\_\_\_

This letter forwards for your review a copy of the draft report for the homeland security grant monitoring and compliance review conducted on September 7, 2011. Because deficiencies were noted, a Technical Assistance Plan is enclosed for adoption as your jurisdiction's Corrective Action Plan. To do so, within 20 calendar days of this report, please sign and return the corrective action/technical assistance plan (TAP) to the THSSAA.

The Texas Department of Public Safety and the State Administrative Agency will assume you concur with the report and adopt the TAP unless you advise us otherwise in writing within 20 calendar days.

Completion of all TAP items is due by (30, 60 days or date specified). Failure to complete all TAP items within timeframe specified may lead to the jurisdiction's grant funding being withheld, or suspended as outlined in 44 CFR § 13.43(a)(1)-(4).

Using the enclosed reply fax sheet, I request that you acknowledge receipt of the draft report and TAP within 10 calendar days.

Sincerely,

Machelle Pharr  
Deputy Assistant Director,  
Texas Homeland Security, State Administrative Agency

MP:jd

Enclosures: 1 – Draft Report  
2 – SAA Reply Form  
3 – Technical Assistance Plan

### Post Monitoring Letter



**First Page Only**  
**Homeland Security Grant Review**  
**Name of Jurisdiction/Entity**  
**Date of the Review**  
**Report Number XXXX**

Overview

The Texas Department of Public Safety, State Administrative Agency (TxDPS/SAA) Monitoring and Compliance team conducted an on-site review of **Name of Jurisdiction**. The focus of this review was to ensure the jurisdiction complied with the regulations and guidelines of the Homeland Security Grant Program.

The SAA provided technical assistance and will continue to work with the jurisdiction to correct the deficiencies listed in this report. A Technical Assistance Plan is included with this report.

Summary of Monitoring Results

**Jurisdiction Provided Assurance Grant Funds Used to Supplement Existing Funds and Not Replace Funds that Have Been Approved for the Same Purpose as Required By the HSGP Grant Guidance**

- Confirmed by the Jurisdiction       Not Confirmed by the Jurisdiction

**Purchase Methods Analyzed to Provide the Best Value for Purchased Items as required by 44 CFR 13.36, UGMS Subpart C(.36) and Local Government Code 252 and 262**

- Satisfactory       Needs Improvement       Corrected

**Spending Plan or Timetable Outlining Expenditure of Homeland Security Grant Funds as Required by the SAA**

- Satisfactory       Needs Improvement       Corrected

**Jurisdiction has Followed Competitive Bidding and Sole Source Guidelines as Required by 44 CFR 13.36, UGMS Subpart C(.36) and Local Government Code 252 and 262**

- Satisfactory       Needs Improvement       Corrected

**Economic Hardship Procedures Followed as Required by SAA Information Bulletin No. 9**

- Satisfactory       Needs Improvement       Corrected       Not Applicable

**Local Procurement Policy Complies with Local Government Code 252 (Cities and Councils of Governments) and Local Government Code 262 (Counties)**

- Satisfactory       Needs Improvement       Corrected

**Draft Monitoring Report**

# TEXAS DEPARTMENT OF PUBLIC SAFETY

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512/424-2000

[www.txdps.state.tx.us](http://www.txdps.state.tx.us)



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C. TOM CLOWE, JR.  
ADA BROWN  
JOHN STEEN  
CARIN MARCY BARTH

## R E P L Y F A X

Please acknowledge receipt of the draft report for the SAA Monitoring visit conducted on \_\_\_\_\_ . Sign and fax this form to SAA upon receipt.

Name: \_\_\_\_\_

Signature: \_\_\_\_\_  
Chief Elected Official/Executive

**Please sign and fax to 512-206-3137**  
**NO COVER SHEET REQUIRED**

If unable to fax, please mail form to:

TxDPS – SAA  
Attn: Audit Compliance Unit  
P.O. Box 4087  
Austin, TX 78773-0270

You may also scan and email to: [Cedic.Scott@txdps.state.tx.us](mailto:Cedic.Scott@txdps.state.tx.us)

**Acknowledgement of Report Letter**

## CHAPTER VII

### SAA Sub-recipient Manual: Volume II

| <b>TECHNICAL ASSISTANCE PLAN</b>   |  |       |              |        |
|--|--|-------|--------------|--------|
| <b>JURISDICTION:</b>   |  |       | <b>DATE:</b> |        |
| Ref #  | TECHNICAL ASSISTANCE ITEM  | Grant | ACTION       | STATUS |
| 2011.1   | Jurisdiction will provide to the SAA a NIMS training implementation plan and a letter from the County Judge confirming that the training plan has been implemented as County policy. | All   |              |        |
| <p><b>I have read and understand the deficient items listed needing corrective action and will choose the following action :</b><br/> <b>Please initial the appropriate response below.</b></p> <p><input type="checkbox"/> I adopt the TAP as provided by the SAA in its current form as our corrective action plan.</p> <p><input type="checkbox"/> The jurisdiction will provide its own corrective action plan within 20 calendar days to the SAA.</p> <p style="text-align: right; margin-right: 100px;">_____<br/>Name of elected official / Date</p> <p style="font-size: small; margin-top: 10px;">Please sign and return this form within 20 calendar days to the Texas Homeland Security State Administrative Agency,<br/>1033 La Posada, Austin, Texas 78752. Fax- 512-206-3137</p> |  |       |              |        |

### Technical Assistance Plan

## D. FREQUENTLY ASKED MONITORING QUESTIONS

### 1. WHAT IS MONITORING VERSUS AUDITING

- **Monitoring** – to watch and keep track of – check for a special purpose
  - Is preventative
  - Oversight and stewardship of Federal funds
  - Assessment of performance and progress
  - Quality assurance and control
  - Compliance to regulations, Administrative Requirements, OMB Circulars / 2 CFR Grants and Agreements
  - Not a one-time event, but an on-going process
  - Requires Technical Assistance (TA)
- **Auditing** – to conduct a formal examination of an organization
  - Is corrective or curative

### 2. WHY MONITOR?

- Assess progress of the sub-recipient
- Identify and correct problems early
- Work with sub-recipient to correct problems
- Prevent waste, fraud, and abuse
- Ensure good performance and success
- Develop working relationships with the jurisdictions
- Ensure Federal requirements are met (44 CFR § 13.40)

- Ensure OMB Circular A-133 Single Audit requirements are met (\$500,000 or more federal funds expended in a fiscal year grant)
- To ensure and assess:
  - Programmatic objectives are achieved
  - FEMA grant funds and any required matching are expended in ways that meet the provisions of pertinent statutes, regulations, Administrative Requirements, and relevant OMB Circulars
  - Property and other grant-related resources are appropriately protected

### **3. WHAT IS MONITORED?**

- Programmatic
  - Strategic and objectives based
  - Technical
  - Performance
- Financial
  - Business and financial administration
  - Evidence of expenditures
  - Compliance with Federal financial rules and program requirements

### **4. WHAT ARE THE TYPES OF MONITORING?**

- Desk Reviews
  - Detailed, paper-based review and evaluation of required financial and progress reports, correspondence, and other documentation, including grantee policies and procedures, to substantiate progress and compliance
  - Verifies grantee compliance with Federal regulations, Terms, and Conditions
  - Identifies exceptions and potential issues
  - Financial
    - Review of transactions
    - Can be reviewed on a regular basis
    - Core review of a grantees' general management practices
    - May require further scrutiny through on-site financial monitoring
- Electronic Grant Management System (EGMS) – currently using State Preparedness Assessment Reporting System (SPARS) to monitor daily and assist in accomplishing desk reviews
- Site Visits (On-site)
  - Visit by FEMA/SAA program staff and/or grants management staff to the site of grantee operations and/or selected performance sites (e.g., for sub-grants) to substantiate progress and compliance with laws, regulations, and policies, or to provide technical assistance
  - Ideally conducted by a team
  - Assess grantees' capability, performance, and compliance against administrative regulations and public policy requirements

## APPENDIX A – SAA INFORMATION BULLETINS

### SAA Sub-recipient Manual: Volume II

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Informational Bulletins can be obtained at [http://www.txdps.state.tx.us/director\\_staff/saa/](http://www.txdps.state.tx.us/director_staff/saa/).

Information Bulletin, No. 1 Guideline for Equipment Management Procedures

[GDEM-SAA Information Bulletin, No. 1, June 16, 2006](#)

Homeland Security Grant Program (HSGP) Equipment Management Guideline – Use of Grant-Funded Vehicles

Information Bulletin, No. 2 Guideline for Equipment Tagging Procedures

[GDEM-SAA Information Bulletin, No. 2, August 10, 2006](#)

Homeland Security Grant Program (HSGP) Equipment Management Guideline – Equipment Tagging Procedures

Information Bulletin, No. 3 Guideline for Disposition of Purchased Equipment

[GDEM-SAA Information Bulletin, No. 3, August 31, 2006](#)

GDEM-SAA Homeland Security Grant Program (HSGP) Equipment Management Guideline- Disposition of Grant-Purchased Equipment

Information Bulletin, No. 4 Guideline for Elevated Security Threat Reimbursement

[GDEM-SAA Information Bulletin, No. 4, September 22, 2006](#)

GDEM-SAA Homeland Security Grant Program (HSGP) Elevated Security Threat Reimbursement Guidelines

[Elevated Security Threat Reimbursement Form](#)

Information Bulletin, No. 5 Guideline for Interoperable Communications

[GDEM-SAA Information Bulletin, No. 5, March 22, 2007](#)

GDEM-SAA Homeland Security Grant Program (HSGP) Interoperable Communications

Information Bulletin, No. 7 Guideline for M&A Funds Associated with HSGP

[GDEM-SAA Information Bulletin, No. 7, August 22, 2007](#)

Clarification of Available Personnel and Management and Administration (M&A) Funds Associated with the Homeland Security Grant Program (HSGP)

Information Bulletin, No. 9 Guideline for Cash Advance

[GDEM-SAA Information Bulletin, No. 9, January 10, 2008](#)

GDEM - SAA Homeland Security Grant Program (HSGP) Cash Advance Requirement Guideline

Information Bulletin, No. 11 Sole Source Procurement Requirement Guideline

[GDEM-SAA Information Bulletin, No. 11, March 3, 2009](#)

Sole Source Procurement Requirement Guideline

Sole Source Checklist

Justification to awarding agency for Non-competitive Procurement (Sole Source Contracting)

Information Bulletin, No. 12 Allowable and Unallowable Costs

[GDEM-SAA Information Bulletin, No. 12, June 3, 2009](#)

Clarification of Allowable and Unallowable Costs for the 2008 IECGP

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## APPENDIX A – SAA INFORMATION BULLETINS

### SAA Sub-recipient Manual: Volume II

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Information Bulletin, No. 13 Allowable and Unallowable Costs

[TDEM-SAA Information Bulletin, No. 13, December 1, 2009](#)

Expenditure Request – Required Documentation

Information Bulletin, No. 14 Grant Funded Out-Of-State Travel

[TDEM-SAA Information Bulletin, No. 14, December 1, 2009](#)

Approval process for an out-of-state travel request

Information Bulletin, No. 15 Operation Stonegarden Procedures

[TDEM-SAA Information Bulletin, No. 15, January 11, 2010](#)

Guidance and procedures for Operation Stonegarden reimbursement

Information Bulletin, No. 11-001 Guidance for Non-governmental Entity Receipt of HSGP  
Funded Equipment

[SAA Information Bulletin, No. 11-001, March 2, 2011](#)

Property Transfer Record Agreement

Property Permanent Loan Form

Information Bulletin, No. 11-004 Council of Governments Statement of Work

[SAA Information Bulletin, No. 11-004, August, 2010](#)

**SPARS State Preparedness Assessment and Reporting Service**

<https://www.texasdpa.com/>

SPARS is a customized grant management tool that is designed to increase the ease of overseeing homeland security grants. It is a Secure Sockets Layer (SSL) encrypted, web-based application that can be accessed anywhere you have an Internet connection. (Password Required)

**National Incident Management System Integration Center (NIC)**

<http://www.fema.gov/emergency/nims/>

The NIC was established by the Secretary of Homeland Security to provide strategic direction for and oversight of the National Incident Management System (NIMS).

**Responder Knowledge Base**

<https://www.rkb.us/>

This Knowledge Base was created to provide Emergency Responders, purchasers, and planners with a trusted, integrated, on-line source of information on products, standards, certifications, grants, and other equipment-related information. It includes grant guidance, authorized equipment list (AEL) codes, tabs for grant allow-ability, and previous AEL numbers.

**U.S. Department of Justice Office of Justice Programs Financial Guide**

<http://www.ojp.usdoj.gov/financialguide/>

This document is provided for the use of all recipients and their sub recipients of federal grant programs administered by the Office of Justice Programs (OJP).

**FEMA Homeland Security Grants**

<http://www.fema.gov/government/grant>

Provides guidance on homeland security grants.

**Texas State Interoperability Executive Committee**

<http://www.tsiec.region49.org/>

This site contains links to the COG's Interoperability Plans and news regarding interoperability progress.

**Office of the Governor Grant Guidelines and Instructions for State Agencies and Others**

<http://governor.state.tx.us/homeland/>

<http://governor.state.tx.us/grants/>

**Texas Association of Regional Councils**

<http://www.txregionalcouncil.org/>

The Texas Association of Regional Councils (TARC) was organized in 1973 by interlocal agreement among Texas' 24 regional councils of governments. The statewide association assists the regional councils in strengthening their capabilities to serve their local government members; provides a forum for the regular exchange of information and ideas; educates other governmental entities, public and private organizations, and the general public about the services and functions of regional councils; and represents the councils before both state and federal agencies and legislative bodies.

**Citizen Corps by Region**

<http://www.txregionalcouncil.org/display.php?page=cc/index.php&sub=cc>

**Lessons Learned Information Sharing**

<https://www.llis.dhs.gov/index.do>

This website is the national network of Lessons Learned and Best Practices for emergency response providers and homeland security officials. *LLIS.gov's* secure, restricted-access information is designed to facilitate efforts to prevent, prepare for and respond to acts of terrorism and other incidents across all disciplines and communities throughout the US.

**Excluded Parties List System**

<https://www.epls.gov/>

This site is a public service by General Services Administration (GSA) for the purpose of efficiently and conveniently disseminating information on parties that are excluded from receiving Federal contracts, certain subcontracts, and certain Federal financial and non-financial assistance and benefits.

**SAFECOM**

<http://www.safecomprogram.gov/SAFECOM>

SAFECOM, a communications program of the Department of Homeland Security's Office for interoperability and Compatibility (OIC), with its Federal partners, provides research, development, testing and evaluation, guidance, tools, and templates on communications-related issues to local, tribal, state, and Federal emergency response agencies.

**Fusion Center Guidelines** (Large PDF - 5.74 MB)

[http://it.ojp.gov/documents/fusion\\_center\\_guidelines\\_law\\_enforcement.pdf](http://it.ojp.gov/documents/fusion_center_guidelines_law_enforcement.pdf)

**Texas Homeland Security Conference 2010 – Presentation: "How Grants Work" (PDF)**

<http://www.txdps.state.tx.us/dem/saa/documents/HowGrantsWork.pdf>

SAA overview of the Homeland Security Grant process. Presented at the Texas Homeland Security Conference – February 18, 2010

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APPENDIX C -- GLOSSARY  
SAA Sub-recipient Manual: Volume II

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**Allowable Costs** - A cost is allocable to a particular cost objective if the goods or services involved are chargeable or assignable to such cost objective in accordance with relative benefits received.

**Authorized Equipment List (AEL)** - The AEL is published by the FEMA Grant Programs Directorate, Department of Homeland Security, and is used to determine equipment allowability under multiple grant programs.

**Catastrophic Events** - Sudden, natural or man-made situations where change and destruction may occur without prior knowledge or preparation; such occurrences may limit normal functions in daily living including communications and travel.

**Construction** – As defined by DHS for the EOC Grant Program, *construction* refers to building a new facility or any changes to the footprint of an existing facility, while *renovation* refers to internal improvement to an existing facility.

**Grant Group(s)** - A Grant Group is a group of staff members assigned to a specific region in Texas for the purpose of grant administration, management, and monitoring. The Grant Group consists of a group leader, grant coordinators, grant technicians, and a monitor.

**Investment Justification (IJ)** - An IJ is formal written justification for the investment of projects being considered for grant funding. An IJ must demonstrate how a proposed project will improve emergency management and preparedness capabilities as outlined in the DHS's Program Guidance and Application Kit. IJs must be submitted to the SAA.

**Law Enforcement Terrorism Prevention Activities (LETPA)** – States are required to ensure at least 25 percent of SHSP appropriated funds and 25 percent of UASI appropriated funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities, including those activities which support development and operation of fusion centers.

**Memorandum of Understanding (MOU)** - An MOU may be used as a confirmation of agreed upon terms; it may also be a contract used to set forth the basic principles and guidelines under which parties will work together to accomplish their goals.

**National Environmental Policy Act (NEPA)** – NEPA is a [United States environmental law](#) that established a U.S. national policy promoting the enhancement of the environment and also established the [President's Council on Environmental Quality](#) (CEQ).

**National Historic Preservation Act (NHPA)** - NHPA, (Public Law 89-665; 16 U.S.C. 470 *et seq.*) is legislation intended to preserve historical and archaeological sites in the United States of America. The act created the [National Register of Historic Places](#), the list of [National Historic Landmarks](#), and the [State Historic Preservation Offices](#). Senate Bill 3035, the National Historic

Preservation Act, was signed into law on October 15, 1966; several amendments have been made since, i.e., *the act requires Federal agencies to evaluate the impact of all Federally funded or permitted projects on historic properties (buildings, archaeological sites, etc.) through a process known as Section 106 Review.*

**Point of Contact (POC)** – A POC is the identification of, and means of communication with, person(s) and organizations(s) associated with the resource(s). A POC can be a person or a department serving as the coordinator or focal point of information concerning an activity or program. POCs are used in many cases where information is time sensitive and accuracy is important.

**Responder Knowledge Base (RKB)** – The RKB provides emergency responders, purchasers, and planners with an online source of information on products, standards, certifications, grants, and other equipment-related information.

**Statement of Work** - A Statement of Work (SOW) is a formal document that captures and defines the work activities, deliverables and timeline a vendor will execute against in performance of specified work for a customer. Detailed requirements and pricing are usually included in the Statement of Work, along with standard regulatory and governance terms and conditions.

**Sub-Recipient/Sub-Grantee** - The terms Sub-Recipient and Sub-Grantee are used interchangeably to define entities of government that receive grant awards. A Sub-Recipient is a State, city, local, non-profit, tribal Government, or other governmental agency that receives Federal or State grant funds administered by the *grantee*, the *Texas State Administrative Agency*. The sub-recipient is monitored by, and accountable to the grantee.

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APPENDIX D -- ACRONYMS  
SAA Sub-recipient Manual: Volume II

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|                 |  |
|-----------------|--|
| <b>AEL</b>      | Authorized Equipment List  |
| <b>AAR</b>      | After Action Report  |
| <b>APCO</b>     | Association of Public Safety Communication Officials                         |
| <b>ARRA</b>     | American Recovery and Reinvestment Act                                       |
| <b>BISR</b>     | Bi-Annual Strategy Implementation Report                                     |
| <b>CBRNE</b>    | Chemical, Biological, Radiological, Nuclear, Explosive                       |
| <b>CBP</b>      | U.S. Customs and Border Protection   |
| <b>C2C</b>      | Cost to Capability   |
| <b>CCP</b>      | Citizen Corps Program  |
| <b>CDP</b>      | Center for Domestic Preparedness   |
| <b>CERT</b>     | Community Emergency Response Teams   |
| <b>CFDA</b>     | Catalog of Federal Domestic Assistance                                       |
| <b>CFR</b>      | Code of Federal Regulation   |
| <b>CIKR</b>     | Critical Infrastructure Key Resource   |
| <b>COG</b>      | Councils of Government   |
| <b>CRI</b>      | Cities Readiness Initiative  |
| <b>CSID</b>     | Centralized Scheduling and Information Desk                                  |
| <b>CT</b>       | Counter Terrorism  |
| <b>DHS</b>      | U.S. Department of Homeland Security   |
| <b>DOJ</b>      | U.S. Department of Justice   |
| <b>DUNS</b>     | Data Universal Numbering System  |
| <b>EHP</b>      | Environmental Planning and Historic Preservation                             |
| <b>EMD</b>      | Emergency Management Division  |
| <b>EMPG</b>     | Emergency Management Performance Grant                                       |
| <b>EOC</b>      | Emergency Operation Plan   |
| <b>EPHSM</b>    | Environmental and historic preservation screening memo                       |
| <b>ESAR-VHP</b> | Emergency Systems for Advance Registration of Volunteer Health Professionals |
| <b>FAR</b>      | Federal Acquisition Regulations  |
| <b>FEMA</b>     | Federal Emergency Management Agency  |
| <b>FEMA GPD</b> | Federal Emergency Management Agency Grand Program Division                   |
| <b>FOIA</b>     | Freedom of Information Act   |
| <b>FSR</b>      | Financial Status Report  |
| <b>GAN</b>      | Grant Adjustment Notice  |
| <b>GDEM</b>     | Governors Division of Emergency Management                                   |
| <b>GIS</b>      | Geographic Information System  |
| <b>GOS</b>      | Grant Operations Section   |
| <b>GPD</b>      | Grants Program Directorate   |

APPENDIX D -- ACRONYMS  
SAA Sub-recipient Manual: Volume II

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|                  |   |
|------------------|---|
| <b>HazMat</b>    | Hazardous Materials   |
| <b>HSEEP</b>     | Homeland Security Exercise and Evaluation Program   |
| <b>HHS/ASPR</b>  | Department of Health and Human Services/Assistant Secretary for Preparedness and Response |
| <b>HSGP</b>      | State Homeland Security Grant Program   |
| <b>ICS</b>       | Incident Command System   |
| <b>ICTAP</b>     | Interoperable Communication Technical Assistance Program                                  |
| <b>IJ(s)</b>     | Investment Justification(s)   |
| <b>IP</b>        | Improvement Plan  |
| <b>ISIP</b>      | Initial Strategy for Implementation Plan  |
| <b>IWN</b>       | Integrated Wireless Network   |
| <b>LEAP</b>      | Law Enforcement Activities Program  |
| <b>LETPA</b>     | Law Enforcement Terrorism Prevention Activity   |
| <b>LSIS</b>      | Lessons Learned Information Sharing   |
| <b>M &amp; A</b> | Management and Administration   |
| <b>MOA</b>       | Memorandum of Agreement   |
| <b>MOU</b>       | Memorandum of Understanding   |
| <b>MRC</b>       | Medical Reserve Corp  |
| <b>NECP</b>      | National Emergency Communications Plan  |
| <b>NEPA</b>      | National Environmental Policy Act   |
| <b>NIC</b>       | NIMS Integration Center   |
| <b>NIMS</b>      | National Incident Management System   |
| <b>NIMSCAST</b>  | National Incident Management System Compliance Assistance Support Tool                    |
| <b>NIPP</b>      | The National Infrastructure Protection Plan   |
| <b>NPG</b>       | National Preparedness Goal (NPG)  |
| <b>NSGP</b>      | Non-Profit Security Grant Program   |
| <b>NRP</b>       | National Response Plan  |
| <b>OASIS</b>     | Organization for the Advancement of Structured Information Standards                      |
| <b>OEC</b>       | Office of Emergency Communications  |
| <b>OJP</b>       | Office of Justice Programs  |
| <b>OGT</b>       | Office of Grants and Training   |
| <b>OMB</b>       | Office of Management and Budget   |
| <b>OPSG</b>      | Operation Sonegarden  |
| <b>O&amp;M</b>   | Operations and Maintenance  |
| <b>PA</b>        | Program Analyst   |
| <b>PHEP</b>      | Public Health and Emergency Preparedness  |
| <b>POC</b>       | Point of Contact  |
| <b>POETE</b>     | Planning, Organization, Equipment, Training, Exercises                                    |
| <b>PM</b>        | Program Manager   |