



RIEMA RHODE ISLAND EMERGENCY MANAGEMENT AGENCY

Sub-Recipient Grant Management Handbook

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Rhode Island Emergency Management Agency
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Overview

The *Sub-Recipient Grant Management Handbook* serves as a primary reference manual to safeguard federal grant funds and ensure they are used for the purposes for which they were awarded. This handbook will serve as a day-to-day management tool for sub-recipients in administering grant programs. For additional information on grants management, please visit the RIEMA website.

As per Presidential Policy Directive 8 (PPD-8) and Rhode Island General Law 30-15, the Rhode Island Emergency Management Agency (RIEMA) will utilize grant funding to support the National Preparedness Goal (Goal) in establishing a secure and resilient Nation with capabilities required across the whole community to **prevent**, **protect** against, **mitigate**, **respond** to, and **recover** (core capabilities) from the threats and hazards that pose the greatest risk.

PPD-8 identifies those core capabilities contained in the Goal as the distinct critical elements necessary for our success. They are highly interdependent and will require RIEMA to use existing planning and prevention networks and activities, improve training and exercise programs, promote innovation, and ensure that the administrative, finance, and logistics systems are in place to support these capabilities.

RIEMA is pleased to respond to any questions not covered by this handbook and welcome suggestions to improve the utility and content of the handbook. Please contact the Grants Department at 401-946-9996 with any questions or suggestions.

Application Process

RIEMA will post application opportunities for sub-recipients on our website. These opportunities are dependent on grant cycles as issued by the Federal Government.

All applications will be reviewed for completeness as well as alignment with the grant guidelines. Applications from sub-recipients deemed incomplete or ineligible will be notified in writing within thirty (30) days from receipt.

Applications will be reviewed in the following areas:

1. Relevance of RIEMA's policy priorities (i.e. Investment Justification, Program Work Plans, Threat and Hazard Identification and Risk Assessment, State Preparedness Report, State Homeland Security Strategy)
2. Ability to meet any award "special conditions" as specified in grant guidance
3. Achieve project timelines and milestones
4. Expend grant funds in a timely manner
5. Timeliness and justification for award extensions and reallocations
6. Ability to comply with procurement and contracting requirements
7. Ability to comply with equipment management and reporting requirements
8. Ability to participate in mandatory grant management training and procurement training.

Applications that are reviewed and recommended for funding will be approved by the Executive Director and sub-recipients will be notified of the intent by RIEMA per a grant award letter.

Applicant Eligibility

All sub-recipients must have an active Dun and Bradstreet Data Universal Numbering System (DUNS) number in order to apply for federal funding. In addition, all sub-recipients must register with the Central Contractor Registration (CCR) database. The CCR is the primary registrant database for the U.S. Federal Government and sub-recipients are required to update or renew their registration at least once per calendar year to maintain an active status. Failure to maintain an active status will potentially result in de-obligation of all federal funds. Sub-recipients can visit the RIEMA website for further information.

Sub-recipients deemed eligible to receive federal grants, contracts, and other activities are required to adopt the National Incident Management System (NIMS) in accordance with Homeland Security Presidential Directive 5 (HSPD-5), Management of Domestic Incidents. NIMS provides a consistent nationwide approach and vocabulary to enable all levels of government, tribal nations, nongovernmental organizations, and private sector partners to work together to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity.

All sub-recipients of The Homeland Security Grant Program (HSGP) and Emergency Management Performance Grant (EMPG) Program are required to complete the NIMS Data Collection Tool for Locals and submit it electronically to RIEMA no later than November 30th of each calendar year in order to be

considered NIMS compliant and remain eligible for continued grant funding. Sub-recipients unable to adhere to NIMS standards are required to submit a Corrective Action Plan to RIEMA prior to November 30th deadline. Please visit the RIEMA website for further information concerning NIMS implementation and compliance.

Grant Award

All grant awards issued by RIEMA will include terms and conditions that include compliance requirements, federal regulations and audit requirements pertinent to the grant award. Each sub-recipient's authorizing agent will have to sign compliance documents prior to receiving an award. Descriptions and templates of these forms can be found in the Required Grant Forms section of this handbook.

1. Form 101 - Grant Assurance
2. Form 102 - Single Audit Act of 1996
3. Form 103 - Certification of Lobbying

Sub-recipients receiving awards must accept the grant award within thirty (30) days from date of certified receipt or submit a "Notice of Intent to Accept Grant Award" request detailing their need for extension of time in order to accept the grant award.

Changes to Award

All change requests to an award, whether it is programmatic or financial must be submitted to RIEMA by submitting Form 109, the Change Request Form. Changes must be consistent with grant guidelines. Requests for changes will only be considered if the sub-recipients' reporting requirements are current, and if all terms and conditions have been met at the time of the change request. Transferring of funds between allocations will only be authorized by RIEMA and will require an updated Detailed Budget Worksheet (Form 110) for grant files.

Examples of Change Requests:

- § Change of address
- § Changes in award period (extension requests) should be received 30 to 90 calendar days, depending upon grant specific guidance, prior to the end date of the award
- § Changes in project scope
- § Change in project detail
- § Change in budget
- § Change in work plan
- § Change in investment justification
- § Changes that increase or decrease the total cost of the project
- § Change in, or temporary absence of, the project manager, chief financial officer, or signatory official
- § Transfer of project or allocation

- § Release of special conditions, if required
- § Change of State Administrative Agency (SAA)

Basic Federal Grant Conditions

All sub-recipients must follow the basic federal grant conditions outlined below.

Audit Requirement of Federal Funds. OMB Circular A-133 requirements apply to non-profit organization, institution of higher education, and local governments as a whole when they or one of their departments receives federal funds. Any non-profit organization, institution of higher education, or local government receiving more than \$500,000 in federal funds *from all sources* within a 12-month period must have an OMB A-133 audit performed on the use of the funds. Each sub-recipient will sign an assurance to abide by this requirement per Form 102 and further information on OMB Circular A-133 can be found on Form 101.

Transparency Act Reporting for Federal Funds. The Federal Funding Accountability and Transparency Act (FFATA) requires RIEMA to report specific sub-recipient award information for each award greater than \$25,000 with federal funds received after October 1, 2010. Prior to receiving funds, each sub-recipient will be solicited information when necessary, to supply RIEMA with the proper information to report on.

Cost Principles for Federal Grants to State and Local Governments (OMB Circular A-87). 2 CFR Part 225 requirements apply only to state and local government sub-recipients. These regulations list and define general categories of costs that are both allowable and unallowable. Further information on cost principles can be found on Form 101.

Nondiscrimination Requirements. Any recipient of federal funds must comply with 28 CFR Part 42 along with their subcontractors, all statutorily-imposed nondiscrimination requirements such as civil rights requirements, reporting of adverse finding of discrimination, equal opportunity program requirements, which may also include, but not limited to:

- § Omnibus Crime Control and Safe Streets Act of 1968;
- § Victims of Crime Act;
- § Juvenile Justice and Delinquency Prevention Act of 2002;
- § Civil Rights Act of 1964;
- § Rehabilitation Act of 1973;
- § Americans with Disabilities Act of 1990;
- § Education Amendments of 1972;
- § Age Discrimination Act of 1975 ;
- § Ex. Order 13279 (equal protection of the laws for faith-based and community organizations); and
- § 28 C.F.R. pt. 38 (U.S. Department of Justice Equal Treatment for Faith-Based Organizations)

Administrative Guidelines

The following are basic administrative conditions that apply to all federal grants.

OMB Circular A-102 Grants and Cooperative Agreements with State and Local Governments.

This Circular establishes consistency and uniformity among Federal agencies in the management of grants and cooperative agreements with state, local, and federally recognized Indian tribal governments.

OMB Circular A-110 Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations.

This Circular establishes administrative requirements for Federal grants and agreements awarded to commercial organizations, institutions of higher education, hospitals, and other non-profit organizations.

Additional Cost Guidelines

The following are basic federal cost guidelines.

OMB Circular A-21 Cost Principles for Educational Institutions. This Circular establishes principles for determining costs applicable to grants, contracts, and other agreements with educational institutions.

OMB Circular A-122 Cost Principles for Non-Profit Organizations. This Circular establishes principles for determining costs of grants, contracts, and other agreements with non-profit organizations.

Special Conditions

Sub-recipients with special conditions on their awards are prohibited from expending any funds until those identified conditions are approved by RIEMA. Typical special conditions may be, but are not limited to, NIMS compliance, Environmental and Historic Preservation (EHP) Review, State Preparedness Report (SPR), and attendance at grant award kick-off or rollout meeting. Failure to comply with any and/or all special conditions may result in de-obligation of grant funding.

Grant Compliance

All allocated funding must be associated with a RIEMA programmatic investment justification or work plan to facilitate goals and objectives, unless otherwise stated by the Executive Director. The conditions outlined in this handbook are to enable sub-recipients to abide by state, local, and federal grant administration and requirements.

Penalties for Non-Compliance

Non-compliance may inhibit RIEMA's mission and may impose potential penalties to reprogram funding. Typical examples of non-compliance are:

- § Unwillingness or inability to attain project goals
- § Unwillingness or inability to adhere to special conditions of the grant award
- § Failure or inability to adhere to grant guidelines and federal compliance requirements
- § Improper purchasing procedures for contracts and procurements
- § Inability to submit reliable and/or timely reports

While not limited to the reasons listed above, awards may be wholly or partly suspended, or reimbursements and award modifications may be withheld. RIEMA may also withhold authority to proceed to the next phase of a project, require additional or more detailed financial reports, institute additional project monitoring, and/or establish additional prior approvals. RIEMA will notify the sub-recipient in writing of the decision(s) stating the reason(s) for penalty of non-compliance. The sub-recipient must respond with a corrective action plan or a written statement justifying compliance within thirty (30) days of receipt of notification.

Termination for Cause or Convenience

If there is a failure to respond in correcting non-compliance issues under the terms of the grant award, the award may be reduced or terminated without compensation. RIEMA may reimburse the sub-recipient only for acceptable work or deliverables, and allowable costs incurred through the date of reduction or termination. Any equipment purchased under a terminated grant may revert to RIEMA or to the awarding federal agency. A project which is prematurely terminated will be subject to the same requirements regarding audit, recordkeeping, and submission of reports as a project which runs for the duration of the project period.

Detailed Budget Worksheet

All awards issued by RIEMA are required to have a Detailed Budget Worksheet, Form 110, that requires approval prior to the issuance of the award. The worksheet will outline the budget categories (i.e. planning, organizational, equipment, training, or exercise - "POETE"), and the allocated amounts. Sub-recipients must submit an amended Detailed Budget Worksheet (Form 110) along with a Change Request (Form 109), for any request to modify an approved award. Budget revisions will not be authorized within the last thirty (30) days of the performance period or closeout.

Grant Extensions

Sub-recipients seeking a grant extension on a period of performance or Closeout must submit a request sixty (60) to ninety (90) days prior to the grant end date (depending upon grant specific guidance) and adhere to Attachment D of FEMA's Information Bulletin 379, Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding. Information Bulletin 379 can be found on the RIEMA website. In response to a written extension request, the Executive Director will provide a letter advising the sub-recipient of the extension or denial. In the result of a denial, sub-recipients can submit a written appeal justifying further review within ten (10) days of the denial letter.

Recordkeeping Requirements

Grant financial and administrative records shall be maintained by sub-recipients for a period of no less than three (3) years following the date of the closure of the grant award, or audit. Personnel and payroll records for all individuals reimbursed under the award must be maintained. Equipment records shall be maintained for a period of three (3) years following the final disposition, replacement or transfer of the equipment.

Sub-recipients shall keep separate records of different federal fiscal periods separately identified and maintained so that backup documentation may be readily located. Sub-recipients are also obligated to protect records adequately against fire or other damage. When records are stored away from the sub-recipient's principal office, a written index of the location of records stored should be on hand and available.

Grant Reporting

Sub-recipients will submit a Quarterly Progress Report, Form 104 and a Financial Quarterly Report, Form 105 to RIEMA. Forms can be found in the Required Grant Forms section of this handbook, as well as on the RIEMA website. Reports that are submitted must be signed by an authorized representative of the sub-recipient to be considered complete.

Quarterly reports are due, cyclically, no later than:

April 15 th	Reporting period January 1 – March 31
July 15 th	Reporting period April 1 – June 30
October 15 th	Reporting period July 1 – September 30
January 15 th	Reporting period October 1 – December 31

Quarterly Progress Reports detail the status of the project, compare actual accomplishments to the objectives established for the reporting period in the project timeline, report reasons for deviation, provide justification for timeline adjustment requests, and must support the Financial Quarterly Report. In filling out Form 104, sub-recipients should include any significant events or activities that occurred during the quarter. Form 105 will outline the status of the funds, show encumbrances, and receipts of program income, cash or in-kind contributions to the project, whether or not a local match is required.

Final reports for the Quarterly Progress Report and the Financial Quarterly Report are due the quarter post completion. This is part of the closeout protocols as outlined in this handbook in the closeout section.

Inventory Form, Form 107 is due by January 15th or with the final reports. Further information on this form can be found in Appendix A, Equipment Control.

All exercise purchases must include an After Action Report/Improvement Plan (AAR) and follow Homeland Security Exercise and Evaluation Program (HSEEP) guidelines. All AAR's must be submitted to the Grants Department and Exercise Department within thirty (30) days after the conclusion of an exercise.

Reimbursements

Reimbursement of expenditures may be requested at any time within the performance period if allowed according to grant guidance. RIEMA will not conduct advanced draw downs of grants, unless otherwise approved, and funds must always be dispersed properly in a timely manner. Items must be received prior to the end of the grant performance period to be reimbursed.

Reimbursement requests will be submitted with Form 106 and be substantiated by the Quarterly Progress Report, Form 104 and the Quarterly Financial Report, Form 105 upon their submission. Reimbursement will be based upon authorized and allowable expenditures as outlined in this handbook and be consistent with investment justification, work plans, project narrative, project budget details, and grant guidance. Payments may be withheld pending correction of deficiencies or for the lack of supporting documentation. Sub-recipients will be sent a written notice outlining any unallowable cost that has been submitted. Expenditures must be accompanied with supporting documentation (e.g. copies of invoices, receipts, timesheets with name/wage/hours, cost allocation, warrants, etc.). Sub-recipients are required to follow at a minimum, the RI State Purchasing Laws as outlined in Rhode Island General Law Title 37 Chapter 2 for all procurements and contracts.

Additional reimbursement information required listed below. Further procurement information can be found on the RIEMA website.

- § Personnel Costs: Payroll reports must be signed and certified by the Chief Financial Officer or authorized representative that capture the employee name, position, coded allocation to the project and amount paid are acceptable. Staff may not self-certify their own time and wages. The sub-recipient must retain and file all supporting payroll records, including time and attendance records signed by the employee and supervisor and copies of warrants as per federal recordkeeping requirements.
- § Contracts: All sole-source procurements, single vendor response to a competitive bid, and contracts over \$100,000 require RIEMA pre-approval prior to implementation. Failure to obtain pre-approval will result in denial of expenditure request. Final, signed copies of all contracts are required with all request reimbursement.
- § Program Income and Local Match: Program income may be used to supplement project costs, reduce project costs, or may be refunded to the federal government, and must be used for

allowable program costs and be expended prior to requests for reimbursement. Local matching funds must clearly support the source, the amount, and be documented and filed. Further detail on policy and procedures can be found in Appendix C, Match and Cost Sharing.

- § Equipment: Specific to Homeland Security funding, allowable equipment categories are listed on the web-based Authorized Equipment List (AEL) on the Responder Knowledge Base at <https://www.llis.dhs.gov/knowledgebase> and can be found on the RIEMA website. Supporting documentation is required with reimbursement requests and should be filed as backup for the Inventory Form, Form 104. Further details on this policy can be found in Appendix A, Equipment Control. Must follow state and local procurement procedures, which are listed below.
- § Travel: All sub-recipient travel must be pre-approved by RIEMA. Reimbursement for travel shall be calculated in accordance with the sub-recipient's local travel policy and may not exceed the state per diem rate. Further details on this policy can be found in the Travel Policy section of this handbook.
- § Training: All sub-recipient training must be pre-approved by RIEMA prior to registering or participating in training opportunities. Training reimbursements must be accompanied by the Training Approval Request, Form 108 which details overtime and backfill expenditures. Supporting documentation for this reimbursement must also include training agendas, sign in sheets for the trainees, and proof that they were paid overtime. Sub-recipients should file signed payroll sheets, or electronic equivalent, to justify payment of overtime at a specified overtime rate per audit requirements.
- § Overtime and Backfill: All overtime and backfill must be pre-approved by RIEMA. All personnel costs are subject to the funding restrictions identified by the PRICE Act (Public Law 110-412).
- § Exercise: All exercises require submission of an After-Action Report (AAR) within thirty (30) days after conclusion of the exercise.
- § Food and Beverages: Per cost principle allowances, food and/or beverage expenses provided by sub-recipients may be allowable costs if related to a grant-funded exercise or training, and is allowable in grant guidance. At a minimum, sub-recipients must conform to the State's meal allowance policy. (OMB A-87)

Travel Policy

All travel must be pre-approved by RIEMA. For requests including conferences and travel, sub-recipients must conform at a minimum to the state travel policy. This policy can be found on the State of Rhode Island Department of Administration Office of Accounts and Control website and on RIEMA's website (policy A-46 refers to in state travel and policy A-22 refers to out of state travel). The travel must be directly related to the grant award or it will be disallowed. Reimbursement for travel will be calculated in accordance with the sub-recipient's local travel policy, and not to exceed the state per diem rate. If lodging costs exceed the maximum lodging rate, approval from RIEMA must be obtained prior to commencement of travel for reimbursement to be considered.

Procurement

Procurements will comply with sub-recipient procurement policies and procedures, and at a minimum conform to Rhode Island State Purchasing Laws pursuant to Title 37 Chapter 2. Sub-recipients are also required to abide by Federal law and the standards identified in the Procurement Standards sections of 44 CFR Part 13; Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments. Below is extracted information from the State Purchasing Law.

- § For general procurements from **\$500 per transaction to \$2,500**, a state agency official may obtain three (3) telephone quotes. Each potential vendor must be provided a written copy of quote either by regular mail, e-mail or fax
- § For general procurements above **\$2,500 per transaction to \$5,000 (\$10,000 for construction)** at least three (3) written quotes should be obtained through normal mail, personal delivery, e-mail, fax or web quote. Must include at least one from a Minority Business Enterprise (MBE).
- § For general procurements above \$5,000 per transaction requires invitation to Bid Process or covered under Master Price Agreement (MPA).
- § **\$100K or Greater** – All of the above is required along with pre-approval by RIEMA. Submit all documentation for each step in the bid process to RIEMA for pre-approval.

Each sub-recipient is required to attend a mandatory state procurement training session before the acceptance of any award, unless otherwise approved.

Contracts

Any contract a sub-recipient enters into will comply with local, state and federal government contracting regulations. When sub-recipients use contractors, sub-recipients are encouraged to use small, minority, women-owned or disadvantaged business concerns and contractors to the extent practical. All contracts must be noted in the Detailed Budget Worksheet. Contract deliverables must meet the intent of the grant application and grant requirements. Justification is required for compensation applicable to individual consultant services, which must be reasonable and consistent with the amount paid for similar services in the marketplace. Sub-recipients must file detailed invoices and time and progress reports for all consultant expenditures.

Publications

Publications created with funding specific to the Department of Homeland Security, must prominently contain the following statement: "This document was prepared under a grant from the Federal Emergency Management Agency (FEMA)'s Grant Programs Directorate, U.S. Department of Homeland

Security and the Rhode Island Emergency Management Agency. Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of FEMA's Grant Programs Directorate, the U.S. Department of Homeland Security or the State of Rhode Island."

Environmental and Historical Preservation Policy

Federal environmental and historic preservation laws and Executive Orders provide the basis and direction for the implementation of federal environmental and historic preservation review requirements for FEMA funded projects. These laws and executive orders are aimed at protecting our nation's water, air, coastal, wildlife, land, agricultural, historical and cultural resources, as well as minimizing potential adverse effects to children, low-income, and minority populations.

Activities that may trigger environmental and historic review include, but are not limited to, debris removal; emergency protective measures; repair to pre-disaster conditions; equipment installation; modification, expansion, and mitigation; new construction and ground disturbance. Failure to comply with these laws could result in project delays and denial of funding. Sub-recipients must fill out FEMA's Environmental and Historic Preservation Screening Form (Form 111) before beginning any construction or altering any building, this form can be found in this document or on the RIEMA website. The form must then be sent to RIEMA, who requests approval from FEMA.

Equipment Control

The Sub-Recipient Grant Management Handbook outlines protocols through the Equipment Control, Appendix A to gather information as outlined in the Fixed Asset Control Tracking System (FASTS) manual. The Sub-Recipient Grant Management Handbook also includes an Inventory Form (Form 107) for sub-recipients to fill out which includes the source of funding for tracking purposes.

The sub-recipient shall maintain an effective equipment management system. This system should include safeguards to prevent loss, damage or theft; maintenance procedures to keep equipment in good condition; and disposition procedures. A Sub-Recipient Grant Equipment Control Handbook, Appendix A, is available as part of this manual and on the RIEMA website for sub-recipients purchasing equipment with federal grant funds from RIEMA. Inventory Form 107, is also included and available online and shall be submitted to RIEMA annually each **January 15** with the Quarterly Financial Reports and Quarterly Progress Reports during the performance period, and continued submission is required annually until final disposition of the equipment is acquired.

The sub-recipient will display the following on any equipment purchased with a value of \$5,000.00 or more ***purchased with funds provided by the U.S. Department of Homeland Security.*** No equipment purchased with these grant funds may be assigned to other entities or organizations without the expressed approval in writing from RIEMA, prior to the jurisdiction's encumbrance or expenditure for

that equipment. Management of equipment shall be in accordance with State laws and procedures as outlined in 44 CFR Part 13, which is located on the Electronic Code of Federal Regulations website.

The Grants Department will forward a copy of all sub-recipients Inventory Forms (Form 107) to the RIEMA Logistics Department, for review and to be tracked. If the sub-recipient demobilizes equipment, or has a surplus item, the Grants Department will forward this information to RIEMA Logistics to update the RIEMA inventory database. If sub-recipients fail to submit an inventory list, this may result in de-obligation of grant funding.

Programmatic Monitoring Policy

RIEMA is required to monitor all grants (disaster, EMPG, SHSP, etc.) for compliance and accuracy. Periodic monitoring is in place to ensure that program goals, objectives, timelines, budgets and other related program criteria are being met. This may include desk or field audits. RIEMA will complete a monitoring visit for each sub-recipient annually to review and conduct analysis of sub-recipient's financial, programmatic and administrative policies and procedures such as, accounting for receipts and expenditures, cash management, maintaining adequate financial records, means of allocating and tracking costs, contracting and procurement policies and records, payroll records and means of allocating staff costs, equipment management system(s), progress of project activities, etc. The Programmatic Monitoring Appendix B goes into further detail and is also available for reference on the RIEMA website.

Match and Cost Sharing Policy

RIEMA's matching and cost sharing policy has been developed in accordance with the federal regulations governing matching and cost sharing for emergency management programs (44 CFR 13.24). These policies and procedures are for the administration of Federal award programs administered by RIEMA in conjunction with the provisions of the Office of Management and Budget (OMB) circulars applicable to grants. The Match and Cost Sharing, Appendix C, is also available for reference on our website. RIEMA templates have been provided in the appendix for sub-recipient reference.

Match Requirements

Match or cost sharing is required for certain federal grant programs. Matching funds are non-federal funds or services, provided by the sub-recipient, to cover costs budgeted in the grant. Required match will be outlined in the federal grant guidance.

Types of Match

Cash Match (hard) Cash match includes non-federal cash spent for project related costs, according to the program guidance. Allowable cash match must only include those costs which are in compliance with 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87) and 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

In-kind Match (soft) In-kind match includes, but is not limited to, the valuation of in-kind services. In-kind is the value of something received or provided that does not have a cost associated with it. For example, if in-kind match (other than cash payments) is permitted, then the value of donated services could be used to comply with the match requirement. Also, third party in-kind contributions may count toward satisfying match requirements provided the grantee receiving the contributions expends them as allowable costs in compliance with 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87) and 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

Closeout

The quarter immediately following the end date of the grant award, or any approved extension thereof (revised end date), is when closeout needs to be completed. The following documentation must be submitted by the sub-recipient:

- a. **Final Quarterly Progress Report. (Form 104)** This report is a summary report, evaluating the project activities and measuring performance against goals and objectives for the entire performance period.
- b. **Final Quarterly Financial Report. (Form 105)** This report is required and shall accompany any final reimbursement request. All eligible expenses must be received prior to the end of the grant performance period. Final reports shall be submitted the quarter immediately following the end date.
- c. **Inventory Form. (Form 107)** This report is required for any equipment purchased with a single per unit cost in excess of \$5,000. Inventory reports are required annually by January 15th to RIEMA or the quarter immediately following the end date.

A resource typing expenditure form may be required for some grants. The resource typing expenditure form is to be completed and submitted to RIEMA grants department. If backup documentation not provided, a de-obligation letter will be sent. Sub-recipients can visit the RIEMA website for further information.

Upon completion of the closeout process, the RIEMA Executive Director will send a Closeout/de-obligation letter to sub-grantees advising the grant is closed and de-obligating any leftover funding. The Executive Director will determine whether funding will remain in the investment justification or work plan, or it will be solicited back to stakeholders for possible future funding requests.

Required Grant Forms

Sub-Recipient Required Templates and Forms

Provided below is the list of template(s) and forms needed to comply with a sub-recipient award.

- § **Form 101 - Grant Assurance Form**
Forms used to notify sub-recipients of grant requirements, special conditions and formal acceptance of grant award.
- § **Form 102 - Single Audit Act of 1996**
Form used to notify sub-recipients of requirement to complete A-133 Audit with annual fiscal audit if sub-recipient receives over \$500,000 annually total overall funding.
- § **Form 103 - Certification for Lobbying**
Form used to notify sub-recipients of lobbying and discrimination rules.
- § **Form 104 - Quarterly Progress Report**
Form used each quarter by sub-recipient indicating the progress of the project. Form should include trainings, equipment purchased, exercises conducted and other relevant information.
- § **Form 105 - Quarterly Financial Report**
Form used each quarter by sub-recipient indicating the financial status of the grant. Form indicates previous expenditures, current expenditures and current grant balance.
- § **Form 106 - Reimbursement Form**
Form used to request reimbursement for expenditures. Form indicates status of and expenditures by planning, organization, equipment, training and exercise (POETE).
- § **Form 107 - Inventory Form**
Form indicates the purchase of equipment with a value of \$5,000 or more by sub-recipient. Form filed every January 15th or with the final progress (form 104) and fiscal (form 105) reports.
- § **Form 108 - Training Approval Request Form**
Form completed to request reimbursement for overtime or backfill due to training or exercise. Form used to indicate payroll expenditures in lieu of checks or detailed payroll sheets.
- § **Form 109 - Change Request Form**
Form submitted to request a change in POETE for a grant or to request authorization to purchase an item not previously approved.
- § **Form 110 - Detailed Budget Worksheet**
This form is to be used to provide detailed budget information regarding your proposed program.
- § **Form 111 – EHP Form**
This form is to be used to confirm compliance with environmental and historical preservation laws and regulations.



Form 101
2013 State Homeland Security Grant Program
Special Grant Conditions and Reporting Requirement Guidelines

1. Subrecipient agrees to comply with the most recent version of the Administrative Requirements, Cost Principles, and Audit Requirements, as set forth in the current edition of the Office of Justice Programs (OJP) Financial Guide, which can be accessed here:
<http://www.ojp.usdoj.gov/financialguide/GeneralInformation/index.htm>

2. A non-exclusive list of regulations commonly applicable to DHS grants are listed below:
 - A. Administrative Requirements:
 - a. Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (44 CFR Part 13):
<http://www.ecfr.gov/cgi-bin/text-idx?SID=9a860da3ab321c886dcf785c239e4674&node=44:1.0.1.1.14&rgn=div5>
 - b. Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB-A110; 2 CFR Part 215):
<http://www.whitehouse.gov/sites/default/files/omb/assets/omb/circulars/a110/2cfr215-0.pdf>
 - B. Cost Principles:
 - a. Cost Principles for State and Local and Indian tribal Governments – 2 CFR Part 225 (OMB Circular A-87):
<http://www.ecfr.gov/cgi-bin/text-idx?SID=b84337439e6bbf63fa4e3f33bd12cc0c&node=2:1.1.2.10.6&rgn=div5>
 - b. Cost Principles for Education Institutions – 2 CFR Part 220 (OMB Circular A-21):
<http://www.ecfr.gov/cgi-bin/text-idx?SID=7fd96d2243aa88c76d60093f814ae1c3&node=2:1.1.2.10.4&rgn=div5>
 - c. Cost Principles for Non-Profit Organizations – 2 CFR 230 (OMB Circular A-122):
http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr230_main_02.tpl



- d. Contract Cost Principles and Procedures, Contracts with Commercial Organizations -48 CFR 31.2:
http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&tpl=/ecfrbrowse/Title48/48cfr31_main_02.tpl
- e. Office of Justice Programs Financial Guide -
<http://www.ojp.usdoj.gov/financialguide/GeneralInformation/index.htm>

C. Audit Requirements:

Sub-recipient agrees to comply with all applicable Rhode Island State Purchasing Laws pursuant to Rhode Island General Law Title 37 Chapter 2, as well as local regulations. <http://www.purchasing.ri.gov/PROCREGS2011.pdf>

- a. Audits of States, Local Governments, and Non-Profit Organizations - (OMB Circular A-133):
http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf
- b. Office of Justice Programs Financial Guide 3.19:
<http://www.ojp.usdoj.gov/financialguide/GeneralInformation/index.htm>
- c. Sub-recipient agrees to use federal funds granted under this award to supplement, and not to supplant, state or local funds for homeland security preparedness.
- d. Sub-recipient understands and agrees that use of any federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government, without express prior written approval of the Office of Domestic Preparedness, is strictly prohibited.
- e. Sub-recipient is prohibited from transferring funds between programs (i.e., State Homeland Security Program, Law Enforcement Terrorism Prevention Program and Citizens Corps Program etc.).



3. Reporting requirements and Financial Guides:

Sub-recipient agrees to meet reasonable fiscal and administrative requirements to account for its federal grant funds in accordance with OMB Circular A-102 (http://www.whitehouse.gov/omb/circulars_a102/) or Rhode Island Emergency Management Agency (RIEMA) may require, including, but not limited to, submitting: quarterly financial reports, quarterly progress reports and final financial reports.

- a. Quarterly financial and progress reports must be signed by an Authorized Agency Official and submitted to RIEMA within fifteen (15) days after the close of each calendar quarter as follows:

<u>Quarter dates</u>	<u>Due Date</u>
January 1 to March 31	April 15
April 1 to June 30	July 15
July 1 to September 30	October 15
October 1 to December 31	January 15

- b. An Inventory Report Form (Form 107) shall be submitted to RIEMA annually each January 15 with the Quarterly Progress and Quarterly Financial Report during the performance period, and continued submission is required annually until final disposition of the equipment is acquired. RIEMA will provide Inventory Forms to jurisdictions annually to assist with annual reporting requirements. Failure to comply with this provision may result in the withholding of sub-grant funds until the delinquent report is received.
- c. Sub-recipient further agrees to establish fiscal control accounting procedures which meet minimum requirements of these guidelines to ensure proper disbursement of, and accounting for, grant funds. Such accounting procedures must provide for an accurate and timely recording of receipt of funds by source, of expenditures made from such funds, and of unexpended balances. Sub-recipients that are not a state or quasi-governmental entity are required to maintain a separate bank account for each grant.
- d. RIEMA recognizes that the costs associated with equipment lists that were submitted as part of the grant applications may only have been estimates. Therefore should a cost savings be realized, during an equipment acquisition process, sub-recipient may return excess funds to RIEMA or petition RIEMA to change the quantity of a particular item, or request that it be allowed to purchase an additional item. However, requests to purchase items not on the approved award must be submitted to RIEMA and DHS for final approval.



4. Payment methodology and grant closeout:

- a. RIEMA shall only remit funds to sub-recipients upon receipt of a Grant Reimbursement Form (Form 106), signed by an Authorized Agency official, and supporting documentation to meet CFR 13.20 Subpart C (An awarding agency may review the adequacy of the financial management system of any applicant for financial assistance as part of a pre-award review or at any time subsequent to award.)
- b. Equipment or services provided, including vendor invoices, purchase orders, signed packing slips to certify receipt of goods and proof of payment such as cancelled checks.
- c. Exercises or training, copies of training announcement including date, time, instructors and or speakers, location, topic(s), sign in sheet with attendee's name and instructor's signature to prove attendance. Payroll records or proof of payment (i.e. a spread sheet with attendee's name, rates of pay and number of hours worked and signed by Municipal Finance Official) must be provided for each attendee.
- d. Form 106 may be submitted at any time during the grant period. Reimbursement payments will be processed as they are submitted. Any unused balance existing at the grant end dates shall revert back to RIEMA.
- e. If all of the documents are not included, the reimbursement will be mailed back to the sub-recipient without being processed.

5. Project monitoring and evaluation:

Sub-recipient agrees to fully cooperate with periodic programmatic, fiscal monitoring, records review, and site visits that shall be conducted by RIEMA. Sub-recipient agrees to submit timely and accurate Quarterly Progress and Quarterly Financial Progress Reports to RIEMA and to participate in RIEMA sponsored surveys and all other required reports related to any RIEMA-administered grant program. RIEMA reserves the right to deny payment to any approved programs for failure to comply with these provisions. A written response will be provided when payment is in question.

6. Maintenance of records:

Authorized Official Initial - _____

RIEMA Conditions/Assurances Page 4 of 8



All grant documents, including, but not limited to, invoices, purchase orders, packing slips, equipment make, model, and serial numbers, must be maintained for a minimum of three (3) years after RIEMA closeout date or audit.

7. Inspection and audit:

Sub-recipients that expend \$500,000 or more in a year in federal funds must provide for an independent audit of their activities. These audits should be made annually but not less frequently than every two (2) years. Accounts and records of all sub-recipients which disburse or utilize grant funds must be accessible to authorized officials for the purpose of sub-grant audit and examination. A copy of said audit must be forwarded to RIEMA. Contracts made by sub-recipients must provide for audit of contractor's records pertaining to the use of grant funds. All required records shall be maintained until the audit is completed and all questions arising there from, are resolved, or for three years after the end of the sub-grant period, whichever is later. If any litigation, claim, negotiation, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it. OMB Circular A-133:

http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf

8. Property acquired with grant funds:

RIEMA requires that property acquired with grant funds be tagged and tracked, detailing description of the property, serial or identification number, source of property, name of owner, acquisition date, cost, location, condition and disposition data.

Title to property acquired in whole or in part with grant funds shall vest in the sub-recipient, subject to divestment at the option of RIEMA, where its use for homeland security purposes is discontinued. Sub-recipients shall exercise due caution in the use, maintenance, protection and preservation of such property.

An Inventory Report (Form 107) shall be submitted to RIEMA annually each January 15 with the Quarterly Financial Report during the performance period, and continued submission is required annually until final disposition of the equipment is acquired.

9. Civil Rights Requirements:

All recipients and sub-recipients, regardless of the type of entity or the amount awarded, are subject to the prohibitions against discrimination in any program or activity and may be required by the Office of Civil Rights (OCR) of the U.S. Department of Justice, through selected compliance reviews, to submit data to ensure their services



are delivered in an equitable manner to all segments of the service population and their employment practices comply with equal employment opportunity requirements. 28 CFR 42.202(n)

- a. Americans with Disabilities Act.
All federal grant recipients must comply with the American with Disabilities Act (ADA).
<http://www.ada.gov/pubs/adastatute08.htm>
- b. No person shall on the grounds of race, color, or religion, national origin, or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under or denied employment in connection with any programs or activity funded in whole or in part with funds made available under the Omnibus Crime Control and Safe Streets Act of 1968, as amended, specifically the nondiscrimination provision that appears at 42 U.S.C. § 3789c) (1).
<http://www.justice.gov/crt/about/spl/42usc3789d.php>
- c. Recipients/sub-recipients of funds under the Act are also subject to the provisions of Title VI of the Civil Rights Act of 1964
<http://www.justice.gov/crt/about/cor/coord/titlevi.php>
- d. Section 504 of the Rehabilitation Act of 1974, as amended
<http://www.dol.gov/oasam/regs/statutes/sec504.htm>
- e. Title IX of the Education Amendments of 1972, 20 U.S.C. § 1681
<http://www.dol.gov/oasam/regs/statutes/titleix.htm>
- f. Age Discrimination Act of 1975, 42 U.S.C. §6102
http://www.dol.gov/oasam/regs/statutes/age_act.htm
- g. DOJ Non-Discrimination Regulations 28 CFR Part 42, Subparts C, D, E and G.
<http://www.justice.gov/crt/about/cor/byagency/dojvi.pdf>
- h. Reporting of Adverse Finding of Discrimination.
It is the responsibility of all grantees, sub-recipients, and contractors under grants, to report to the Office of Justice Programs, Office for Civil Rights and the Rhode Island Division of Legal Services within the Department of Administration, any finding of discrimination after a due process hearing, on the basis of race, color, religion, national origin or sex by a federal or state court or administrative agency pursuant to 28 C.F.R. Part 42.204(d).



i. Equal Opportunity Program Requirements.

It is the responsibility of all sub-recipients to ensure that their employment practices comply with Equal Opportunity Requirements, 28 CFR 42.207, 42.301 et seq., Rhode Island General Laws Title 28 Chapter 5 through 6; and Gubernatorial Executive Orders governing the promotion of a diverse workforce, equal opportunity, and the prevention of sexual harassment and including where applicable, the requirement of sub-recipients to formulate, implement and file an Equal Opportunity Employment Plan with RIEMA and the Office of Justice Programs, Office for Civil Rights.

10. Application of Sub-grant Conditions to Contractors

Whenever a sub-recipient may choose to implement a project by further sub-granting to an implementing sub-recipient or an independent contractor, all or any part of the amount of this award, the sub-recipient shall include the provisions of these standard sub-grant conditions in a further sub-grant award or contract which shall be reduced to writing and submitted to RIEMA on sub-recipient's letterhead for prior approval. Such implementing sub-recipients or independent contractors, when utilized by the sub-recipient, may be responsible for the day-to-day operations of the project, including hiring, terminations, and budget revisions, however, only when the contracts between the sub-recipients and the implementing sub-recipients or independent contractors so specify. A signed copy of all such contracts must be forwarded to RIEMA.

11. Ethical Standards/prohibited political activity

It is the responsibility of all sub-recipients to comply with applicable provisions of:

- a. Rhode Island General Law Chapter 14 Title 36
<http://webserver.rilin.state.ri.us/Statutes/TITLE36/36-14/INDEX.HTM>
- b. Code of Ethics and the provisions of the Hatch Act, which limits the political activity of public employees
<http://www.osc.gov/hatchact.htm>

12. Congressional Budget and Impoundment Control Act of 1974, as amended. Grant awards are conditional, and subject to congressional or executive action including budget deferral.

<http://www.house.gov/legcoun/Comps/BUDGET.pdf>

13. Interest Earned on Federal Funds



Political subdivisions, (including cities, towns, counties and special districts created by State law) shall account for interest earned on Federal funds. Local units of government may keep interest earned on Federal grant funds up to \$100 per **federal fiscal year**. This maximum limit is not per award; it is inclusive of all interest earned as a result of all Federal grant program funds received per year. Interest earned in excess of \$100, excluding Local Law Enforcement Block Grants (LLEBG) and Juvenile Accountability Incentive Block Grants (JAIBG) must be remitted to the United States Department of Health and Human Services, Division of Payment Management Services, PO Box 6021, Rockville, MD 20852.

Nonprofit organizations shall account for interest earned on Federal funds. Nonprofit organizations may keep interest earned on Federal grant funds up to \$250 **per federal fiscal year**. This maximum limit is not per award; it is inclusive of all interest earned as a result of all Federal grant program funds received per year. Interest earned in excess of \$250, must be remitted to the United States Department of Health and Human Services, Division of Payment Management Services, P.O. Box 6021, Rockville, MD 20852.

14. NIMS Compliance

Sub-recipients are required to meet certain National Incident Management System (NIMS) compliance requirements. All emergency preparedness response, and/or operation of resources and/or activities awarded through this grant are compelled to complete training programs consistent with the NIMS National Standard Curriculum Development Guide. Minimum training includes IS-700 NIMS: An Introduction.

I have read, initialed, and understand the eight (8) pages of general grant Conditions/Assurances and hereby agree to comply with them.		
Signature of Authorized Official	Date	Agency
Name (Printed)	Title	Grant ID No.
Signature of RIEMA Official	Date	
Name (Printed)	Title	



Form 102
Single Audit Act of 1996

Subrecipient: _____

Grant Award Number: _____

Federal grant guidelines mandate that any non-profit organization, institution of higher education, or local government receiving more than \$500,000 in federal funds *from all sources* within a 12-month period must have an OMB A-133 audit performed on the use of the funds. RIEMA sub-recipients are required to complete Form 102 and provide information on their agency's federal funds received. Please have your chief fiscal officer complete this form, and return the completed form within 30 days of receipt.

Check all that apply:

- 1. We have completed our OMB Circular A-133 audit for Fiscal Year 2013 and:
 - There were no findings affecting any Federal awards
 - There were findings affecting one or more Federal awards
 - Our OMB Circular A-133 Audit for fiscal year ending June 30, 2013 is attached
 - Our OMB Circular A-133 Audit for fiscal year ending June 30, 2013 is available here: _____
 - Our Circular A-133 Audit for fiscal year ended June 30, 2013 will be completed by (date) _____

- 2. Our jurisdiction is not subject to an OMB Circular A-133 Audit:
 - Our Jurisdiction received less than \$500,000 in Federal Awards from all sources in this fiscal year.
 - Other Reason: (please explain) _____

Print Name: _____ Title: _____
(Finance Director / Treasure)

Signature: _____ Date: _____

Phone: (____) _____ Fax: (____) _____

PLEASE SEND COMPLETED REPORTS TO:
Rhode Island Emergency Management Agency
645 New London Avenue
Cranston, RI 02920
Attn: Grant Department

Revised 12/2013



CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently 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;

(b) 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;

(c) 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 paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

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

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

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

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check if the State has elected to complete OJP Form 4061/7.

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date



Form 104
Quarterly Progress Report

Sub-recipient: _____ Date: ____/____/____
Address: _____
City: _____ State: RI Zip Code: _____
Phone Number: _____

Grant Award Number: _____

<u>Reporting Period (check one):</u>	<u>Performance Period:</u>	<u>YEAR</u>	<u>Report Date Due:</u>
____ 1 st Quarter	Jan. 1 st – Mar. 31 st	_____	April 15 th
____ 2 nd Quarter	April 1 st – June 30 th	_____	July 15 th
____ 3 rd Quarter	July 1 st – Sept. 30 th	_____	Oct. 15 th
____ 4 th Quarter	Oct. 1 st – Dec. 31 st	_____	Jan. 15 th
____ Final Report	All funds authorized spent and project completed.		

Provide a narrative outlining the project’s progress, accomplishments and any delays (additional pages or attachments on sub-recipient letterhead) that were provided in your Detailed Budget Worksheet (POETE):

_____/_____/_____
Authorized Agent Signature Date

PLEASE SEND COMPLETED REPORTS TO:
Rhode Island Emergency Management Agency
645 New London Avenue
Cranston, RI 02920
Attn: Grants Department



Revised 12/2013



Form 105
Quarterly Financial Report

Subgrantee: _____ Date: ____/____/____
 Address: _____
 City: _____ State: RI Zip Code: _____
 Completed by: _____
 Phone Number: _____

Grant Award Number: _____

Reporting Period (check one):	Performance Period:	Year	Report Due Date:
____ 1 st Quarter	Jan. 1 st – Mar. 31 st	_____	April 15 th
____ 2 nd Quarter	April 1 st – June 30 th	_____	July 15 th
____ 3 rd Quarter	July 1 st – Sept. 30 th	_____	Oct. 15 th
____ 4 th Quarter	Oct. 1 st – Dec. 31 st	_____	Jan. 15 th
____ Final Report	All funds authorized have been spent (cumulative)		

Transactions	Previously Reported	Total This Period	Total
Amount paid:	\$ _____	\$ _____	\$ _____

I have reviewed this financial report and certify that the information contained herein is true and correct to the best of my knowledge.

 Authorized Agent (Please Print) Signature

RIEMA USE ONLY			
Federal funds authorized:			\$ _____
Balance:			\$ _____
Notes:			

PLEASE SEND REPORTS TO:
 Rhode Island Emergency Management Agency
 645 New London Avenue
 Cranston, RI 02920
 Attn: Grants Department

Revised 11/2013



Form 106
Reimbursement Request

Sub-recipient:		Date:	
Point of Contact:		Federal Employer ID No. (FEIN):	
Address:		State & Zip:	Phone:
Grant Award No.:			
Fiscal Point of Contact:		Phone:	
Check One:	FY 2011 <input type="checkbox"/>	FY 2012 <input type="checkbox"/>	FY 2013 <input type="checkbox"/>
	FY 2014 <input type="checkbox"/>		

Solution Area:	Grant Award Total:	Previously Reported:	Current Request:	Balance to Finish:
Planning				
Organization				
Equipment				
Training				
Exercise				
Totals:				

Authorized Agency Official (Please Print)	PAYMENT REQUEST AMOUNT
	(Should equal total current request)
Signature (Please Sign in Blue Ink)	\$

I, the above signed, hereby certify that this request for reimbursement is in full accordance with the approved project budget, as approved by the Rhode Island Emergency Management Agency.

PLEASE ATTACH COPIES OF BACKUP DOCUMENTS, RECEIPTS, INVOICES, ETC. TO THIS FORM

State Agency Use Only: RIFANS Acct. #	Legacy Account #
---------------------------------------	------------------

RIEMA USE ONLY	
Grant Reimbursement Processing Checklist:	Grant Manager Approval:
Fiscal reports up to date and accurate	() - Final Payment () - Partial Payment
Progress reports up to date	
Expenditures detailed satisfactorily	Vendor ID #:
Backup documentation	DATE SENT TO FISCAL:
Inventory Form Submitted	

Revised 11/2013



Form 109
Change Request Form

Costs associated with equipment procurement submitted as part of a grant application may be based on estimates. If excess funds become available during the equipment acquisition process, a sub-recipient shall either return excess funds to RIEMA, or petition RIEMA to request a change in the quantity of items, or request the purchase of additional items, by completing the sections below.

CHANGE REQUEST – To be completed by Sub-Recipient

Sub-recipient Name: _____

Signature: _____

Address: _____

Phone Number: _____ Fax Number: _____

Grant Award Number: _____

Describe the adjustment or change request. Include POETE, grant balances, and any change to the original budget submitted. (If you require additional space, please attach the request on official letterhead).

REQUEST DECISION – To be completed by RIEMA

Request Decision:

- () – Approved
- () – Requires additional information (explanation below)
- () – Rejected, does not fit grant guidelines (explanation below)

Approved by Executive Director: _____ Date ____/____/____

Explanation (if required):

Original request change filed in sub-grantee folder. Copy of approval sent to sub-recipient requesting change.

Revised 12/2013



**Rhode Island Emergency Management Agency
Grant Detailed Budget Worksheet - Form 110**

Sub-recipient Name: _____
 Address: _____
 Telephone No.: _____
 Grant Name and No./Year: _____
 Total Grant Award Amount: \$ _____

For Budget Changes Only: _____
 Re-obligation Request Amount: _____
 Amended Budget Sheet Date: _____

Detailed Description of Budget (for full grant period):				Cost Breakdown		P.O. Tracking For RIEMA Use	
POETE Categories (Planning, Organization, Equipment, Training, Exercise)							
Planning	Quantity	Unit Cost	Total	Total Grant Funded	Total Match	P.O. Number	P.O. Paid?
<i>Personnel</i>			\$ -				
<i>Total:</i>	0	\$ -	\$ -	<i>Total:</i>	\$ -	\$ -	
<i>Fringe Benefits</i>			\$ -				
<i>Total:</i>	0	\$ -	\$ -	<i>Total:</i>	\$ -	\$ -	
<i>Transportation</i>			\$ -				
<i>Total:</i>	0	\$ -	\$ -	<i>Total:</i>	\$ -	\$ -	
<i>Travel</i>			\$ -				
<i>Total:</i>	0	\$ -	\$ -	<i>Total:</i>	\$ -	\$ -	
<i>Contracts</i>			\$ -				
<i>Total:</i>	0	\$ -	\$ -	<i>Total:</i>	\$ -	\$ -	
<i>Per Diem Costs</i>			\$ -				
<i>Total:</i>	0	\$ -	\$ -	<i>Total:</i>	\$ -	\$ -	
<i>Other (specify)</i>			\$ -				
<i>Total:</i>	0	\$ -	\$ -	<i>Total:</i>	\$ -	\$ -	
Subtotal (Planning):	0	\$ -	\$ -		\$ -	\$ -	

Detailed Description of Budget (for full grant period):			
Equipment	Quantity	Unit Cost	Total
<i>Item/AEL Code</i>			\$ -
<i>Total:</i>	0	\$ -	\$ -
Subtotal (Equipment):	0	\$ -	\$ -

	Cost Breakdown		P.O. Tracking For RIEMA Use	
	Total Grant Funded	Total Match	P.O. Issued?	P.O. Paid?
<i>Total:</i>	\$ -	\$ -		
	\$ -	\$ -		

Training	Quantity	Unit Cost	Total
<i>Instructor Costs</i>			\$ -
<i>Total:</i>	0	\$ -	\$ -
<i>Facilities Costs</i>			\$ -
<i>Total:</i>	0	\$ -	\$ -
<i>Travel</i>			\$ -
<i>Total:</i>	0	\$ -	\$ -
<i>Per Diem Costs</i>			\$ -
<i>Total:</i>	0	\$ -	\$ -
<i>Consumables</i>			\$ -
<i>Total:</i>	0	\$ -	\$ -
<i>Other (specify)</i>			\$ -
<i>Total:</i>	0	\$ -	\$ -

	Total Grant Funded	Total Match	P.O. Issued?	P.O. Paid?
<i>Total:</i>	\$ -	\$ -		
<i>Total:</i>	\$ -	\$ -		
<i>Total:</i>	\$ -	\$ -		
<i>Total:</i>	\$ -	\$ -		

Subtotal (Training):	0	\$ -	\$ -
----------------------	---	------	------

\$ -	\$ -
------	------

Detailed Description of Budget (for full grant period):

Cost Breakdown

**P.O. Tracking
For RIEMA Use**

Exercise	Quantity	Unit Cost	Total
<i>Personnel</i>			\$ -
<i>Total:</i>	0	\$ -	\$ -
<i>Contracts</i>			\$ -
<i>Total:</i>	0	\$ -	\$ -
<i>Food:</i>			\$ -
<i>Total:</i>	0	\$ -	\$ -
<i>Other (specify)</i>			\$ -
<i>Total:</i>	0	\$ -	\$ -

	Total Grant Funded	Total Match	P.O. Issued?	P.O. Paid?
<i>Total:</i>	\$ -	\$ -		
<i>Total:</i>	\$ -	\$ -		
<i>Total:</i>	\$ -	\$ -		

Subtotal (Exercise):	0	\$ -	\$ -
----------------------	---	------	------

\$ -	\$ -
------	------

Grant Budget Worksheet Totals:	Quantity Total	Unit Cost Total	Total Cost
	0	\$ -	\$ -

Total Grant Funded	Total Match (By Local)
\$ -	\$ -

DEPARTMENT OF HOMELAND SECURITY
FEDERAL EMERGENCY MANAGEMENT AGENCY
ENVIRONMENTAL AND HISTORIC PRESERVATION SCREENING FORM

Paperwork Burden Disclosure Notice

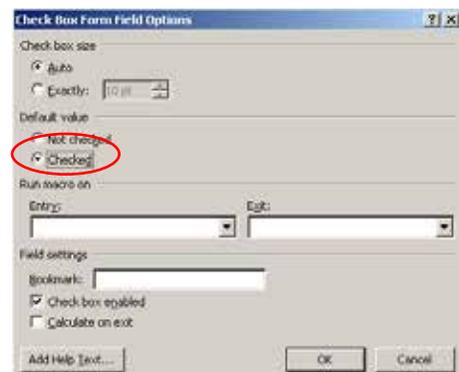
*Public reporting burden for this form is estimated to average 8 hours per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and submitting the form. You are not required to respond to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

Completing the Screening Form:

This form must be attached to all project information sent to the Grant Programs Directorate (GPD) to initiate environmental and historic preservation (EHP) compliance review, per the National Environmental Policy Act (NEPA) and other EHP laws and executive orders. *There is no need to complete and submit this form if the grant scope is limited to planning, management and administration, classroom-based training, table-top exercises and functional exercises, or purchase of mobile and portable equipment where no installation needed.* Information Bulletin 345 (September 1, 2010) provides details on these activities. The form must be completed by someone with in-depth understanding of project details and location. Completion of this form does not conclude the EHP review process and FEMA may need to contact you for further information. Not providing requested information may result in funding release delays. This form is intended to be completed electronically. The following website provides a version of this form that is suitable for printing and completing by hand as well as additional guidance such as on how to make an aerial map: <http://www.fema.gov/plan/ehp/ehp-applicant-help.shtm#5>.

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

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



Complete all of Section A, Section B, all of each portion(s) of Section C corresponding to checked blocks in Section B, and all of section D that apply to the project.

A. PROJECT INFORMATION (complete all)

DHS Grant Award Number: _____ Grant Program: _____
Fiscal Year:..... _____
Project Title: _____
Grantee (SAA):..... _____ Sub grantee: _____
Grantee POC:..... _____ Subgrantee POC: _____
Mailing Address: _____ Mailing Address: _____
E-mail: _____ E-mail: _____
Dollar value of grant (*if known*): _____

B. PROJECT TYPE

Please check ALL the block(s) that best fit the scope of the project.

- 1. Training and Exercises. Go to page 2. Complete all of Section C.1.
- 2. Purchase of Equipment. Go to page 3. Complete all of Section C.2.
- 3. Physical security enhancements. Go to page 3. Complete all of Section C.3.
- 4. Renovations/upgrades/modifications to existing structures. Go to page 3. Complete all of Section C.4.
- 5. New construction/addition. Go to page 4. Complete all of Section C.5.
- 6. Communication towers, related equipment, and equipment shelters. Go to page 5. Complete all of Section C.6.
- 7. Other. If your project does not match any of these categories, go to page 6. Complete Section C.7

The following information is required to initiate EHP review of the project. Based on the project's scope of work, determine which project type applies below and complete that section. For multi-component projects or those that may fit into multiple project types, complete the section that best applies and provide a complete project description. The project description should contain a brief summary of what specific action is proposed, where it is proposed, and how it will be implemented. If the project involves multiple locations, information for each must be provided. Attach additional pages, if needed.

Provide a complete project description: _____

C. PROJECT DETAILS

1. **Training and Exercises (check each that applies):** **Classroom-based** **Field-based**
If the training is classroom and discussion-based only, and is not field-based, this form does not need to be completed and submitted. All other training must provide the following:
- a. Describe the scope of the proposed training or exercise (purpose, frequency, materials, and equipment needed, number of participants, and type of activities required)
(Attach additional pages, if needed):..... _____

Environmental and Historic Preservation Screening Form

b. Will the field-based training take place at an existing facility having established procedures for that particular proposed training and exercise, and that conforms with existing land use designations (refer to Information Bulletin #329 (http://fema.dps.mo.gov/empg/IB%20329_20090902.pdf) for further information)? Yes No

· If yes, please provide the name and location of the facility (physical training site address or latitude-longitude):

· If no, provide the location (physical project address or latitude-longitude) **and** a full description of the area where training will occur:

c. Does the field-based training/exercise differ in any way (including, but not limited to frequency, amount of facilities/land used, materials or equipment used, number of participants, type of activities) from previously permitted training exercises and training practices?..... Yes No

· If yes, explain any differences between the proposed activity and those that were approved in the past, and the reason(s) for the change in scope:

d. Will any equipment or structures need to be installed to facilitate training?..... Yes No

· If yes, explain how and where this is proposed to be done (*include site-specific color photographs*):

2. **Purchase of equipment** (*If the entire project is limited to purchase of mobile/portable equipment and there is no installation needed, you do not need to complete and submit this form.*)

a. Specify what equipment, and the quantity:

b. Provide AEL number(s) (if known):

c. Will this equipment be installed?..... Yes No

· If Yes, go to page 6. Complete Section D.

3. **Physical security enhancements and or installations** (for example: installation of back-up generators, fencing, cameras, building/room access control, bollards, motion detection systems, x-ray machines, and lighting).

a. Describe what, how, and where improvement(s)/installation(s) will occur in/on the facility/building/structure:

b. Provide project location (physical project address and latitude-longitude):.....

c. Will the new equipment/improvements use the existing power supply systems?..... Yes No

· If no, describe new power source and installation (such as utility trenching):.....

d. If generator installation, please state the capacity (KW):.....

· If a separate fuel tank is also included, describe if it is to be installed above or below ground, and its capacity (gallons):

e. Go to Page 6. Provide additional project details in Section D.

4. **Renovations/upgrades/modifications to existing structures.**

a. Provide detailed description of modifications:

Environmental and Historic Preservation Screening Form

- b. Provide project location (physical project address and latitude-longitude):
- c. Will any equipment need to be installed?..... Yes No
 - If yes, please note in Section 2, (purchase of equipment).
- f. Go to Page 6. Provide additional project details in Section D.

5. **New construction/addition (for example: emergency operations centers, docks, piers, security guardhouse).**

- a. Provide detailed scope of work (site acreage, new facility square footage/number of stories, utilities, parking, stormwater features, etc):
- b. Provide project location (physical project address or latitude-longitude):
- c. Will any equipment need to be installed?..... Yes No
 - If yes, please note in Section 2 (purchase of equipment).
- d. Will the new building/facility/renovations use existing utilities?..... Yes No
 - If no, describe installation of new utilities in (a) above (including trenching):
- e. Go to Page 6. Provide additional project details in Section D.

6. **Communication towers, related equipment, and equipment shelters**

- a. Provide a detailed description of the project
- b. Provide project location (physical project address or latitude-longitude:
- c. Provide the elevation above mean sea level of the project location:
- d. For projects involving antenna(s) installations on existing towers:
 - Provide the height of the existing tower:
 - The height of the tower following the installation of the new antenna(s):
- e. For new tower projects, state the total height (in feet) of the communication tower or structure including any antennae to be mounted:

 - If the proposed tower height is greater than 199 feet above ground level, state why this is needed to meet the requirements of the project:
 - Will the tower be free-standing or require guy wires? Free standing Guy wires
 - If guy wires are required, state number of bands and how many:
 - State why a guyed tower is needed to meet the requirements of this project:
 - What kind of lighting will be installed, if any (for example: white strobe, red strobe, or steady burning?):.....

- f. A general description of terrain (For example: mountainous, rolling hills, flat to undulating):
- g. Describe the frequency and seasonality of fog/low cloud cover:

Environmental and Historic Preservation Screening Form

- h. Provide a list of habitat types and land use on and adjacent to the tower site (within 1/2 mile), by acreage and percentage of total (e.g., woodland conifer forest, grassland, agriculture) waterbody, marsh):
- i. Is there evidence of bird roosts or rookeries present within 1/2-mile of the proposed site?..... Yes No
 - a. If yes, describe:
 - Distance to nearest wetland area (for example: forested swamp, marsh, riparian, marine) and coastline if applicable:.....
- i. Distance to nearest telecommunication tower:
- j. Have measures been incorporated for minimizing impacts to migratory birds? Yes No
 - If yes, describe:
- k. Has an FCC registration been obtained for this tower?..... Yes No
 - If yes, provide Registration #:
- l. Has the FCC E106 process been completed? Yes No
- m. Has the FCC Tower Construction Notification System (TCNS) process been completed?..... Yes No
 - If yes, attach all relevant environmental documentation submitted as part of the registration process including use of the Tower Construction Notification System (TCNS), if applicable. FRN#
- n. Will any equipment or structures need to be installed?..... Yes No
 - If yes, explain what type how and where this is proposed to be done (*attach additional pages, if pages needed*):.....
- o. Will equipment be co-located on existing FCC licensed tower or other structure?..... Yes No
 - If yes, identify the type of structure:
- p. Go to Page 6. Provide additional project details in Section D.

7. **Other.** For any project that does not fit a category listed above, please provide a thorough summary of the proposed action and location. Include as much detail as necessary to ensure someone not personally familiar with the project is able to conduct an EHP review.

- a. Project Summary: _____
- b. Provide additional project details in Section D.

D. OTHER PROJECT RELATED INFORMATION (complete all that apply)

The following website may provide some additional EHP related guidance and resources to help complete this section <http://www.fema.gov/plan/ehp/ehp-applicant-help.shtm#5>.

- 1. If work is proposed on/in an existing building(s) or structure(s) provide the year built:
- If the building or structure involved is over 45 years old and significant renovation, rehabilitation, or modification has occurred, please provide the year(s) and briefly describe the nature of remodeling:
- 2. If the project affects the exterior of the building, are there any known buildings and/or structures that are 45 years or older in the immediate project area? Yes No/NA

Environmental and Historic Preservation Screening Form

- If yes, please provide the location, ground-level color photos of these, and identify their location(s) on the aerial map.
3. Is the building or structure on which work is proposed a historic property or in a historic district, or are there any adjacent historic properties? Yes No
- Information about historic properties may be found on the National Register of Historic Places at <http://nrhp.focus.nps.gov/natreghome.do?searchtype=natreghome> or the respective State Historic Preservation Office may have information on their website.
4. Will ground disturbance be required to complete the project? Yes No
- If yes, provide total extent (depth, length and width) of each unique ground disturbing activity. Light poles, bollards and fencing are each unique ground disturbing activities (For example, six light poles, 24" dia. x 4' deep; trenching 12" x 500' x 18" deep): _____
5. Has the ground been previously disturbed? Yes No
- If yes, please describe the current disturbed condition of the area (for example, parking lot, roadway right-of-way, commercial development): _____
6. Are there technical drawings or site plans available, if yes please attach. Yes No
7. Attach color site photographs:
- Ground-level color site photos that provide context and show where site work/physical installations are proposed (label photos),
 - Ground-level color photographs of each side of the building involved.
 - Aerial color photograph with project limits outlined and with the location of any proposed installations identified.
 - Aerial color photograph(s) showing all ground disturbing activities (if applicable).
8. Is the project part of an approved plan such as a Master Plan or an Implementation Plan or any larger action/project? Yes No
- If yes, provide the plan/project name and brief description: _____
9. Is there any *previously* completed environmental documentation for this project (for example: Environmental Impact Statement, Environmental Assessment, wetland delineation, archaeological study)? Yes No
- If yes, please attach documentation. If a NEPA document, what was the decision? (*Check one, and please attach*):
 Finding of No Significant Impact (FONSI) or
 Record of Decision (ROD)
Name of preparing agency: _____
Date approved: _____
10. Is there any *previously* completed agency coordination for this project (for example correspondence with the U.S. Fish and Wildlife Service, State Historic Preservation Office (SHPO), Tribal Historic Preservation Office (THPO), or permitting agencies? Yes No
- If yes, please attach documentation unless included in NEPA documentation identified above.
11. Provide FEMA Flood Insurance Rate Map (FIRM), with project limits outlined. FIRM maps can be created from: <http://www.fema.gov/hazard/map/firm.shtm>
12. Provide U.S. Fish and Wildlife Service, National Wetlands Inventory (NWI) Map created from: <http://www.fws.gov/wetlands/Data/Mapper.html>



RIEMA RHODE ISLAND EMERGENCY MANAGEMENT AGENCY

Sub-Recipient Grant Handbook *Equipment Control* *Appendix A*

Revised November 2013



Rhode Island Emergency Management Agency
645 New London Ave. Cranston, RI 02920
P: (401) 946-9996 | F: (401) 944-1891

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Overview

The Equipment Control -Appendix A- is a guide for federal grant program jurisdictions receiving awards from the Rhode Island Emergency Management Agency (RIEMA). It describes responsibilities and authority in the management of federally funded equipment. This Appendix includes detailed information about property management procedures. This *Appendix* sets forth minimum requirements established by RIEMA. Jurisdictions have authority to establish additional internal controls, and those policies and procedures must also be considered. The Sub-Recipient Grant Management Handbook outlines protocols through the Equipment Control Appendix A to gather information as outlined in the State of Rhode Island Fixed Asset Control and Tracking System (FACTS) which record and track all purchase with a value of \$5,000.00 or more.

Maintaining accountability for federally funded equipment is by far the most important responsibility of jurisdictions. With the help of jurisdictions, RIEMA exercises this responsibility in a variety of ways, including:

- § Equipment Control Management: Helping jurisdictions with accurate, effective equipment control management when equipment is acquired or requiring disposition;
- § Property Transfers: Overseeing jurisdiction equipment transfers;
- § Federally Funded Equipment Disposal: Disposition of federally funded equipment which is excess to the needs of any jurisdiction;
- § Annual Inventory: Establishing procedures for an annual inventory;

Effective equipment control is the best way for jurisdictions to fulfill their obligation to accurately account for federally funded equipment. The Sub-Recipient Grant Management Handbook also includes an Inventory Form (Form 107).

RIEMA's goal is to assure that jurisdictions get the maximum benefit from the equipment within its control. Accordingly, priority is given to equipment management decisions that provide for the re-use of federally funded equipment.

Equipment Control Management

Overview

All equipment purchased with Department of Homeland Security must be authorized and allowable in accordance with the Authorized Equipment List, published by the Department of Homeland Security.

RIEMA is required to direct all grant-funded equipment transactions statewide and for maintaining accurate records of all federally grant-funded equipment.

This handbook, along with the Code of Regulation (CFR) 44 Part 13, Office and Management and Budget (OMB) circulars, and state regulations are the tools used by RIEMA to implement its management responsibility. RIEMA maintains equipment records on its grants management database, conducts annual inventories, controls jurisdiction equipment transfers, and directs the disposition of excess federally funded equipment.

RIEMA Responsibilities

RIEMA implements the federally funded equipment control management program and is charged by federal and state regulations with having full knowledge of all equipment transactions within their jurisdictions. Specific responsibilities include:

- § Developing policies and procedures;
- § Controlling and monitoring equipment accounting files;
- § Providing data and technical assistance to their designated jurisdictions;
- § Auditing receiving reports, equipment transfers, equipment disposition and physical inventories;
- § Conducting field inventory audits.

Jurisdiction Responsibilities

Jurisdictions help RIEMA to fulfill their equipment control management responsibilities on a day to-day basis. The duties of a jurisdiction vary depending upon the local government, but generally include:

- § Initiating transactions when equipment is purchased, loaned, borrowed, or transferred;
- § Originating excess (disposition) equipment transactions;
- § Completing an annual inventory of all equipment in their designated area;

RIEMA can assist jurisdictions to understand the specific requirements of a particular procedure, but since jurisdictions may have additional requirements above the minimums set by RIEMA, jurisdictions should work through their local government.

Property Identification

A property decal should be placed where it can be easily seen and property decal placement should be uniform (for ease in locating and reading), regardless of the property's location or placement. (If a property decal is hidden, it is recommended that "dymo" tape or other suitable material be used to show the property tag or decal in a visible location.) At minimum, when practicable, any equipment

purchased with federal grant funding shall be prominently marked as follows: "*Purchased with funds provided by the U.S. Department of Homeland Security*" or applicable federal agency based on award. The assignment of a property decal is the responsibility of the local jurisdiction and questions about whether a property decal should be used to mark the property should be directed to RIEMA.

Equipment Acquisition

New Equipment

Equipment management and inventory control procedures shall begin when a new item is purchased. The Inventory Form (Form 107) is used by RIEMA and jurisdictions to assure that all necessary information is available for reporting.

Used Equipment

Jurisdictions shall notify RIEMA of their request for surplus items. Requests will be fulfilled in the order in which they are received.

Trade-ins

With RIEMA Pre-approval, jurisdictions may replace or upgrade equipment as a trade-in to offset the cost of purchasing an in-kind item. Trade-ins are required to be pre-approved in writing, in advance by RIEMA. A trade-in request will be approved only when RIEMA has determined that it is in the best interests of the State.

A proposed trade-in is initiated by memorandum from the jurisdiction, through RIEMA, and approved by RIEMA. The memo must include:

1. Equipment description including serial number(s);
2. Equipment condition and current estimated value;
3. Statement of need and significant program impacts (if any) should the trade-in be denied;
4. Description of new equipment desired, including proposed method of purchase, estimated purchase price, and estimated trade-in allowance.

If the item is actually excess to the jurisdiction, RIEMA may recommend a direct transfer to another jurisdiction or that the item become surplus.

Inventory Reduction

Lost-Stolen-Damaged

An item which is lost, stolen, damaged or destroyed must be reported by the jurisdiction in writing within thirty (30) days to RIEMA.

Jurisdictions have the authority to establish the degree of responsibility and liability, as well as appropriate punitive measures for negligence or misuse of federally funded equipment by an employee or individual.

Employees and individuals should be advised of any liability they might incur due to their custody of federally funded equipment and the procedures to follow when an item is being reported as lost, stolen, damaged or destroyed.

Suspected theft of equipment or supplies should be reported immediately to the appropriate law enforcement agency. Any law enforcement report should be included with the memorandum to RIEMA.

Loaned Equipment

Equipment may be loaned to another jurisdiction for a period less than six months without approval of RIEMA. Equipment control management of items which are loaned remains with the "loaning" jurisdiction. (Such loans may be subject to approval by RIEMA.)

An "Equipment Memorandum of Agreement (MOA)" must be executed allowing the jurisdiction of the "loaning" entity to maintain a record of such items and is the only record acceptable to an auditor in documenting the location of items not physically present at the time of an audit. Jurisdictions may also find the Equipment Memorandum of Agreement useful in keeping track of items loaned as well as items "issued" for field use. If an item will be on loan for six months or more, a permanent transfer must be considered.

Equipment Transfers

Equipment may be transferred to another jurisdiction only after pre-approval by RIEMA. The "releasing" jurisdiction and the "receiving" jurisdiction must agree on method of transfer and associated costs then forward the agreement in writing to RIEMA for approval. The equipment may not be moved until the transfer has been approved by RIEMA.

Surplus Equipment Disposition

Surplus Equipment Re-utilization

Equipment in useful or serviceable condition, but surplus to actual need, must be reported in writing to RIEMA. *Once an item is reported as surplus, it cannot be further used, repurposed or moved from its reported location without prior written approval from RIEMA.*

Prior to surplus of electronic media, all data must be removed/deleted from systems.

- § Computers, hard-drives, and personal digital assistants (PDAs): All programs without accompanying licenses must be deleted prior to surplus; all official/personnel files data files must be removed; if in doubt, remove it.
- § Fax machines and copiers: All headers and history files must be deleted; remove and retain paper if it is letterhead.
- § Phones and answering machines (cell, satellite, and system): Cancel cell/satellite service; remove numbers from speed dial, caller I.D., etc.; delete greetings and messages from answering machines.
- § Bottom line-reconfigure or erase all functions, including electronic functions, of the equipment as necessary to prevent the equipment from producing indicators that the equipment, or a product generated by the equipment, is property of the jurisdiction, federal government or state.

RIEMA compares equipment reported as available on inventory reports to the "Want List" it maintains on behalf of jurisdictions to determine whether it is in the State's best interest to transfer the excess equipment or dispose of it. The reuse of surplus equipment by other jurisdictions is RIEMA highest priority. RIEMA may recommend the requesting jurisdiction transfer surplus equipment directly to another jurisdiction rather than dispose of the equipment.

Mandatory Transfer

RIEMA may initiate a mandatory transfer when it becomes apparent that a jurisdiction possesses items that appear to be in surplus of existing needs and a need exists in another jurisdiction. A letter, prepared by RIEMA, provides notice to the jurisdiction that a mandatory transfer is being considered and offers the jurisdiction who desires to retain the equipment an opportunity to offer information concerning the need for it.

Annual Inventory

Federal guidelines require RIEMA to conduct a physical equipment inventory and the results reconciled, every two years, at a minimum. RIEMA requires jurisdictions to conduct a physical inventory of their equipment every year. Information on Inventory Form (Form 107) includes a description of the equipment, serial number, title holder, the acquisition date, cost, location, use and condition of the equipment, and any disposition data which may include the date of disposal. Lost-Stolen-Damaged reports should be prepared for any items that cannot be located. Additional items discovered during inventory should be added to Property Inventory Form.



RIEMA

RHODE ISLAND
EMERGENCY MANAGEMENT AGENCY

Sub-Recipient Grant Handbook *Programmatic Monitoring* *Appendix B*

Revised November 2013



Rhode Island Emergency Management Agency
645 New London Ave. Cranston, RI 02920
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 Attachment B: Monitoring Report

 Attachment C: Monitoring Picture Log

 Attachment D: Post Site Visit Letter

 Attachment E: Post Visit Questionnaire

 Attachment F: Desk Audit Checklist

Introduction and Purpose

The Rhode Island Emergency Management Agency, (RIEMA) as the federal grantee, is responsible for monitoring sub-recipients and ascertaining that all compliance and programmatic responsibilities are fulfilled in accordance with Homeland Security Grant Program Guidelines. State and Local Sub-Grants are monitored to track the progress of agencies. The State Strategy and State Preparedness Report (SPR), track the support RIEMA is providing to local and state agencies for implementation of the Strategy and SPR, and determine whether planning, operational, equipment, training and exercise grant funds are being obligated and expended in accordance with RIEMA, Grants and Programs Directorate (GPD) Guidelines. Monitoring provides a comprehensive picture of preparedness and response capabilities statewide. It will allow RIEMA to ensure it is providing its resources and support to local and state agencies in an efficient and effective manner. Overall, RIEMA will assess how resources awarded to sub-recipients enhance prevention, protection, response and recovery capabilities, and support the goals and objectives in the State Homeland Security Strategy and SPR. RIEMA places a high value on consistent, fair, open and reasonable reporting and accountability by sub-recipients.

Grant programs subject to GPD-specific programmatic monitoring efforts include, but are not limited to:

FY 2013 State Homeland Security Grant Program (SHSP)

FY 2013 Emergency Management Preparedness Grant (EMPG)

FY 2012 State Homeland Security Grant Program (SHSP)

FY 2012 Emergency Management Preparedness Grant (EMPG)

FY 2011 State Homeland Security Grant Program (SHSP)

FY 2011 Emergency Management Preparedness Grant (EMPG)

FY 2010 State Homeland Security Grant Program (SHSP & UASI)

FY 2010 Interoperable Emergency Communications Grant Program (IECGP)

Overview

Programmatic monitoring of grants encompasses two main areas: 1) compliance monitoring of planning, exercise and training funds, the procurement process and compliance with regulations; and 2) programmatic monitoring of sub-recipient progress and operations, including equipment deployment, for project implementation and execution.

Sub-recipient monitoring is carried out through two means: office-based (desk) monitoring and on-site monitoring. Monitoring assists RIEMA in identifying areas of need for Sub-recipient support and

provides feedback on ways to improve its services. Both forms of monitoring require written documentation.

For reference, RIEMA conducts Sub-recipient programmatic monitoring based upon, but not limited to, the following:

- § OMB Circular A-87 (Cost Principles)
- § OMB Circular A-102 (Administrative Requirements)
- § OMB Circular A-133 (Audit Requirements)
- § Common Rule for Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments
- § Certifications and Assurances
- § Grant Program Guidance
- § Applicable Code of Federal Regulations
- § Sub Recipient Grant Award Agreement
- § State of RI Single Audit Policy for Sub-grants, and all subsequent Briefs
- § State of RI General Law Title 37 Chapter 2, Purchasing Rules and Regulations
- § NIMS Compliance Metrics
- § US Department of Homeland Security Financial Management Guide

TYPES OF MONITORING

Office-Based (Desk) Monitoring

For active grant programs, RIEMA authorized personnel will conduct office-based monitoring reviews for all sub-recipients once per fiscal year. Open, multi-year sub-grants under the same program will be reviewed and monitored at the same time.

RIEMA personnel will perform a comprehensive review of the sub-recipient grant file to ensure that all documentation is complete and current and noting any file irregularities. The review serves to evaluate progress implementation and timelines, determines the sub-recipients achievements and potential problems faced in implementing the project, and assesses the status of Quarterly Progress Report (Form

104), Quarterly Financial Report (Form 105), Inventory Form (Form 107) and the rate of expenditure of funds.

Sub-recipient identified by RIEMA personnel as potentially problematic will be monitored on a quarterly basis by requiring detailed progress report review, desk audit or site monitoring visit. Sub-recipient will be considered problematic if the sub-recipient appears to have financial difficulties and/or grant management deficiencies. Problematic sub-recipient quarterly status shall be reviewed with the Grants Manager who will immediately advise the RIEMA Executive Director of critical issues found, corrective actions, and best practices.

RIEMA personnel may contact the sub-recipient and schedule a time to conduct a phone interview with the sub-recipient project manager, grant fiscal manager/coordinator and other appropriate individuals in relation to all active sub-grants awarded by RIEMA. RIEMA personnel will ask if the sub-recipient has conducted formal procurement (if so a narrative summary of the process will be required), if they are experiencing any financial or programmatic grant management problems internally or with RIEMA, or if they have identified a need for technical assistance and support from RIEMA. RIEMA personnel will complete a Desk Audit Review Form (Attachment F) and file appropriate documentation of the monitoring and schedules follow-up meetings as necessary.

On-Site Monitoring

Sub-recipients will be randomly selected for on-site monitoring each year. The process for determining how a sub recipient is chosen for an on-site monitoring visit is random selection, however, a minimum of 10% of each grant category shall be chosen for an onsite monitoring visit per fiscal year. For on-site monitoring, all active Federal Grant Programs in which the sub-recipient has received an award will be reviewed and monitored. The number of site visits will vary from funding program to program and is dependant on the amount of resources available to conduct on-site monitoring. On-site monitoring may be conducted for a variety of reasons, including:

- § Periodic routine review of sub-recipient projects
- § Grants of \$100,000.00 or more
- § At Risk Communities
- § Communities conducting technical projects
- § Review of specific items of interest
- § Response to perceived problems or issues
- § Response to financial audit or programmatic monitoring exceptions
- § Response to requests for assistance

A pre-monitoring analysis of the sub-recipient will be conducted by RIEMA personnel to determine which items should be reviewed during the site visit. Progress reports, financial reports, amendment requests, financial audit findings, rate of expenditures, NIMS status, reimbursement requests, and any additional compliance requirements should all be reviewed during the pre-monitoring analysis. RIEMA personnel will also review the Inventory Form, Form 107 based on grant awards and reimbursement

requests. At this time RIEMA personnel will note any file irregularities or problems that are discovered. Copies of necessary documentation are made, as file folders should not be removed from the office.

A pre-visit phone call to schedule a date and time for the monitoring visit will be made two to three weeks prior to the site visit. The initial contact should outline the items that will be reviewed during the site visit and any preparation the Sub-recipient should make prior to the visit. The phone call will be followed up by a confirmation letter or email (Attachment A), detailing the agreed date and time and items to be reviewed. The confirmation should include an agenda for the visit and a copy of the Monitoring Report Form (Attachment B). RIEMA Authorized Personnel will maintain a log of the visits.

The site visit itself includes discussions about project implementation such as milestones, timeline, rate of funds expended, project operations, performance measures and evaluation. The visit includes interviews with key agency members, review of documentation and equipment and an exit interview to discuss findings and address any questions or concerns. The exit interview will clarify any corrective action items for the sub-recipient to address post-visit and highlights what will be included in the Post-Visit letter (Attachment D) to the sub-recipient. If any outstanding issues are identified, the sub-recipient is required to submit a Corrective Action Plan within the allotted time identified in the Post-Visit letter, usually 45 days, identifying what steps the sub-recipient is taking to resolve the issues.

The agenda for the site visit is as follows:

- § RIEMA Authorized Personnel arrives on time, presents identification
- § Introductions with key agency members
- § Conduct interview
- § Establish proper contact person, working space, Sub Recipient working hours, parking, security
- § Detail the monitoring process
- § Review the Monitoring Report Form with Sub Recipient (Attachment B)
- § RIEMA Authorized Personnel takes notes throughout the visit on the Monitoring Report Form
- § RIEMA Authorized Personnel reviews equipment, taking pictures of valuable, serialized equipment. See Attachment C for Picture Log.
- § Conduct exit interview
- § Address Findings
- § Detail follow-up requirements with deadline for compliance – Corrective Actions
- § Q&A Session with Sub Recipient (Outreach) Items to cover include:
- § Proper filing of Reimbursement Requests
- § Progress reporting
- § NIMS Compliance
- § New policies and procedures

- § Vehicle policy
- § Other funding sources
- § Training
- § FAQ's
- § MOU templates
- § Amendment requests
- § Grant application forms

Upon completion of the visit, RIEMA personnel will review the file and follow-up with a Post-Visit letter (Attachment D). Any Findings and Corrective Actions requirements would be included in this letter. All notes and forms should be typed. The visit should be reviewed with the supervisor who will immediately advise the RIEMA Executive Director of critical issues found, corrective actions, and best practices. Any corrective action requirements will be followed up by the RIEMA personnel, at which time the report should be finalized and the file closed. The Post-Visit Questionnaire (Attachment E) will be mailed to the sub-recipient along with a self address envelope for the sub-recipient to complete and return to the Grants Manager. Any photographs taken are to be recorded on Monitoring Picture Log (Attachment C) and stored on the RIEMA server and in the case file.

Sub-recipients submitting a Corrective Action Plan will be monitored closely for the next two quarterly reporting cycles (six months). Any further findings during this monitoring period will result in a follow-up site visit. Sub-recipients failing to take corrective measures towards compliance after the second visit will be subject to a single audit at their cost, de-obligation of funds, and ineligible for future funding.

Proper Conduct for RIEMA Authorized Personnel

RIEMA personnel should be professional at all times. RIEMA personnel should not enter into a Monitoring visit with pre-conceived ideas or outcomes and should maintain an objective point of view at all times. If improper conduct by a sub-recipient is noted by RIEMA personnel, they should document the issue and address with their supervisor immediately. Interviews can be conducted in an informal manner. RIEMA personnel should be courteous, good listeners, flexible, reasonable and knowledgeable.

Definitions

Finding – An item of review that does not comply with either State or Federal guidelines

Corrective Action – Actions necessary by Sub Recipient to correct a Finding

GPD - Grants Programs Directorate, Federal agency responsible for RIEMA grants

G&T – Grants and Training

Office Based Monitoring – A document review process for monitoring Homeland Security grants (desk monitoring)

OMB – Office of Management and Budget

On-Site Monitoring – A comprehensive programmatic review of Homeland Security grant awards

SHSS – State Homeland Security Strategy

RIEMA – Rhode Island Emergency Management Agency Grant Manager(s)



RIEMA RHODE ISLAND EMERGENCY MANAGEMENT AGENCY

Lincoln D. Chafee **Governor**
Jamia R. McDonald **Executive Director**

(Attachment A)

Date:

Sub-recipient Name
Sub-Recipient Address

RE: On-Site Monitoring and Assistance Visit for Homeland Security Grants
(Grant Years)

Dear (Name):

Per our telephone conversation, I would like to confirm the On-Site Monitoring and Assistance visit on (date and time).

I would like to reiterate some of the general issues we will be covering during this site visit. The monitoring visit will include a review of your agency's Homeland Security funded grant expenditures. This will include Asset Management and Inventory Control (usage of equipment, housing, security, storage, labeling), review of your identified goals and objectives as stated in your applications, purchasing procedures and guidelines, and licenses, certifications and training specific to Homeland Security grant purchased equipment.

For your non-equipment Homeland Security grants (exercise, training, planning), this review will also include a review of schedules, syllabi, agendas and documentation.

Please have equipment available and readily accessible as photographs of your equipment will may be taken. If you purchased items deployed to personnel, such as portable radios, please have an example available. **Please supply a copy of your RIEMA Inventory Form (form 107) prior to this scheduled visit, if you have not done so already.** I have included a template for your use and an electronic version is available on our website.

This is not a financial audit; however copies of your grant files must be available for review. The objective is to determine whether Homeland Security funds are being used as intended and are protected from fraud, abuse and violations. We will review the intent, provisions and compliance of your agency with Homeland Security Grant Program requirements. I have also included a copy of the Monitoring Report Form we will be discussing during our visit. Please take some time to review this form and contact me with any questions it presents.



RIEMA

RHODE ISLAND
EMERGENCY MANAGEMENT AGENCY

Lincoln D. Chafee **Governor**
Jamia R. McDonald **Executive Director**

Please feel free to contact me at (telephone number) or via email (email address).

Sincerely,

(Name)
Grants Compliance Officer



**(Attachment B)
Monitoring Report Form**

Sub Recipient:		Date:			
Agency Address:		Contact Phone:			
Agency Contact:		Contact Cell:			
Contact Email:		Agency Fax:			
Grant Monitor:		Federal Grant No.			
State Grant Agreement No.:		Original Award Amount:			
A.	Overall/General:	Yes	No	N/A	Comments
A1	Are goals and objectives identified in the application?				
A2	Are there major accomplishments that have been met regarding the grants?				
A3	Is the project experiencing delays in the receipt or expenditure of grant funds?				
A4	Are funds being used according to the Grant Agreement?				
A5	Does project meet goals and objectives of RI State Homeland Security Strategy?				
A6	What are the funds received being used for?	<input type="checkbox"/> Planning <input type="checkbox"/> Organization <input type="checkbox"/> Equipment <input type="checkbox"/> Training <input type="checkbox"/> Exercises			
A7	Does the grantee have any specific technical assistance needs? If so, what are they?				
A8	Is the grantee coordinating their efforts with other area departments? If so, which ones?				
A9	Has the grantee undertaken any unique Homeland Security initiatives that would be helpful or useful to other grantees?				



Section A – Additional Comments:

<u>B.</u>	<u>Recordkeeping:</u>	<u>Yes</u>	<u>No</u>	<u>N/A</u>	<u>Comments</u>
Does the grantee keep program files/copies of the following materials:					
B1	Application?				
B2	Signed grant agreement with conditions?				
B3	Program/budget modifications and approvals (Amendments)?				
B4	Correspondence?				
B5	MOU's, if applicable?				
B6	Who is responsible for maintaining grantee files?				
B7	Have quarterly financial and narrative progress reports been submitted on time?				
B8	Are you current with the Certification of Audit Requirements and Schedule of Federal Expenditures?				
B9	Do you maintain updated Equipment worksheets and/or inventory lists? How often are they updated?				
B10	Do you maintain updated Training and/or Exercise worksheets?				



B11	Is the sub-grantee aware that changes to budget categories and/or AEL must be approved by RIEMA before expense occurs?				
B12	What (if any) programmatic records are being maintained; other than those already mentioned above?				
Section B – Additional Comments:					

C.	Program Expenditures - Equipment:	Yes	No	N/A	Comments
C1	Have there been any difficulties with the equipment procurement process? What were they? What worked well?				
C2	Has the equipment been opened, inspected and readied for deployment?				
C3	Has the purchased equipment been deployed? If not, why?				
C4	Is there specialized training required for the equipment? If so, has that training been conducted and who performed the training?				
C5	How has the equipment enhanced preparedness and response capabilities?				
C6	Do you maintain a RIEMA Homeland Security specific inventory list?				
C7	Has equipment been labeled /tagged as being funded with Homeland Security funds? If so, what is your threshold/limit for labeling?				



C8	Is the grantee finished spending the awarded funds? If not, expected completion date?				
----	---	--	--	--	--

Section C – Additional Comments:

Equipment, Training, Licenses & Certifications:		Yes	No	N/A	Comments
C9	Do your SOPs include the Homeland Security purchased items?				
C10	What is your maintenance schedule for each Homeland Security grant purchased item?				
C11	Do you have a Sustainability Plan for each Homeland Security grant purchased item?				
C12	How many personnel are trained to use each Homeland Security grant purchased item?				
C13	How many additional personnel require training to use your grant purchased items?				
C14	When was the last training/exercise held to simulate the use of each Homeland Security grant purchased item?				
C15	How is that documented?				
C16	Do you have the licenses/certifications specific to each Homeland Security grant purchase for the appropriate personnel?				
C17	Do you have insurance coverage? Obtain copy of current insurance certificate.				



Section C – Additional Comments:

Computers and/or PDA's:		<u>Yes</u>	<u>No</u>	<u>N/A</u>	<u>Comments</u>
C18	What is the Homeland Security related function of this computer or PDA? Does it have Internet access? If so, which type?				
C19	Does this computer contain Crisis Management and information gathering software?				
C20	Is this computer used in a CAD or Mobile Data Terminal/MDT System, Mobile Command Post, CBRNE Logistical Support, or EOC?				
C21	Does this computer assist and/or allow for real time dissemination of information and intelligence?				
C22	Is this computer used for tracking and inventory of grant purchased items?				

Section C – Additional Comments:

For Vehicle purchases only:					
C23	Are maintenance and mileage logs properly maintained?				
C24	When have you used the CBRNE response vehicles?				
C25	How do you determine when to use the vehicle?				

Section C – Additional Comments:



Procurement:		<u>Yes</u>	<u>No</u>	<u>N/A</u>	<u>Comments</u>
C26	Was the local procurement process followed for purchases?				
C27	Is there documentation on file of how the vendor was selected and equipment was procured?				
C28	Price quotes documented for items or services greater than \$500.				
C29	RFP's for purchases greater than \$5,000.				
C30	Documentation of selection of Vendor, if lowest bidder not selected				
C31	Sole source justification and approval letters				
Section C – Additional Comments:					

<u>D.</u>	<u>Program Expenditures - Training:</u>	<u>Yes</u>	<u>No</u>	<u>N/A</u>	<u>Comments</u>
D1	Is training on schedule?				
D2	Are training goals being met?				
D3	How many people have been trained and in what discipline and course?				
D4	Training License/Certifications?				
D5	Has training enhanced response capabilities as anticipated? How?				



D6	Is additional training required?				
D7	Are you aware of the G&T training?				
D8	Are you aware of RI's website for Training and Exercises?				http://www.riema.ri.gov/preparedness/training/

Section D – Additional Comments:

E.	Program Expenditures - Exercises:	Yes	No	N/A	Comments
E1	Have you participated in any Exercises? If so, which ones, types, dates?				
E2	Did the Exercises enhance preparedness? If so, how? If not, why?				
E3	Are Exercise accomplishments in line with the Strategy?				
E4	Have the AAR's been received and reviewed?				
E5	Have the IP's been implemented? If not, what are the obstacles to implementing them?				
E6	Are you aware of the HSEEP requirements?				
E7	Are you aware of the RIEMA Exercise Program?				http://www.riema.ri.gov/preparedness/training/

Section E – Additional Comments:

F.	Program Expenditures - Planning:	Yes	No	N/A	Comments
F1	Were Planning funds used to support the assessment and strategy development process?				
F2	Were Planning funds used on other allowable costs? What?				



F3	Did the Town/Agency receive Planning Deliverables from their LEPC? Customize for Agency/Area & LEPC.				
F4	Do you participate in your LEPC? If not, why not?				

Section F – Additional Comments:

G.	NIMS Requirements	Yes	No	N/A	Comments
G1	Are you working to comply with NIMS requirements?				
G2	<ul style="list-style-type: none"> Mutual Aid Agreements? 				If yes, get copies of MAA
G3	<ul style="list-style-type: none"> Completed NIMS survey? 				If not, complete on site
G4	<ul style="list-style-type: none"> Are EOP's NIMS Compliant? 				If not, direct to FEMA web site http://www.fema.gov/pdf/about/divisions/npd/cpg_101_layout.pdf
G5	Have you reviewed the training implementation plan found within DHS NIMS Implementation Plan dated August 12, 2009?				If not, provide copy of memo Available on http://www.ct.gov/demhs/cwp/view.asp?A=1928&Q=306442
G6	Have you requested NIMS training from the academies? If not, Why? Are there any impediments to receiving this training?				
G7	Reminder that all Federal Preparedness grants require you to be NIMS/ICS compliant – Fire Act, HS, HRSA, Hazmat, EMPG, FEMA Mitigation, etc.				See NIMS memo attachment for list of grants

Section G – Additional Comments:



RIEMA RHODE ISLAND EMERGENCY MANAGEMENT AGENCY

Lincoln D. Chafee **Governor**
Jamia R. McDonald **Executive Director**

(Attachment D)

Date

Sub-recipient Name
Sub-recipient Address

RE: On-Site Monitoring and Assistance Visit for Homeland Security Grant

Dear (Name):

I would like to thank you for taking the time to meet with me on (date), to discuss the status of the above-referenced closed DHS SHSP grant. As a result of our visit, I hope that additional, useful information was provided to you to apply in the management and operation of these grants projects and future DHS Grant.

As we discussed, please address the following concerns by providing RIEMA with a copy of the following by (date):

1. RIEMA Inventory Form listing equipment purchased with FY2011 Funding with a value of \$5000.00 or more.

I have included a copy of the Monitoring Report Forms for your files as well as a Post Evaluation Questionnaire. Please return the completed questionnaire to RIEMA Grants Manager (name), to assist us with future programmatic monitoring.

Your commitment to addressing the homeland security needs in your community and throughout Rhode Island is appreciated. Please feel free to contact me at (phone number) or via email ([email](#) address). Thank you for your attention concerning this matter.

Sincerely,

(Name)
Grant Compliance Officer



(Attachment E)
Post Visit Monitoring Questionnaire

Sub-grantee:	Date:
Agency Address:	Contact Phone:
Agency Contact:	RIEMA Name:

#	Question
1.	Was the site visit helpful and informational? <input type="checkbox"/> Strongly Agree <input type="checkbox"/> Agree <input type="checkbox"/> Neutral <input type="checkbox"/> Disagree <input type="checkbox"/> Strongly Disagree
2.	Was the visit conducted in a professional manner? <input type="checkbox"/> Strongly Agree <input type="checkbox"/> Agree <input type="checkbox"/> Neutral <input type="checkbox"/> Disagree <input type="checkbox"/> Strongly Disagree
3.	Were you satisfied with the outcome of the visit? <input type="checkbox"/> Strongly Agree <input type="checkbox"/> Agree <input type="checkbox"/> Neutral <input type="checkbox"/> Disagree <input type="checkbox"/> Strongly Disagree
4.	What worked for the visit? What would you keep the same?
5.	What would you recommend for improvements of the visit?
6.	What can RIEMA do to further assist your agency?
7.	Additional comments.

Revised 11/2013



(Attachment F)
Desk Audit Review Form

Agency Name:			Date:	
Contact Information:			Application #:	
Category	Yes	No	If no, action taken	Date Rectified
Grant Application/Project Narrative				
Signed Grant Assurances				
Signed Lobbyist Form				
Completed Single Audit Form				
Most Recent Fiscal Quarterly Report				
Most Recent Progress Quarterly				
Reimbursement Form Completed				
Purchase Order Provided				
Invoices Provided				
AEL Approved Provided				
Proof of Payment/Cancelled Check				
Procurement Process Described				
Updated Inventory List				
Change Request Form/Approved				
Grant Extension Request Letter				
Grant Extension Approval Letter				
Closeout / De-obligation Letter				
NIMS Compliant				
EHP Screen Submitted - Approved				
Resource Typing Form Submitted				
Comments:				
Desk Audit Conducted by:				Revised 11/2013

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RIEMA

RHODE ISLAND
EMERGENCY MANAGEMENT AGENCY

Sub-Recipient Grant Handbook *Match and Cost Sharing* *Appendix C*

Revised September 2013



Rhode Island Emergency Management Agency
645 New London Ave. Cranston, RI 02920
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Overview

The purpose of this appendix is to inform RIEMA sub-recipients of the regulations, grant guidance, and policies governing match and cost sharing, and of the procedures for recording and evidencing match earned and expended. This policy mirrors RIEMA's internal match and cost sharing procedures, and agency templates have been attached for sub-recipients to utilize as frameworks to adopt.

Regulation and Guidelines

Guidelines

The matching and cost sharing policy is in accordance with the federal regulations governing matching and cost sharing for emergency management programs, "Matching or Cost Sharing," 44 CFR 13.24. This policy and procedures manual is for the administration of Federal award programs administered by the RIEMA in conjunction with the provisions of the Office of Management and Budget (OMB) circulars and government-wide common rules applicable to grants and cooperative agreements, program guidelines, application kits, special conditions, terms and conditions, information bulletins, and DHS policy, regulations and statutes.

Administrative Guidelines

OMB Circular A-102 -Grants and Cooperative Agreements with State and Local Governments.

This Circular establishes consistency and uniformity among Federal agencies in the management of grants and cooperative agreements with State, local, and Federally recognized Indian tribal governments.

OMB Circular A-110 Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations.

This Circular establishes administrative requirements for Federal grants and agreements awarded to commercial organizations, institutions of higher education, hospitals, and other non-profit organizations.

Cost Guidelines

OMB Circular A-21 Cost Principles for Educational Institutions. This Circular establishes principles for determining costs applicable to grants, contracts, and other agreements with *educational institutions*.

OMB Circular A-87 Cost Principles for State, Local and Indian Tribal Governments. This Circular establishes principles and standards for determining costs for Federal awards carried out through grants, cost reimbursement contracts, and other agreements with *State, local and Federally recognized Indian tribal governments*.

OMB Circular A-122 Cost Principles for Non-Profit Organizations. This Circular establishes principles for determining costs of grants, contracts and other agreements with *non-profit organizations*. It does not apply to colleges and universities, which are covered by Office of Management and Budget (OMB) Circular A-21, "Cost Principles for Educational Institutions";

State, local, and Federally recognized Indian tribal governments, which are covered by OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments"; or hospitals.

Match Requirements

Match or cost sharing is required for certain federal grant programs. Matching funds are non-federal funds or services, provided by the sub-recipient, to cover costs budgeted in the grant. Homeland Security grants that have required match include, but not limited to, the Emergency Operations Center grants, the Nonprofit Security Grant Program, and the Emergency Management Performance Grant. For match information, please refer to the specific grant guidance.

Types of Match

1. **Cash Match.** Cash (hard) match includes non-federal cash spent for project related costs, according to the program guidance. Allowable cash match must only include those costs which are in compliance with 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87) and 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*.
2. **In-kind Match.** In-kind (soft) match includes, but is not limited to, the valuation of in-kind services. "In-kind" is the value of something received or provided that does not have a cost associated with it. For example, if in-kind match (other than cash payments) is permitted, then the value of donated services could be used to comply with the match requirement. Also, third party in-kind contributions may count toward satisfying match requirements provided the grantee receiving the contributions expends them as allowable costs in compliance with 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87) and 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*.

Definitions

- § **Matching or 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 (hard).** 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 (soft).** 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 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.

- § **Fair Market Value.** Fair market value (FMV) is the price that property would sell for on the open market. It is the price that would be agreed on between a willing buyer and a willing seller, with neither being required to act, and both having reasonable knowledge of the relevant facts.

Basic Guidelines

- § 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. Refer to Appendix A for details on 44 CFR Part 13 and Appendix B for details on 2 CFR Part 225.
- § Records for all expenditures relating to cost sharing or matching must be kept in the same manner as those for the grant funds.
- § The following documentation is required for third-party cash and in-kind contributions: record of donor; dates of donation; rates for staffing, equipment or usage, supplies, etc.; amounts of donation; and deposit slips for cash contributions. According to 44 CFR § 13.24, this documentation is to be held at the Applicant and/or sub-applicant level.
- § In-kind contributions must be valued at the fair market value of the item.
- § Except as provided by federal statute, a cost sharing or matching requirement may not be met by costs borne by another federal grant.
- § The source of the match funds must be identified in the grant application.
- § Every item must be verifiable, i.e., tracked and documented.
- § Any claimed cost share expense can only be counted once.

Governing Provisions

- § 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*
- § Reference 44 CFR § 13.24, *Matching or Cost Sharing*
- § 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87)
- § Program Guidance and/or Program Regulations

Recordkeeping Requirements

1. Sub-recipients should record all match earned by it's agency on the "Record of Match" spreadsheet as demonstrated in the RIEMA template in Appendix C.
2. Each record in the "Record of Match" spreadsheet will be supported by documentation of the match (Record of Service Hours and Personal Certification Statement (Appendix F), Donated Property Valuation Form (Appendix E), invoices, receipts, etc.). All match supporting documentation should be converted to an electronic file and saved in the "Record of Match" folder on the shared drive. A

link to each electronic file should be included in the "Supporting Documentation" column of the "Record of Match" spreadsheet.

3. All volunteer hours are to be recorded on the "Record of Service Hours and Personnel Certification Statement for Match (Appendix F)." Each form must be signed by a sub-recipient supervisor. Unpaid services provided to the sub-recipient by individuals will be valued at rates consistent with those ordinarily paid for similar work the sub-recipient's agency. If sub-recipients do not have employees performing similar work, the rates will be consistent with those ordinarily paid by other employers for similar work in the same labor market. In either case, a reasonable amount for fringe benefits may be included in the valuation. Refer to the Bureau of Labor Statistics National Wage Survey for Rhode Island to obtain a wage rate, if the sub-recipient does not have an established rate for the classification of work performed: <http://www.bls.gov/ncs/ocs/compub.htm#RI>. Please refer to Appendix F for a template of the RIEMA document.
4. All donated supplies and equipment are to be recorded on the "Donated Property Valuation Form (Appendix E)." Donated supplies and equipment are to be valued at fair market value, consistent with the requirements of 44 CFR 13.24. Please refer to Appendices A and E for RIEMA documents.
5. The sub-recipient is to update the "Record of Match" spreadsheet as match is obligated and expended.
6. Sub-recipient employees are to complete a "Total Project Funding & Supporting Match Form (Appendix G)" for all projects requiring a match, indicating the match obligated towards the project. The completed form is to be sent to the designated sub-recipient personnel prior to any project invoices being paid. Please refer to RIEMA's document in Appendix G.
7. The sub-recipient is to update the "Expended Match" spreadsheet with project information as match is obligated to projects. Please refer to RIEMA's document in Appendix D.

Appendix A

44 CFR § 13.24 Matching or cost sharing.

(a) *Basic rule: Costs and contributions acceptable.* With the qualifications and exceptions listed in paragraph (b) of this section, a matching or cost sharing requirement may be satisfied by either or both of the following:

(1) Allowable costs incurred by the grantee, sub-recipient or a cost-type contractor under the assistance agreement. This includes allowable costs borne by non-Federal grants or by others cash donations from non-Federal third parties.

(2) The value of third party in-kind contributions applicable to the period to which the cost sharing or matching requirements applies.

(b) *Qualifications and exceptions — (1) Costs borne by other Federal grant agreements.* Except as provided by Federal statute, a cost sharing or matching requirement may not be met by costs borne by another Federal grant. This prohibition does not apply to income earned by a grantee or sub-recipient from a contract awarded under another Federal grant.

(2) *General revenue sharing.* For the purpose of this section, general revenue sharing funds distributed under 31 U.S.C. 6702 are not considered Federal grant funds.

(3) *Cost or contributions counted towards other Federal costs-sharing requirements.* Neither costs nor the values of third party in-kind contributions may count towards satisfying a cost sharing or matching requirement of a grant agreement if they have been or will be counted towards satisfying a cost sharing or matching requirement of another Federal grant agreement, a Federal procurement contract, or any other award of Federal funds.

(4) *Costs financed by program income.* Costs financed by program income, as defined in § 13.25, shall not count towards satisfying a cost sharing or matching requirement unless they are expressly permitted in the terms of the assistance agreement. (This use of general program income is described in § 13.25(g).)

(5) *Services or property financed by income earned by contractors.* Contractors under a grant may earn income from the activities carried out under the contract in addition to the amounts earned from the party awarding the contract. No costs of services or property supported by this income may count toward satisfying a cost sharing or matching requirement unless other provisions of the grant agreement expressly permit this kind of income to be used to meet the requirement.

(6) *Records.* Costs and third party in-kind contributions counting towards satisfying a cost sharing or matching requirement must be verifiable from the records of grantees and sub-recipient or cost-type contractors. These records must show how the value placed on third party in-kind contributions was

derived. To the extent feasible, volunteer services will be supported by the same methods that the organization uses to support the allocability of regular personnel costs.

(7) *Special standards for third party in-kind contributions.* (i) Third party in-kind contributions count towards satisfying a cost sharing or matching requirement only where, if the party receiving the contributions were to pay for them, the payments would be allowable costs.

(ii) Some third party in-kind contributions are goods and services that, if the grantee, sub-recipient, or contractor receiving the contribution had to pay for them, the payments would have been indirect costs. Costs sharing or matching credit for such contributions shall be given only if the grantee, sub-recipient, or contractor has established, along with its regular indirect cost rate, a special rate for allocating to individual projects or programs the value of the contributions.

(iii) A third party in-kind contribution to a fixed-price contract may count towards satisfying a cost sharing or matching requirement only if it results in:

(A) An increase in the services or property provided under the contract (without additional cost to the grantee or sub-recipient) or

(B) A cost savings to the grantee or sub-recipient.

(iv) The values placed on third party in-kind contributions for cost sharing or matching purposes will conform to the rules in the succeeding sections of this part. If a third party in-kind contribution is a type not treated in those sections, the value placed upon it shall be fair and reasonable.

(c) *Valuation of donated services* —(1) *Volunteer services.* Unpaid services provided to a grantee or sub-recipient by individuals will be valued at rates consistent with those ordinarily paid for similar work in the grantee's or sub-recipient's organization. If the grantee or sub-recipient does not have employees performing similar work, the rates will be consistent with those ordinarily paid by other employers for similar work in the same labor market. In either case, a reasonable amount for fringe benefits may be included in the valuation.

(2) *Employees of other organizations.* When an employer other than a grantee, sub-recipient, or cost-type contractor furnishes free of charge the services of an employee in the employee's normal line of work, the services will be valued at the employee's regular rate of pay exclusive of the employee's fringe benefits and overhead costs. If the services are in a different line of work, paragraph (c) (1) of this section applies.

(d) *Valuation of third party donated supplies and loaned equipment or space.* (1) If a third party donates supplies, the contribution will be valued at the market value of the supplies at the time of donation.

(2) If a third party donates the use of equipment or space in a building but retains title, the contribution will be valued at the fair rental rate of the equipment or space.

(e) *Valuation of third party donated equipment, buildings, and land.* If a third party donates equipment, buildings, or land, and title passes to a grantee or sub-recipient, the treatment of the donated property will depend upon the purpose of the grant or sub-grant, as follows:

(1) *Awards for capital expenditures.* If the purpose of the grant or sub-grant is to assist the grantee or sub-recipient in the acquisition of property, the market value of that property at the time of donation may be counted as cost sharing or matching,

(2) *Other awards.* If assisting in the acquisition of property is not the purpose of the grant or sub-grant, paragraphs (e)(2) (i) and (ii) of this section apply:

(i) If approval is obtained from the awarding agency, the market value at the time of donation of the donated equipment or buildings and the fair rental rate of the donated land may be counted as cost sharing or matching. In the case of a sub-grant, the terms of the grant agreement may require that the approval be obtained from the Federal agency as well as the grantee. In all cases, the approval may be given only if a purchase of the equipment or rental of the land would be approved as an allowable direct cost. If any part of the donated property was acquired with Federal funds, only the non-Federal share of the property may be counted as cost-sharing or matching.

(ii) If approval is not obtained under paragraph (e)(2)(i) of this section, no amount may be counted for donated land, and only depreciation or use allowances may be counted for donated equipment and buildings. The depreciation or use allowances for this property are not treated as third party in-kind contributions. Instead, they are treated as costs incurred by the grantee or sub-recipient. They are computed and allocated (usually as indirect costs) in accordance with the cost principles specified in § 13.22, in the same way as depreciation or use allowances for purchased equipment and buildings. The amount of depreciation or use allowances for donated equipment and buildings is based on the property's market value at the time it was donated.

(f) *Valuation of grantee or sub-recipient donated real property for construction/acquisition.* If a grantee or sub-recipient donates real property for a construction or facilities acquisition project, the current market value of that property may be counted as cost sharing or matching. If any part of the donated property was acquired with Federal funds, only the non-Federal share of the property may be counted as cost sharing or matching.

(g) *Appraisal of real property.* In some cases under paragraphs (d), (e) and (f) of this section, it will be necessary to establish the market value of land or a building or the fair rental rate of land or of space in a building. In these cases, the Federal agency may require the market value or fair rental value be set by an independent appraiser, and that the value or rate be certified by the grantee. This requirement will also be imposed by the grantee on sub-recipient.

Appendix B

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

Basic Guidelines

1. **Factors affecting allow-ability of costs.** To be allowable under federal awards, costs must meet the following general criteria:
 - a. Be necessary and reasonable for proper and efficient performance and administration of federal awards.
 - b. Be allocable to federal awards under the provisions of 2 CFR Part 225.
 - c. Be authorized or not prohibited under state or local laws or regulations.
 - d. Conform to any limitations or exclusions set forth in these principles, federal laws, terms and conditions of the federal award, or other governing regulations as to types or amounts of cost items.
 - e. Be consistent with policies, regulations, and procedures that apply uniformly to both federal awards and other activities of the governmental unit.
 - f. Be accorded consistent treatment. A cost may not be assigned to a federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the federal award as an indirect cost.
 - g. Except as otherwise provided for in 2 CFR Part 225, be determined in accordance with generally accepted accounting principles.
 - h. Not be included as a cost or used to meet cost sharing or matching requirements of any other federal award in either the current or a prior period, except as specifically provided by federal law or regulation.
 - i. Be the net of all applicable credits.
 - j. Be adequately documented.
2. **Reasonable costs.** A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. The question of reasonableness is particularly important when governmental units or components are predominately federally-funded. In determining reasonableness of a given cost, consideration shall be given to:
 - a. Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the governmental unit or the performance of the federal award.
 - b. The restraints or requirements imposed by such factors as: Sound business practices; arm's-length bargaining; federal, state and other laws and regulations; and, terms and conditions of the federal award.
 - c. Market prices for comparable goods or services.
 - d. Whether the individuals concerned acted with prudence in the circumstances considering their responsibilities to the governmental unit, its employees, the public at large, and the Federal Government.
 - e. Significant deviations from the established practices of the governmental unit which may unjustifiably increase the federal award's cost.

3. Allocable costs.

- a. 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.
- b. All activities which benefit from the governmental unit's indirect cost, including unallowable activities and services donated to the governmental unit by third parties, will receive an appropriate allocation of indirect costs.
- c. Any cost allocable to a particular federal award or cost objective under the principles provided for in 2 CFR Part 225 may not be charged to other federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the federal awards, or for other reasons.
- d. Where an accumulation of indirect costs will ultimately result in charges to a federal award, a cost allocation plan will be required as described in Appendices C, D, and E to this part.

4. Applicable credits.

- a. Applicable credits refer to those receipts or reduction of expenditure-type transactions that offset or reduce expense items allocable to federal awards as direct or indirect costs. Examples of such transactions are: Purchase discounts, rebates or allowances, recoveries or indemnities on losses, insurance refunds or rebates, and adjustments of overpayments or erroneous charges. To the extent that such credits accruing to or received by the governmental unit relate to allowable costs, they shall be credited to the federal award either as a cost reduction or cash refund, as appropriate.
- b. In some instances, the amounts received from the Federal Government to finance activities or service operations of the governmental unit should be treated as applicable credits. Specifically, the concept of netting such credit items (including any amounts used to meet cost sharing or matching requirements) should be recognized in determining the rates or amounts to be charged to federal awards.

Appendix E

Donated Property Valuation Form

Purpose: Checklist to ensure proper documentation for incoming donations of equipment and supplies.

Section I – Donor/Item Information	
Grant Manager:	Description of Donated Item:
Date Item Received:	Capital equipment? Yes ___ No ___ (See Note 1) Non Capital Equipment? Yes ___ No ___ (See Note 2)
Grant Award Items are Donated to:	
Documents Attached: <i>(Check all that apply)</i> <input type="checkbox"/> Itemized List of All items Being Donated <input type="checkbox"/> Packing List/Shipping Documents <input type="checkbox"/> IRS 8283 Form <i>(if applicable)</i> <input type="checkbox"/> Proof of Value <i>(ie: Appraisal, Invoice, Receipt)</i> <input type="checkbox"/> Other, <i>(Please specify)</i> <p style="text-align: center;"><i>(See Notes 2,3,4,5)</i></p>	Donor Name and Address: Donor Tax ID# _____ <i>(Provided by Donor)</i>
Section II	
Actions to be completed by the Grants Manager.	
<ol style="list-style-type: none"> 1. Review packet. 2. Establish acquisition cost/Fair market value (FMV) for each donated item. 3. Update Record of Match Log 	
Section III – Notes and References	
Notes: <ol style="list-style-type: none"> 1. Capital Equipment: Defined as value greater than or equal to \$5000; Useful life greater than 1 year. 2. Itemized list of supplies and equipment should include both capital and non-capital equipment being donated. 3. Only the Grant Manager may sign IRS or Donor acknowledgement forms. 4. Grant Manager should avoid any statements to donor regarding value of donated equipment. 	

Appendix F



Rhode Island Emergency Management Agency
Record of Service Hours and Personnel Certification Statement for Match

Name: _____
 Description of Services Performed: _____
 Record of Hours for the Week Ending: _____

Grant	Sat.	Sun.	Mon.	Tues.	Wed.	Thurs.	Fri.	Total
EMPG								0.00
SHSP								0.00
UASI								0.00
MMRS								0.00
CCP								0.00
CAP								0.00
EOC								0.00
HMPG								0.00
BZPP								0.00
IEC								0.00
PDMC								0.00
CTP								0.00
LETP								0.00
BEOC								0.00
Hurricane Sandy								0.00
Tropical Storm Irene								0.00
Federal Flood								0.00
PSGP								0.00
Total Service Hours								0.00

I hereby certify this report is an after the fact determination of the total activity and actual effort expended for the period indicated, and I have full knowledge of 100% of these activities.

Service Provider
Signature: _____

RIEMA Supervisor
Signature: _____

Volunteer services. Unpaid services provided to a grantee or subgrantee by individuals will be valued at rates consistent with those ordinarily paid for similar work in the grantee's or subgrantee's organization. If the grantee or subgrantee does not have employees performing similar work, the rates will be consistent with those ordinarily paid by other employers for similar work in the same labor market. In either case, a reasonable amount for fringe benefits may be included in the valuation. Refer to the Bureau of Labor Statistics National Wage Survey for Rhode Island to obtain a wage rate, if RIEMA does not have an established rate for the classification of work performed: <http://www.bls.gov/nics/ocs/compub.htm#RI>
 Matching or Cost Sharing. 44CFR13.24



RIEMA

RHODE ISLAND
EMERGENCY MANAGEMENT AGENCY

Sub-Recipient Grant Handbook *Extensions to the Period of Performance* Appendix D

Revised November 2013



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Grant Program Directorate Information Bulletin No. 379
Attachment D
Extensions to the Period of Performance

Subject to certain exceptions, grantees are required to take steps to expend, draw down and close out DHS/FEMA grant funding by the dates outlined below. If those funds have not been spent by the dates outlined below, DHS/ FEMA will reclaim them to the extent permitted by law.

The periods of performance support the effort to expedite the outlay of grant funding and provide economic stimulus. Agencies should request waivers sparingly, and they will be granted only due to compelling legal, policy, or operational challenges. State Administrative Agencies²⁰ (SAA's) may request waivers from the deadlines outlined above for discretionary grant funds where:

- adjusting the timeline for spending will constitute a verifiable legal breach of contract by the grantee with vendors or sub-recipients;
- where a specific statute or regulation mandates an environmental review that cannot be completed within this timeframe; or
- where other exceptional circumstances warrant a discrete waiver.

Submission Requirements

Extensions to the initial period of performance identified in the award will be considered only through formal, written requests to the grantee's respective GPD or Regional Program Analyst and must contain specific and compelling justifications as to why an extension is required. States are advised to coordinate with the GPD or Regional Program Analyst as needed, when preparing an extension. All extension requests must address the following:

- Grant Program, Fiscal Year, and award number;
- Reason for delay – this must include details of the legal, policy, or operational challenges being experienced that prevent the final outlay of awarded funds by the applicable deadline;
- Current status of the activity/activities;
- Approved period of performance termination date and new project completion date;
- Amount of funds drawn down to date;

¹⁸ Unless the grant is either within the original Period of Performance or within the time period of an approved extension.

¹⁹ This excludes any open FY 2008 and FY 2009 award that received an extension from FEMA which goes beyond

September 30, 2012, as of January 1, 2012

²⁰ Also refers to those agencies identified on an award as grantee, if not a State Administrative Agency

- Remaining available funds, both Federal and non-Federal;
- Budget outlining how remaining Federal and non-Federal funds will be expended;
- Plan for completion including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
- Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work approved by FEMA.

Any submissions received after the deadline will be considered at the discretion of the Grant Programs Directorate's Assistant Administrator.

Review and Approval Process

Upon receipt of the grantee's request, the FEMA PA (1) verifies compliance with financial reporting requirements by confirming that the grantee has submitted all necessary Federal Financial and Programmatic Reports (SF-425s and CAPRs/SAPRs); (2) confirms that the grantee has provided sufficient justification for the request; and (3) reviews all previous extensions to confirm that the grantee has demonstrated sufficient progress and provided a reasonable explanation for the continued delays. If the grantee has not provided adequate detail to justify the requested extension, the PA will coordinate with the grantee. Once all required extension request materials are complete, the FEMA PA will prepare an extension package for the GPD Assistant Administrator's approval.

Extension requests will be granted only due to compelling legal, policy, or operational challenges. Extension requests will only be considered for the following reasons:

- Contractual commitments by the grantee with vendors or sub-recipients prevent completion of the project within 24 months;
- The project must undergo a complex environmental review that cannot be completed within this timeframe;
- Projects are long-term by design and therefore acceleration would compromise core programmatic goals; and
- Where other special circumstances exist.

In accordance with PGD policy, extensions are typically granted for no more than a six month time period. In extreme cases, extensions may be granted up to 12 months. However, the grantee must provide additional justification in order to demonstrate the extenuating circumstances that necessitate a longer extension. Extension requests typically take 4-6 weeks to process, however DHS/FEMA will prioritize extension requests that are submitted in response to this Information Bulletin in order to support the grantee's need to expedite the administrative activities associated with modifying any existing contract and/or subaward under the program.

Pursuant to 31 U.S.C. 1552, FEMA does not have the statutory authority to extend availability of funds past September 30th of the fifth fiscal year of the grant period. At that time, the award will be closed out and any remaining balance, whether obligated or unobligated, will be returned to the Treasury, subject to 31 USC Section 1552(a) pertaining to recording, adjusting and liquidating obligations properly chargeable to the account. In order to allow for the 90-day liquidation and closeout period outlined in the program guidance, the period of performance

cannot be extended past June 30th of the fifth fiscal year of the grant period.²¹ On or after July 1st of the fifth fiscal year, FEMA will initiate closeout procedures. At that point, the period of performance will expire and the grantee will have 90 days to expend all remaining funds and submit closeout documentation.

²¹ Subject only to currently active awards which may already have been granted an extension beyond June 30th of the fifth fiscal year after the award.