

**XYZ County
Homeland Security Grant Administration
Standard Operating Guideline**

XXXX Order:	Subject:	Effective Date:	Authority:
XXXX-XX	Homeland Security Grant Administration and Procedures	Month 20XX	XXXXXXXX

Policy: Homeland Security Grant Administration and Procedures.

Purpose: To create a formal policy on the handling of Homeland Security grant funding awarded. This policy is designed to provide a process of applying, receiving and administering grant funding awarded by the Division of Homeland Security and Emergency Services.

Scope: This policy applies to the XYZ County Emergency Management Office (EMO), Sheriff’s Office (Sheriff), and Public Health (PH)

Guidelines:

The XYZ County Emergency Management Office, Sheriff’s Office and Public Health are responsible for the administration of Homeland Security Funds each department is awarded. This guideline is designed to provide a step by step process of applying, receiving and administering Homeland Security funds within their respective department.

A. Application

There are many grant programs in which the EMO, Sheriff and PH apply for through the Division of Homeland Security and Emergency Services. When the EMO, Sheriff or PH department is made aware of the programs available, details will be discussed with their Legislative Standing Committee as to whether an application will be drafted to apply for funds. Once a decision has been made by the committee, the Department Head will proceed with the County’s Grant Application procedure, regardless of amount.

1. If the application has been authorized, members of the EMO, Sheriff or PH will draft the application in accordance with the guidelines distributed within the grant documentation. Information will be solicited from appropriate staff and agencies to complete the application.
2. If the Department is applying for a grant renewal, review with the Departments Standing Legislative Committee only is required.
3. If applying for a new grant, the Department Head must schedule attendance at a Legislative Conference Session to explain the grant.
4. Prepare and sign a fact sheet for the grant; write a resolution for the grant.
5. Sign the application; provide a signature line for Legislative Chairman.
6. Send the application, fact sheet and resolution to the Legislature.

7. Once the application has been approved it can be submitted through the E-Grants system.
8. Once approval of the grant is obtained, a resolution will be drafted and submitted to the XYZ County Legislature for approval of the grant. Upon approval of the resolution a copy will be kept on file in the EMO, Sheriff, PH in the file established for the grant. ***Appendix A – Sample Resolution***
9. Per the resolution an account will be established for the distribution of funds. The County will ensure that the grant funds are not commingled with other sources of funding by establishing separate sub-departments within each grantee's budget that are specific to each grant, or in the case of a grant funding a specific capital project in its entirety, establishing a separate capital account specific to that grant. No items will be purchased until a signed contract is executed and on file at the EMO, Sheriff, PH Office.

B. Procurement

1. Once all application materials are in place and accounted for the process of procurement can begin. All procurements will be done in accordance to the XYZ County Procurement Policy. ***Written justification and documentation for all procurements must be maintained on file, and made available upon request.*** If questions about the procurement of goods and services arise the questions will be forwarded to the Purchasing Department for review and resolve.
 - a. A purchase order requires no quote if the cost of the item is \$500 or under and the purchase order total for all items is less than \$1,500. A purchase order requires three verbal quotes if cost of an item is between \$501 to \$3,000 and/or the total dollar amount of all items on the purchase order is between \$1,501 and \$3,000. A purchase order requires three written quotes if the total amount of all items on the purchase order is between \$3,001 and \$9,999. Any items or purchase order \$10,000 and over require Competitive Sealed Bid or a Request for Proposal. ***Any purchases made will include any grant specific requirements including but not limited to proving reasonableness of price.***
 - b. Purchase orders will include state contract award letters and the company information.
 - c. If the item to be purchased has unique requirements, thereby limiting the purchase to a sole source vendor/bidder, as defined in the XYZ County Procurement Policy, then all documentation substantiating such justification must be presented to DHSES for approval. See attached Justification for Non Competitive Procurement. Copies of all documentation must be kept in the grant folder as well as provided to the XYZ County Purchasing Department for final approval before proceeding with the procurement process.

- d. A copy of the proposal(s) or bid document(s) will be stamp dated and initialed by the specific organization when received and a copy will be kept on file at the EMO, Sheriff or PH.
- e. Pre-approval of all procurement documents will be reviewed prior to award. All questions about the procurement of goods will be responded to by the Director of EMO, PH, or Sheriff. Once the XYZ County Legislature has awarded the contract with a resolution number of the Grant Acceptance and all documents are in place, for example, insurance certification, bonding, if required, the purchase order can be generated.
- f. In order for a purchase to occur, a XYZ County Purchase Order must be drafted and approved. The Purchasing Director signs all purchase orders and forwards a copy of the purchase order to the requesting department. The purchase order can now be sent to the appropriate vendor(s).

C. Receipt of Goods and Equipment

1. All items will be ordered and shipped to the address provided on the purchase order or the address defined in the purchase contract with XYZ County. When said items arrive or installed, a member of the EMO, Sheriff or PH will verify the items and check it in accordance with the packing slip or contract. If any errors occur the items will not be accepted until it can be reconciled with the vendor.
2. All equipment will be placed in the fixed asset system established by XYZ County fixed asset policy as well as labeled "Purchased with Homeland Security Funds". . The following information will be recorded by award and filed in the XYZ County EMO, Sheriff or PH:
 - a. Description of the property
 - b. Serial Number or other identification number
 - c. The source of the property
 - d. Who holds title
 - e. The acquisition date
 - f. Cost of property
 - g. Percentage of federal participation in the cost of the property
 - h. Location of equipment
 - i. Use and condition of the property
 - j. Any ultimate disposition data including the date of disposal and sale price of the property

Any equipment, furniture or supplies or other property purchased pursuant to the DHSES Agreement is deemed to be the property of the State, except as may otherwise be governed by federal or State laws, rules or regulations or stated in the DHSES Agreement.

It is noted that if this property is deemed no longer needed that the Division of Homeland Security and Emergency Services must be notified prior to the disposition of the property. If the property is sold the sale price must be documented and portion of those proceeds may need to be returned to the Division of Homeland Security and Emergency Services.

A physical inventory of the equipment must be performed at a minimum of every year in accordance to XYZ County's Fixed Asset policy and recorded on file.

Any loss or damage to any equipment will be reported immediately and a record maintained.

D. Record of Time

1. Some grants involve the documentation and record of time for reimbursement purposes. Specific documentation must be maintained as support for project related personal service expenditures as the DHSES Agreement is supported by federal funds. Depending on the nature or extent of personal service provided under the DHSES Agreement, XYZ County will maintain semi-annual (or more frequent) personal service certifications and/or an after-the-fact personnel activity reporting system (or equivalent) which complies with all applicable laws, regulations and program guidance. When time needs to be recorded it will be done in the following manor:
 - a. Any contractor working for the County on a time accrual basis must have a contract on file prior to performing the work. Once a contract is on file the contractor may work on a requested basis at the direction of the XYZ County EMO Director, Sheriff, PH Director or designee. Once the contractor has completed the duties assigned a record of time and any associated attendance sheets and/or paperwork will be submitted to the appropriate office within ten working days.
 - b. When time is recorded for reimbursement for any employee whether it be back fill or training or grant administration, the time will be recorded on a spreadsheet of hours worked and tasks performed along with any required personal service certifications. This spreadsheet along with copies of overtime payment requests, who the employee backfilled for and why (documentation must also be provided for where the original employee was with proof of what they were completing), and sign in sheets will be submitted with payroll and approved by the EMO Director, Sheriff or PH Director.

E. Payment

1. Prior to payment all items must be reconciled and received by a member of EMO, Sheriff's Office or PH Office.
2. All invoices received will be dated and a copy placed in the appropriate grants folder.
3. The invoice will be compiled by the responsible department's Accounts Payable designee, according to department procedure. Prior to forwarding to the County Legislature per the auditing schedule for payment, a note will be attached requesting the

Treasurer to cut the check for only the specific SHSP purchase based on the voucher or purchase order issued. *(If grant and non-grant purchases are paid on one check to a vendor, copies of all invoices paid will be needed to reconcile the amount of the check.)*

4. Upon Legislative approval the County Treasurer who will issue payment to the vendor.
5. Once processed all vouchers will be printed and supporting documentation will be attached. Supporting documentation shall include: purchase orders, signed equipment authorizations, copy of grant resolution, packing slips and any other pertinent information.
6. Once the check is cut and mailed to the vendor the check number will be documented in the XYZ County accounting system as well as written on the copy of the purchase order or voucher placed in the grants file located in the EMO, Sheriff's Office or PH. A request will be made for the Treasurer's Office to forward the requesting department a copy of the cancelled check to add to the supporting documentation.
7. This information will be used to do the required quarterly reporting and to verify all expenditures from said grant.

F. Other Departments/Municipalities Participation

1. Any other Department or Municipality that is a part of or will benefit from any grant administered by Emergency Management, Sheriff or Public Health will adhere to all policies set forth in this policy including documentation for payments.

G. Fiscal Reporting

1. Vouchers will be sent to the state for reimbursement along with the attached FCRs and DIFs.
2. Voucher will also be copied to the XYZ County XXXXXXXXX Dept. so that they can assign incoming funds to the appropriate account.
3. The County XXXXXXXXX of XXXXXXXX will sign all submitted FCRs along with the XXXXXXXXX of XXXXXXXXXX XXXXXXXXX prior to sending to the state.
4. Reports will be sent in the time frame required by the grant. If there will be a delay in report submission, contact will be made by the XXX and a date for proposed completion provided.
5. Homeland Security reports will be submitted on E-Grants system by XXX staff.
6. Primary person submitting reports will be the administrative contact for the grant with the XXXXXXXX XXXXXXXXX XXXXXX XXXXXXXX as the secondary or back up in case the Primary is unable to due to leave of absence, work load, accident etc.

H. Retention of Records

1. Original records must be retained for six years following the submission of the final claim against the DHSES Agreement or the end of the Agreement Period, if later. In cases where litigation, a claim, or an audit is ongoing, the records must be retained until formal completion of the action and resolution of issues or the end of the six year Period, whichever is later. In the event of an audit, the project manager or a designated responsible party must be prepared to produce source documents that substantiate claimed expenditures. DHSES requires that all documentation materials be organized, readily accessible, and cross-referenced to the Fiscal Cost Reports previously submitted. If fiscal records, such as purchase orders, vouchers, payroll registers, payroll tax records, property records or equipment inventory records, etc., are to be kept in a fiscal office which is separate and apart from the program office, the project manager must have access to these original records. Such fiscal records must readily identify the associated project.

SAMPLE

Appendix A – Sample Resolution

**RESOLUTION NO. PURCHASE AUTHORIZATION – OFFICE OF
EMERGENCY MANAGEMENT SERVICES –CHEMICAL
PROTECTIVE SUITS (HAZMAT SUITS) & SELF
CONTAINED BREATHING APPARATUS (SCBA) -
APPROVAL OF**

Legislator offered the following resolution:

WHEREAS, The XYZ County Office of Emergency Management Coordinator received authorization to accept grant funding of FY09 State Homeland Security Program (SHSP funds) by resolution No 343 adopted on October 29, 2009, and

WHEREAS, The XYZ County Office of Emergency Management Coordinator has obtained quotes under NYS contract for twelve chemical protective suits (HazMat) in the amount of \$24,254.00 to replace the current, non-compliant suits and two self contained breathing apparatus (SCBA) with facepiece(s) and spare cylinders in the amount of \$12,215.28 all which have exceeded their service life rendering them out of compliance with NFPA standards, and

WHEREAS, The XYZ County Office of Emergency Management Coordinator is requesting authorization to use FY09 SHSP grant funds for the purchase of the chemical protective suits (HazMat) and self-contained breathing apparatus, and

WHEREAS, The Committees on Public Service has reviewed this request and does recommend approval at this time. Now, therefore, Be it

RESOLVED, That the Chair of the XYZ County Legislature does hereby authorize the purchase of chemical protective suits and self contained breathing apparatus at a cost of \$36,469.28.

Budget Impact: None. Offset by FY05 Homeland Security grant funds.

Justification For Non-Competitive Procurement (Sole Source Justification)

Grantees seeking to enter into a non-competitive procurement must submit adequate justification via a signed letter on requesting agency letterhead that addresses (at a minimum) the following points (as applicable):

A brief description of the program and what is being contracted.

Explanation of why a non-competitive contract is necessary, to include:

- Expertise of the contractor.
- Management.
- Responsiveness.
- Knowledge of the program.
- Experience of personnel.

Time Contracts

- When contractual coverage is required and why.
- Impact on program if dates are not met.
- How long would it take another contractor to reach the same level of competence? (Equate to dollars if desired)

Uniqueness

Other points that should be covered to make a convincing case.

A declaration that this action is in the best interest of the agency.

Please submit request to:

Contracts Unit

Federal Grant Program Administration

NYS Division of Homeland Security and Emergency Services

1220 Washington Avenue

State Campus Building 7A – Suite 610

Albany, NY 12242

Or via email:

grants@dhses.ny.gov

Please note, per the terms of your grant contract, you must receive prior written approval before entering into a non-competitive procurement.