

Illinois Terrorism Task Force/ Illinois Emergency Management Agency

Federal Preparedness Grants Financial and Programmatic Procedures Manual



August 24, 2011

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Chapter 1

Overview

History and Overview of the Illinois Terrorism Task Force

Executive Orders

The Illinois Terrorism Task Force (ITTF) was formalized by a State of Illinois Executive Order in May 2000 and established as a permanent entity by a 2003 Executive Order. The ITTF serves as an advisory body to the Governor and provides statutory recommendations and guidance on homeland security laws, policies, protocol, and procedures. The ITTF also serves as the state homeland security strategic planning and policy body for the U.S. Department of Homeland Security grant programs. Administrative support to the ITTF is provided through the Illinois Emergency Management Agency (IEMA).

ITTF Charter

In December 2008 the ITTF membership unanimously approved a charter to expand the authorities provided to the homeland security advisory body through the Governor's 2003 Executive Order and formalize its organizational and operational structure. The ITTF Charter, which became effective on Jan. 1, 2009, describes the task force's purpose, powers and duties, governance structure, voting rights, and grant management and administration responsibilities. The document also lists the current Illinois Homeland Security Strategy, membership, and methodology for prioritizing projects to be supported through federal preparedness funds.

Composition

The ITTF is made up of 16 committees: Bioterrorism, Communications, Crisis Response and Prevention, Cyber Security, Elected Officials, Emergency Management, Fire Mutual Aid, Information Technology, Law Enforcement Mutual Aid, Private and Nongovernmental, Public Information, Science and Technology, Training, Transportation, Urban Area, and Volunteers and Donations/Illinois Citizen Corps Council. The task force represents more than 60 agencies, including federal, state, local, private sector, and nongovernmental organizations. The ITTF meets on a monthly basis, and the committees meet on a monthly, bi-monthly or "as-needed" basis.

Mission

The task force continues to establish and maintain long-term strategic solutions to the threats and realities of terrorism and major events. At the same time, federal, state, and local entities, their private and non-governmental partners, and the general public collaborate to achieve and sustain risk-based target levels of capability to prevent, protect against, respond to, and recover from these incidents in order to minimize the impact on lives, property, and the economy. Annually, the ITTF publishes a report to the Governor outlining key homeland security accomplishments and future initiatives. Prior years' reports can be downloaded from the Ready Illinois website (www.ready.illinois.gov/itff).

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EXECUTIVE ORDER

NUMBER 17 (2003)

EXECUTIVE ORDER CREATING A TERRORISM TASK FORCE

WHEREAS, the threat of terrorist attacks in the United States is real, as witnessed by the events of September 11, 2001; and

WHEREAS, the centralized coordination and communication among various entities at the State, regional and local levels is essential for the prevention of terrorism; and

WHEREAS, domestic preparedness to respond to terrorist attacks is a priority of the highest magnitude for federal, state and local governments; and

WHEREAS, the Illinois Terrorism Task Force has established a working partnership among public and private stakeholders from all disciplines and regions of the State, to facilitate the coordination of resources and the communication of information essential to combat terrorist threats; and

WHEREAS, the Illinois Terrorism Task Force has proven to be an effective entity in developing and implementing the domestic preparedness strategy of the State of Illinois.

THEREFORE, I hereby order the following:

Executive Order 2000-10 is hereby revoked, and the Illinois Terrorism Taskforce is hereby established as a permanent body, vested with the powers and duties described herein.

I. ESTABLISHMENT OF THE ILLINOIS TERRORISM TASKFORCE

- A. I hereby establish the Illinois Terrorism Taskforce as an advisory body, reporting directly to the Governor and to the Deputy Chief of Staff for Public Safety.
- B. The current members of the Illinois Terrorism Taskforce are hereby reappointed. Additional members of the Illinois Terrorism Taskforce may be appointed with the nomination of the Chair and the approval of the Governor.
- C. Members of the Illinois Terrorism Task Force shall serve without pay, but may receive travel and lodging reimbursement as permitted by applicable state or federal guidelines.
- D. The Governor shall appoint a Chair to serve as the administrator of the Illinois Terrorism Task Force. The Chair shall report to the Deputy Chief of Staff for Public Safety on all activities of the Illinois Terrorism Task Force. The Chair shall also serve as a policy advisor to the Deputy Chief of Staff for Public Safety on matters related to Homeland Security.

II. POWERS & DUTIES OF THE ILLINOIS TERRORISM TASKFORCE

- A. The Illinois Terrorism Task Force, as an advisory body to the Governor and the Deputy Chief of Staff for Public Safety, shall develop and recommend to the Governor the State's domestic terrorism preparedness strategy.
- B. The Illinois Terrorism Task Force shall develop policies related to the appropriate training of local, regional and State officials to respond to terrorist incidents involving conventional, chemical, biological and/or nuclear weapons.
- C. The Illinois Terrorism Task Force shall oversee the weapons of mass destruction teams, which the Governor may deploy in the event of a terrorist attack to assist local responders and to coordinate the provision of additional State resources. The Illinois Terrorism Task Force shall develop appropriate protocol, staffing, training and equipment guidelines for the weapons of mass destruction teams.
- D. The Illinois Terrorism Task Force shall seek appropriate input from federal agencies, including but not limited to: the United States Department of Justice, the Federal Bureau of Investigation, the Federal Emergency Management Agency, the United States Department of Health and Human Services, and the United States Department of Homeland Security.
- E. The Illinois Terrorism Task Force shall recommend to the Governor any changes in Illinois state statutes, administrative regulations, or in the Illinois Emergency Operations Plan, that, in its view, may be necessary to accomplish its established objectives.
- F. The Illinois Terrorism Task Force shall advise the Illinois Emergency Management Agency on issues related to the application for and use of all appropriate federal funding that relates to combating terrorism.
- G. The Illinois Terrorism Task Force shall develop further recommendations to combat terrorism in Illinois and shall present such recommendations to the Deputy Chief of Staff for Public Safety.
- H. The Chair of the Illinois Terrorism Task Force shall submit an annual report to the Governor by March 1st of each year. The report shall detail the activities, accomplishments and recommendations of the Task Force in the preceding year.

III. SAVINGS CLAUSE

Nothing in this Executive Order shall be construed to contravene any state or federal law.

IV. SEVERABILITY

If any provision of this Executive Order or its application to any person or circumstance is held invalid by any court of competent jurisdiction, this invalidity does not affect any other provision or application of this Executive Order which can be given effect without the invalid provision or application. To achieve this purpose, the provisions of this Executive Order are declared to be severable.

U. S. Department of Homeland Security Federal Preparedness Grants Administered by ITTF/IEMA

Homeland Security Grant Program

- State Homeland Security Program Grant
- Interoperable Emergency Communications Grant
- Citizen Corps Grant
- Metropolitan Medical Response System Grant
- Buffer Zone Protection Grant
- Emergency Operations Center Grant

Urban Area Security Initiative

- Urban Area Security Initiative Grant Program
- Regional Catastrophic Preparedness Grant
- NonProfit Security Grant

Emergency Management Performance Grant

Financial Roles and Responsibilities

Illinois Terrorism Task Force (ITTF)

- ◆ The ITTF Finance Officer reviews each submitted invoice and records an electronic voucher in the Illinois Emergency Management Agency (IEMA) Accounting System—Financial Management System (FMS)—and in the CMS Accounting Information System (AIS).
- ◆ The ITTF Finance Officer receives a computer printout of the recorded voucher and submits the printouts from FMS and AIS with the invoices to the Public Safety Shared Services Finance Bureau for their review and approval.

IEMA Bureau of Finance

- ◆ The IEMA Bureau of Finance draws down the requested money from the Federal Government to deposit in the ITTF Homeland Security Appropriation based on vouchers inputted into the IEMA Accounting System. This occurs on a set schedule within the Bureau of Finance.

Shared Services

- ◆ The Public Safety Shared Services Finance Bureau reviews the voucher and the invoice documentation, which are then approved by the Public Safety Shared Services Bureau Accounting Chief. It is then put on a voucher schedule to the Illinois Office of the Comptroller for review.

Chapter 2

Federal Grant Application

Development of Annual Federal Preparedness Grant Applications

Role of ITTF Committees to Generate Initiatives (State Homeland Security Grant Program-SHSP)

- ◆ Each of the ITTF's 16 committees is responsible for generating projects and initiatives for Illinois' SHSP application. Initiatives are introduced during an ITTF Committee Chairs meeting, and it is then the responsibility of each committee to meet and develop projects and budgets that fall within these initiatives and are in accordance with the State Strategy and focus of that year's grant guidance.
- ◆ These initiatives are then brought before the Chairs and voted on. If approved, they are brought to the full ITTF meeting for a vote.
- ◆ It is then the responsibility of the ITTF staff to complete the Investment Justification for the SHSP, which will be submitted to DHS/FEMA via the grants.gov secure web portal and FEMA's ND grants portal.

Identify Application Development Process for Other Grants (i.e. EMPG, CCP, EOC, UASI NP, etc.)

- ◆ Emergency Management Performance Grants (EMPG) Application Process:
 - EMPG grant guidance released.
 - Print out hard copy of documents and create a file folder.
 - Read grant guidance and make note of changes from previous years and allowable activities.
 - Bureaus identify project priorities and submit them to grant manager.
 - Grant manager puts together the package—after identifying the priorities, goals and objectives that must be accomplished within the given performance period—and submits it to the IEMA Director or his designee for approval.
 - IEMA Director or his designee sets the agency's priorities for the grant, forming the substance of the grant application.
 - Once the project outlines, budgets, and other required documentation for the particular grant are completed, the application is ready for submission. The Program Manager for that grant logs on to grants.gov and FEMA's ND grants portal prior to the submission deadline and submits all required documentation. A print copy of the completed submission page should be kept on file.
- ◆ Citizen Corps Program (CCP) Grant Application Process:
 - Homeland Security Grant Program (HSGP) guidance released contains CCP grant guidance.
 - Print out hard copy of documents and create a file folder.
 - Read grant guidance and make note of changes from previous years and allowable activities.

- Identify grant priorities and goals and objectives that must be accomplished within the given performance period.
 - Once the Investment Justification, budgets, and other required documentation for the particular grant are completed, the application is ready for submission. The Program Manager for that grant logs on to grants.gov and FEMA's ND grants portal prior to the submission deadline, and submits all required documentation. A print copy of the completed submission page should be kept on file.
- ◆ Metropolitan Medical Response System (MMRS) Grant Program Application Process:
- HSGP grant guidance released contains MMRS grant guidance.
 - Print out hard copy of documents and create a file folder.
 - Read grant guidance and make note of changes from previous years, make note of allowable activities.
 - Identify grant priorities and goals and objectives that are required to be accomplished within the given performance period.
 - Notify the City of Chicago of the availability of the funding.
 - Work with the City to construct their Investment Justification template and project outlines.
 - The state will submit all documentation on behalf of the region.
 - All applications must be filed using the Administration's common electronic "storefront" -- *grants.gov* and FEMA's ND grants portal. Eligible SAAs must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>. To access application forms and instructions, select "Apply for Grants," and then select "Download Application Package." The on-line application must be completed and submitted using *grants.gov* after Central Contractor Registry (CCR) registration is confirmed.
 - Once the Investment Justification, budgets, and other required documentation for the particular grant is completed, the application is ready for submission. The Program Manager for that grant logs on to grants.gov and FEMA's ND grants portal prior to the submission deadline, and submits all required documentation. A print copy of the completed submission page should be kept on file.
- ◆ Urban Area Security Initiative (UASI) Grant Application Process:
- HSGP grant guidance released contains UASI grant guidance.
 - Print out hard copy of documents and create a file folder.
 - Read grant guidance and make note of changes from previous years, make note of allowable activities.
 - Identify grant priorities and goals and objectives that are required to be accomplished within the given performance period.
 - Notify the City of Chicago and Cook County UA of the availability of the funding.
 - Work with the City and the County to construct their Investment Justification template and project outlines.
 - The state will submit all documentation on behalf of the region.

- All applications must be filed using the Administration’s common electronic “storefront” -- *grants.gov* and FEMA’s ND grants portal. Eligible SAAs must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>. To access application forms and instructions, select “Apply for Grants,” and then select “Download Application Package.” The on-line application must be completed and submitted using *grants.gov* after Central Contractor Registry (CCR) registration is confirmed.
 - Once the Investment Justification, budgets, and other required documentation for the particular grant is completed, the application is ready for submission. The Program Manager for that grant logs on to *grants.gov* and FEMA’s ND grants portal prior to the submission deadline, and submits all required documentation. A print copy of the completed submission page should be kept on file.
- ◆ Regional Catastrophic Preparedness Grant Program (RCPGP) Application Process:
- RCPGP grant guidance released.
 - Print out hard copy of documents and create a file folder.
 - Read grant guidance and make note of changes from previous years, make note of allowable activities.
 - Identify grant priorities and goals and objectives that are required to be accomplished within the given performance period.
 - Notify the City of Chicago and Cook County UA of the availability of the funding.
 - Work with the City and the County to construct their Investment Justification template and project outlines.
 - The state will submit all documentation on behalf of the region.
 - All applications must be filed using the Administration’s common electronic “storefront” -- *grants.gov* and FEMA’s ND grants portal. Eligible SAAs must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>. To access application forms and instructions, select “Apply for Grants,” and then select “Download Application Package.” The on-line application must be completed and submitted using *grants.gov* after Central Contractor Registry (CCR) registration is confirmed.
 - The on-line application includes the following required forms and submissions:
 - Investment Justification (completed using provided template)
 - Detailed Project Plan (for each project submitted)
 - RCPT Charter
 - RCPT Membership List
 - Standard Form 424, Application for Federal Assistance
 - Standard Form 424A, Budget Information
 - Standard Form 424B Assurances
 - Standard Form LLL, Disclosure of Lobbying Activities
 - Once the Investment Justification, budgets, and other required documentation for the particular grant is completed, the application is

ready for submission. The Program Manager for that grant logs on to grants.gov and FEMA's ND grants portal prior to the submission deadline, and submits all required documentation. A print copy of the completed submission page should be kept on file.

- ◆ Buffer Zone Protection Program (BZPP) Application Process:
 - BZPP grant guidance released.
 - Print out hard copy of documents and create a file folder.
 - Read grant guidance and make note of changes from previous years, make note of allowable activities.
 - Identify grant priorities and goals and objectives that are required to be accomplished within the given performance period.
 - Once the Investment Justification, budgets, and other required documentation for the particular grant is completed, the application is ready for submission. The Program Manager for that grant logs on to grants.gov and FEMA's ND grants portal prior to the submission deadline, and submits all required documentation. A print copy of the completed submission page should be kept on file.

- ◆ Transit Security Grant Program (TSGP) Application Process:
 - TSGP grant guidance released.
 - Print out hard copy of documents and create a file folder.
 - Read grant guidance and make note of changes from previous years, make note of allowable activities.
 - Identify grant priorities and goals and objectives that are required to be accomplished within the given performance period.
 - Once the Investment Justification, budgets, and other required documentation for the particular grant is completed, the application is ready for submission. The Program Manager for that grant logs on to grants.gov and FEMA's ND grants portal prior to the submission deadline, and submits all required documentation. A print copy of the completed submission page should be kept on file.

- ◆ Interoperable Emergency Communications Grant Program (IECGP) Application Process:
 - IECGP grant guidance released.
 - Print out hard copy of documents and create a file folder.
 - Read grant guidance and make note of changes from previous years, make note of allowable activities.
 - Identify grant priorities and goals and objectives that are required to be accomplished within the given performance period.
 - Determine deadline for submission of application and develop an implementation schedule that coincides with Statewide Interoperable Executive Committee (SIEC) meetings.
 - Set-up a meeting with the Chairs of the Statewide Interoperable Executive Committee (SIEC), the ITTF Communications Committee (ITTFCC), and the Statewide Interoperable Coordinator (SWIC) to identify investment

justifications/projects that aligns with the Statewide Communications Interoperability Plan (SCIP).

- Ensure each investment justifications/projects are:
 - Allowable cost activities under the grant guidance.
 - Given a budget that is considerate of the 80/20 split between local and state shares.
 - Given performance measures and milestone dates.
 - Considerate of grant agreements with local entities (i.e. ILEAS, MABAS, IESMA, UASI)
 - Present proposed investment justifications/projects and budget to the SIEC.
 - Develop a proposed budget outline.
 - Present milestone dates and implementation schedule(s).
 - Ensure requirement to obligate 80% of the grant funds to local entities within 45 days is indentified and agreed upon.
 - Using the project outline template that is provided in the grant guidance write IECGP grant application ensuring all narratives, projects, and budgets are consistent with grant guidance and state strategies.
 - Once the Investment Justification, budgets, and other required documentation for the particular grant is completed, the application is ready for submission. The Program Manager for that grant logs on to grants.gov and FEMA's ND grants portal prior to the submission deadline, and submits all required documentation. A print copy of the completed submission page should be kept on file.
- ◆ Emergency Operations Center (EOC) Grant Application Process:
- Upon the release of the grant Guidance and Application Kit, the ITTF Program Manager for the EOC grant program prepares the Investment Justification template (if not included in the Guidance and Application Kit) and Attachment A and Attachment B forms.
 - Once the application documentation is ready for release, the ITTF will post all necessary materials on the IEMA and ITTF websites, so that eligible applicants can read the Guidance and Application Kit and download the application materials.
 - Eligible applicants work with the Program Manager to complete the application materials and submit them within the deadline.
 - Once all application materials are received by the ITTF, the Program Manager sets up a peer review, which has state and local representation on this peer review panel. All peer reviewers individually review the applications, and then the peer reviewers meet to collectively score and prioritize the applications.
 - The Program Manager then sends all applications along with the peer review scores and prioritization worksheets to DHS/FEMA within the SAA submission deadline via grants.gov and FEMA's ND grants portal.
- ◆ UASI Nonprofit Security Grant Program (NSGP) Application Process:
- Upon the release of the grant Guidance and Application Kit, the ITTF Program Manager for the UASI NSGP prepares the Investment

Justification template (if not included in the Guidance and Application Kit) and Attachment A and Attachment B forms.

- Once the application documentation is ready for release, the ITTF will post all necessary materials on the IEMA and ITTF websites, so that eligible applicants can read the Guidance and Application Kit and download the application materials.
- Eligible applicants work with the Program Manager to complete the application materials and submit them within the deadline. This includes providing documentation that the nonprofit is in fact a 501(c)3 organization.
- Once all application materials are received by the ITTF, the Program Manager sets up a peer review, which has state and local representation on this peer review panel. All peer reviewers individually review the applications, and then the peer reviewers meet to collectively score and prioritize the applications.
- The Program Manager then sends all applications along with the peer review scores and prioritization worksheets to DHS/FEMA within the SAA submission deadline via grants.gov and FEMA's ND grants portal.

Application Submission (ALL GRANTS)

Once the Investment Justification, budgets, and other required documentation for the particular grant is completed, the application is ready for submission. The Program Manager for that grant logs on to grants.gov and FEMA's ND grants portal prior to the submission deadline, and submits all required documentation under the secure portals. A print copy of the completed submission page should be kept on file.

Chapter 3

Federal Grant Award

◆ **Acceptance of Federal Grant Award**

◆ **ITTF Notification of Award to IEMA Finance and Program Manager**

- Access ND grants to accept award. Once DHS/FEMA has completed the national review process of all applications for federal homeland security dollars, each state will be notified via email that the award documents are available to accept in ND grants for download. The Authorizing Official will then access ND grants to accept the award, notify the Homeland Security Advisor (HSA), and begin the process of going through the Special Conditions of the Award.
- Provide copy of award documents to IEMA Bureau of Finance.
- ITTF grant technicians set up grant folder, which will house award letter, Grant Adjustment Notices (GAN), and any other pertinent documentation for the particular grant.
- If Special Conditions prohibit release of a grant agreement to subrecipient, the ITTF will obligate those funds to the subrecipient in the following manner:
 - A cover letter or email message will be sent that establishes a firm commitment of funds and communicates the terms for releasing those funds

◆ **Special Condition Clearance**

Once the ITTF has met the requirements under the Special Conditions, an email/letter is sent to DHS/FEMA for approval and official clearance of the Special Conditions. DHS/FEMA will then review and send a letter to the ITTF stating that all Special Conditions have been met and the ITTF, acting as the SAA is free to move forward with the grant process.

- ITTF issues the grant agreement upon clearance of all Special Conditions

Chapter 4

Obligation of Funds

- ◆ **ITTF Approval of Homeland Security Budget**
A vote of the full ITTF is needed for approval of the State Homeland Security Program, Citizen Corps Program, and Metropolitan Medical Response System budgets, and is taken during a designated ITTF meeting.
- ◆ **Review of Attachment A, B and C Forms**
The Program Manager reviews Attachment A (Budget Detail Worksheet), Attachment B (Discipline Allocation Worksheet), and Attachment C (Project Implementation Worksheet) for the particular grant they oversee and either approve the Attachments or send them back to the sub-grantee for revisions via email. The Attachment A and Attachment B forms are living documents and will be revised and updated throughout the course of the grant cycle if needed. The Attachment C form has to be updated each quarter for grants over \$25,000 (March 31, June 30, September 30, and December 31).
- ◆ **Development of Grant and Interagency Agreement**
Program Staff Reviews and Revises Agreements
- ◆ **Internal Processing of Grant and Interagency Agreement**
 - Development and Submission of Grant Cover Sheet
 - Internal ITTF Review and Approval of Agreement
 - Email PDF of Agreement to Sub-Recipient
 - Routing of Agreement for Final Execution
- ◆ **Filing of Fully Executed Grant and Interagency Agreement**
 - Grant Account Technician identifies and properly marks file cabinet space for each grant award
 - Establish Agreement File with sections for Application, Budget, Correspondence, Grant Agreement, Reports, and Invoices
 - Develop Internal ITTF Spreadsheet
 - ITTF Finance Officer enters obligation information into GMS and prints out GMS obligation form, enters obligation information into FMS and prints out FMS obligation form. Both forms, along with the obligation, are forwarded to Public Safety Shared Services Finance Bureau, where obligation information is entered into AIS and the obligation is forwarded to Office of the Comptroller to be filed.
- ◆ **Completion of Grant Adjustment Notice (GAN)**
 - Grant Extension
 - Increase/Decrease Award
 - Enter into Central Management Services' accounting system (AIS)
- ◆ **Redeposit of funds and Obligation**
 - If grant is still open, adjust obligation
 - Reference Policy Statement 2009 (12)
- ◆ **Redeposit of funds if grant has already been closed**

- Grantee returns check
 - Grant Account Technician records the following information regarding the returned funds on the memo portion of the check:
 - contract obligation number
 - invoice amount
 - warrant number
 - invoice number
 - date issued
 - Make copy for grant file
 - Send original check to IEMA Bureau of Finance
 - IEMA Bureau of Finance notifies ITTF when amount has been re-deposited
 - ITTF Finance Officer enters into AIS the payment information to reimburse the U.S. Treasury for the returned amount
- ◆ **Re-obligation of Federal Preparedness Funds**
- ITTF Authorizes Re-direction of Funds
 - Project Approved by ITTF is Outlined in Grant Application

Chapter 5
Management and Administration of
IEMA-Retained Funds

Procedures for Purchase Requisitions

All purchase requisitions (PRs) and attachments, including Procurement Business Cases (PBCs), will be sent to the Public Safety Shared Services Center (PSSSC) in PDF format.

- ◆ No PBC Required, No Illinois Governmental Purchasing System (IGPS) Required
 - Budget will enter into internal tracking spreadsheet
 - Obtain signatures for Budget Liaison, Budget Manager, Chief Financial Officer
 - Send copies to Bureau initiating PR, PSSSC and Bureau paying for PR if different from initiating Bureau
 - Bureau can place order.

- ◆ PBC Required:
 - Any equipment, contractual and commodity orders \$10,000 and above
 - IT and Telecommunications \$5,000 and above
 - Multi-year Contract covers more than one year
 - Renewal for changes in dollar amount or services (PBC was approved in current fiscal year; update and submit new PBC for Budget Year)
 - Continuous—no change in dollar amount or services (No PBC needed)
 - Budget will enter into REMEDY/Bureau of IT will enter IT (IT must submit PR and copy of PBC to budget. Budget will submit to PSSSC.)
NON-IT REMEDY
 - Enter information from REMEDY into internal tracking spreadsheet
 - Encumber on New Accounting System
 - Send copy of Encumbrance, PR and attachments to PSSSC Accounting.
 - Hold Copy in Budget until Approved
 - Once PBC approved, forward approved email and PR to PSSSC and to Bureau.

- ◆ Contractual Agreement
 - While waiting for PBC to be approved, Bureaus can work with Legal on establishing contracts.

- ◆ If IGPS required
 - ANYTHING on Master Contract no matter what the cost (No bid)
 - All purchases \$34,000 or greater (Must be bid)
 - Information will be sent directly to PSSSC Purchasing once approved by Budget.

- ◆ If PBC and IGPS required
 - All purchases \$34,000 or greater AND not on Master Contract (Must be bid)

- Budget will enter into REMEDY
 - Enter Information from REMEDY into internal tracking spreadsheet
 - Encumber on New Accounting System
 - Obtain signatures for Budget Liaison, Budget Manager, Chief Financial Officer
 - Copy of Encumbrance and Original PR will be sent to PSSSC Accounting
 - Copy of Encumbrance and PR sent to Bureau; Not necessary to hold (CMS will order)
 - PSSSC will enter information into IGPS
 - Once bids received PSSSC will send to Budget
 - Budget will send to Bureau
 - Bureau will select vendor
 - Bureau will Notify PSSSC and Budget by email of vendor selected
 - CMS will place order
 - If contract is necessary, CMS will establish
 - If purchase is urgent, once PR is approved, Budget will call or email initiating Bureau
- ◆ Budget will enter PR into internal spreadsheet for tracking
 - ◆ **There should be no confirming PRs**
 - If an emergency purchase must be made, call Budget Office for instructions.
 - ◆ IGPS is not used for purchasing office supplies or for purchases from Correctional Industries (commodity # still needed for ordering)

MANPOWER:

- ◆ Bureau completes Request for Placement form and sends to Budget along with PR for approvals.
 - Request for Replacement Form in located in the PC: Common/Commons
- ◆ Copy of Approved PR and form are faxed to Manpower
- ◆ Job is posted at Manpower; Bureau may request to interview
- ◆ If needed more than six months, copy must be resubmitted to Manpower
- ◆ PR should reflect six-month intervals
- ◆ Any extra hours beyond 7/5 days must be approved by Manpower.

Procurement Instructions

- ◆ **Purchases \$9,999 and under, NOT ON STATE CONTRACT (Excluding IT and Telecommunications):**
 - Ordered directly from the vendor by the requesting Bureau and DO NOT require a Procurement Business Case (PBC). WILL have to be bid via sell2.illinois.gov or have a small business waiver signed by the State Procurement Officer (SPO).

- ◆ **IT and Telecommunications Purchases \$4,999 and under, NOT ON STATE CONTRACT**
 - Ordered directly from the vendor by the requesting Bureau and DO NOT require a PBC. WILL have to be bid via sell2.illinois.gov or have a small business waiver signed by the SPO.

- ◆ **Purchases between \$10,000 and \$34,000:**
 - All orders \$10,000 and over (including Master Contract Purchases) must have a PBC.
 - Bureaus must attempt to secure bids via sell2illinois.gov
 - An order over \$10,000 CANNOT be placed until you receive notice from the SPO that the PBC has been approved by CMS.
 - A SIGNED CONTRACT is needed between IEMA and the Company; NO Procurement Services Division document (PSD) will be received because it is NOT entered into IGPS.
 - The requesting bureau is responsible for making sure the contract is complete and has been obligated by the comptroller.
 - If you cannot use a small business vendor, you will need to obtain a signed waiver from the SPO granting permission to make the purchase.

- ◆ **Purchases \$34,000 and Greater:**
 - CMS bids out all equipment and commodity orders \$34,000 and greater; they call the vendors and place all orders. Specifications must be provided to CMS via SPO; these specs are to be provided by the requesting bureau.
 - CMS establishes all contracts for orders over \$34,000. If any additional information is required after initial entry of the order, the SPO will contact you.
 - Sole Source or Brand Name justification must be submitted when necessary.
 - A PSD/PRT will be sent to the SPO once the order has been sent to the vendor.
 - Copy of the PSD/PRT will be forwarded to the requesting Bureau, and the Bureau is responsible for sending to Fiscal Management and Shared Services.

◆ **State Master Contract Purchases:**

- **All** orders on State Master Contract (**regardless of price**) MUST be ordered through the IGPS system by the SPO.
- **All** Master contract PRs must contain the contract number as well as the commodity code for **EVERY** item to be purchased from the contract. (**If this information is not provided, PR will be sent back to Fiscal Management to be corrected.**)
- A list of every master Contract in the state of Illinois can be found at www.purchase.state.il.us
- Master contract purchases that are NOT entered into IGPS and greater than \$10,000 or \$5,000 (IT/Telecom) require a contract and have to be obligated with the comptroller. This is the responsibility of the REQUESTING BUREAU.
- A copy of the approved PR and PBC should be sent to Shared Services-Obligations Contract section

◆ **IT/ Telecom Purchases \$5,000 and greater:**

- All Telecom or IT orders \$5,000 and greater require a PBC (including master Contract Purchases).
- Purchases of new Telephone equipment, bulk telecommunications supplies, and billable service changes require having a **Telecommunications Service Request (TSR)** sent to CMS to have them perform these functions.

◆ **Sole Source**

- SOLE SOURCE, DO NOT require multiple bids.
- SOLE SOURCE items are items that are carried by only ONE vendor. You will need to provide extensive justification (It has become EXTREMELY difficult to get CMS to approve SOLE SOURCE purchases, so please make sure to do extensive research and be prepared to tell how you researched (i.e. internet, phone quotes, etc), where you looked, and what companies you spoke with.
- BRAND NAME purchases require a specific brand but NOT a specific vendor. A letter stating why a specific brand is needed must be submitted.
- There is no need to submit SOLE SOURCE justification if the purchase is less than \$34,000 because it will be classified as a small purchase and will be bid via sell2.illinois.gov

◆ **Procurement Business Case (PBC)**

- Provide information in the following format:

Programmatic Objective

Describe what you intend to procure (software, hardware, services, maintenance, etc.) including quantity, if relevant. Describe business need for the

procurement, and how the procurement will meet objectives of your agency and the state. Please make sure to spell out acronyms. Explain the potential consequences if this procurement is not approved. If other than one-time purchase, explain. If solicitation, indicate intended pricing structure (hourly, per item, grand total, discount, against catalog, etc.)

Economic Justification

Describe the economic benefits for the procurement approach selected and anticipated return on investment. Describe consequences if different method is used to procure good or service. Indicate any additional procurements or expenditures that will be processed separately in support of or in conjunction with this procurement, including such items as implementation, installation, increased maintenance or support, etc. If method other than solicitation, indicate price breakout, including hourly rate, if applicable.

History/Background

State how business need is currently being met, if applicable. Indicate if this is a new initiative, replacement or expansion of existing system or contract, or a continued need which is procured yearly or quarterly, etc. If renewal or amendment, indicate PBC and Illinois Procurement Bulletin (IPB) number of previous procurement and contract term of existing contract. If replacing previous contract, explain if contract expired with no renewal options remaining or if you are choosing not to execute remaining renewals and why. If bid in previous years, indicate what procurement approach was used, what changes have been made to previous solicitation requirements, and what were results of previous bids (were there multiple bids?) Indicate if procurement is subject to Small Business Set-Aside or Business Enterprise Program participation potential, and, if yes, do you intend to seek waiver?

- **All PBCs MUST MEET AT LEAST ONE OF THE FOLLOWING REQUIREMENTS**
 - 1) The procurement is critical to the life, health and/or safety of the citizens of the State of Illinois, e.g. food for prisoners, maintaining tornado sirens.
 - 2) The procurement will cause the loss of federal funds if not completed
 - 3) The procurement fulfills a legal or contractual commitment of the State of Illinois to its unions or other third parties.
 - 4) The procurement is time-sensitive and critical to the mission of the agency, and special consideration is required due to the best interests of the State.

Any procurement effort that is not defined within these four criteria above shall be deemed to be non-critical and therefore be canceled for this fiscal year. It will not be sufficient to merely claim any one of the above criteria as supporting justification. When there is a claim that a loss of federal funds would occur, detail about the extent/amount of federal funds involved and the loss of such funds must be provided. Further, it may not

be obvious that a particular procurement is critical to the life, health and or safety of the citizens of Illinois. Therefore, any claim under the four criteria should be explained.

◆ **Timeframes:**

- **Procurement Business Cases-** There is no timeframe for PBCs to be approved; CMS will approve the PBC once all questions regarding the justification have been thoroughly answered.
- **RFP or IFB-** Any service that goes out for bid on the Illinois Procurement Bulletin has to do so for at least 2 weeks; after the bid period has expired and IEMA has awarded the bid, the award notice has to be posted for 7 days to allow for any protests before a contract can be initiated.
- **State Master Contract-** Please allow 3 weeks for any State Master Contract item to be completely approved by CMS.
- **IGPS \$34,000 and greater-** Please allow 30-60 days from the date the order is entered for any equipment to be bid out and completely approved by CMS.
- All contracts between \$25,000-\$34,000 have to be posted onto the procurement bulletin for 30 days (before the contract can begin), so please be aware of this when anticipating a specific start date for your contract.

◆ **Small Business Set Aside Program Requirements:**

- **ALL** purchases \$500-\$50,000 are required to be purchased from a registered Small Business Set Aside Program (SBSP) or Business Enterprise Program (BEP) vendor (if the item you are seeking is provided by a vendor on the SBSP or BEP list). This is a requirement of CMS, and ALL state agencies MUST comply. If you do not have a waiver (signed by the SPO) your purchase WILL NOT be approved unless you are purchasing from a small business vendor- NO EXCEPTIONS.
- If your purchase cannot be made using an SBSP or BEP vendor, you must obtain a waiver from the SPO and CMS Small Business specialist (when applicable), granting you permission to purchase from a vendor NOT on either list. You can access a list of SBSP and/or BEP vendors at www.sell2.illinois.gov .
- All bureaus are encouraged to contact vendors and encourage them to register as a Small Business or Business enterprise vendor if they want to continue to do business with the State of Illinois. Vendors can visit www.sell2.illinois.gov or call 1-866-455-2897 to find out how to become a SBSP vendor.
- Vendors who have submitted SBSP or BEP applications that are in the process of getting approved can be used by IEMA without obtaining a waiver.

- If two vendors offer the same product, and one vendor is a registered SBSP vendor and the other is not, IEMA is REQUIRED to use the registered vendor.
- PBCs requesting a non-SBSP vendor WILL NOT be approved unless a waiver has been approved; waivers require the approval of the Agency SPO as well as the Small Business Specialist when applicable (No Exceptions).

Chapter 6

Payment to Sub-Recipients

Process for all sub-grants

◆ Processing Requests for Payment

- Establish Sub-Recipient Agreement File
- W-9 Form—Each Sub-recipient agency must have on file a signed original copy of the most recent W-9 form.
- Receipt of first request for payment:
 - Set up Payment Record Form in grant file.
 - Reimbursable Grants
 - *Each subgrantee will submit claims for reimbursement every 30 days and to “sweep” all invoices paid by your Comptroller for each of the open grant years applicable*
 - If it is a continuation grant, then ensure prior year's grant has been finalized; deobligation approved by subgrantee.
 - Ensure all applicable special conditions have been cleared and that the Grant Award has been signed and returned.
 - Reference ITTF Policy 2009 (3).
 - If this agency is not on file with SLED Accounting, then send a copy of the Subgrantee's completed W-9 Form to set up the subgrantee's federal I.D. number.

◆ Review Request for Payment by Program Manager

- Ensure Eligibility of Item/Compliance with ITTF Policy 2011 (3) or Emergency Management Assistance (EMA) Grant Program handbook.
- Check to ensure all applicable special conditions are cleared.
- Check Period Ending Date to ensure accuracy and initial it if correct.
- Ensure proper documentation has been submitted with the request for payment and that it *is* within the grant period.
- Upon receipt of any invoice claim for reimbursement, the Grant Account Technician will check the budget detail (Attachment A) for the presence of the listed item(s) on the approved budget. All invoiced entries found on the approved budget are authorized payments for tracking on the Cumulative Grant Expenditure Spreadsheet. 3 business days from receipt of invoice.
 - The total expenditures on the grant cannot exceed the total grant budget.
 - For each budget category, the amount expended for the category can exceed the amount budgeted, but by no more than 10%.
 - For personnel, equipment, and other budget details, there is no limit on the amount that can be expended for any one budget detail so long as the total expended for the budget category does not exceed the total budgeted for the category by more than 10%.
- Any payment request will be entered by the Grant Account Technician as a reimbursement worksheet listed by payment date onto the Cumulative Grant Expenditure Spreadsheet kept for that particular grant. This spreadsheet combines all reimbursed equipment items, training costs, exercise costs, and management/administrative expenses from prior reimbursements, listed cumulatively. Each reimbursement worksheet is a subset of the larger, cumulative total of all expenditures. 1 business day.

- The Grant Account Technician will then process the payment for signature to the appropriate Grant Manager via GMS. Grant Manager signs the authorization for payment and returns to the Grant Account Technician. 3 business days.

◆ **Problems with Request for Payment**

- If a problem occurs with the request for payment and it needs to be returned to the subgrantee, and then notify the subgrantee of the discrepancy and the need for a change. If the document requires original signature, it should be corrected and mailed to the appropriate individual within the ITTF.
- Unallowable items are disallowed and the rest of the Request for Payment is processed. A copy of the RFP with the marked changes is sent to the subgrantee.

◆ **Prepare Payment for IEMA Finance**

- The Grant Account Technician then copies all documentation for grant file and submits the invoice to the ITTF Finance Officer for payment. 2 business days.
- The ITTF Finance Officer reviews the submitted invoice and proceeds to record an electronic voucher in FMS (IEMA's Accounting System) and AIS (CMS' Accounting Information System). 3 business days.
- The ITTF Finance Officer receives a computer print out of the recorded voucher and submits the print out with the invoices to the Public Safety Shared Services Finance Bureau for their review and approval. 1 business day.
- The invoices are recorded in the Grants Management System (GMS), organized by subgrantee, for tracking.
- The IEMA Bureau of Finance draws down the requested money from the Federal Government to deposit in the ITTF Homeland Security Appropriation based on vouchers inputted into the IEMA Accounting System. Occurs on a set schedule within the Bureau of Finance.
- The Public Safety Shared Services Finance Bureau reviews the voucher and the invoice documentation and approved by the Public Safety Shared Services Bureau Accounting Chief. It is then put on a voucher schedule to the Illinois Office of the Comptroller for review.
- The Office of the Comptroller receives and reviews the voucher documentation and schedule.
- The Office of the Comptroller approves the vouchers for payment, and proceeds to issue a payment warrant to the Grantee.
- The Grantee receives the payment warrant from the Office of the Comptroller.

◆ **Final Request for Payment**

- If equipment costing \$5,000 or more per unit has been purchased under the grant, then a property control form must be submitted prior to processing the final request for payment.

- The Final Request for Payment must be submitted 45 days after the end of the grant period.

Process for state-level Emergency Management Performance Grant purchases

- ◆ Any item initiated for purchase from the EMPG fund must have already been preapproved on the EMPG Project Outlines. If said item needs Procurement Business Cases (PBC), sole source, execution of vendor contracts, or any other associated requirement from IEMA Legal, Finance, or Central Management Services (CMS), this is the responsibility of the originating bureau during the purchase requisition (PR) stage. Anything that requires a contract does need to be submitted through the ITTF after it is executed so that we may provide information to Shared Services to set up the Contract Obligation Document (COD).
- ◆ The originating bureau must initiate the PR. In the program area of the PR, please note 2009 EMPG and then the project outline number (like 4.7a). If you don't know what that is, please refer to the project outline. Please obtain all signatures on the PR at the bureau level and forward a copy to ITTF Project Manager and Account Technician, who will enter the PR in the Grants Management System (GMS). If there is a problem with what is submitted, Project Manager will contact that bureau's fiscal coordinator with questions.
- ◆ When the invoice comes into the bureau for an item after it is received, the invoice needs the originating bureau to do the payment form. The invoice, packing slip to ensure receipt of item if it will be inventoried per IEMA rules, and payment form is then to be sent to ITTF Project Manager for processing and approval, and to ITTF Finance Officer for payment entry into GMS and AIS. If the PR does not have enough money in its allocation for the invoice, the originating bureau will be notified to amend their PR.
- ◆ The ITTF Finance Officer approves in GMS what the Account Technician has entered for payment, enters the pay form number and prints out the GMS approval sheet.
- ◆ ITTF Finance Officer then receives a computer print out of the recorded vouchers from FMS and AIS and submits the print outs with the invoices to the Public Safety Shared Services Finance Bureau for their review and approval. (Like other grants)
- ◆ The IEMA Bureau of Finance draws down the requested money from the Federal Government to deposit in the EMPG Appropriation based on vouchers inputted into the IEMA Accounting System. (Like other grants)
- ◆ The Public Safety Shared Services Finance Bureau reviews the voucher and the invoice documentation, and they are approved by the Public Safety Shared Services Bureau Accounting Chief. It is then put on a voucher schedule to the Illinois Office of the Comptroller for review. (Like other grants).

- ◆ The Office of the Comptroller receives and reviews the voucher documentation and schedule. They approve the vouchers for payment and issue a payment warrant to the vendor. (Like other grants)

Timelines for EMPG award (over 24 months, delineate by federal quarter)

- ◆ Bureaus within IEMA that are involved in the EMPG grant program meet to develop project outlines utilized in the grant application during the first quarter.
- ◆ IEMA Director or his designee decides the projects that make up the final budget, and the application is finalized during the first quarter.
- ◆ Apply for amount of funding previously decided by FEMA via grant guidance and the grants.gov and ND grants portal during the first and/or second quarter, dependent on FEMA's timeline.
- ◆ Clarify any application questions from the Federal Emergency Management Agency (FEMA) and submit final version of application documents during second quarter.
- ◆ FEMA releases grant award. Local EMA grants are filed with the Illinois Comptroller and any expenses incurred that were associated with program per administrative rule are expended during the second and/or third quarter. Quarterly reporting to FEMA also begins and is ongoing through the end of the performance period.
- ◆ Expenses as prescribed in the EMPG application are incurred by the local EMAs through the fourth quarter and state-level expenses are incurred through the eighth quarter.
- ◆ During the fifth quarter, bureaus within IEMA that are involved in the EMPG grant program are directed to determine if any of their projects need amended through the Change of Scope process paperwork set forth by FEMA. Any changes will be submitted to FEMA as part of the fifth quarter reporting.
- ◆ FEMA will act on any Change of Scope requests during the sixth quarter.
- ◆ IEMA will request any needed time extensions to the performance period during the seventh quarter of the grant, no later than June 30.
- ◆ If the maximum of two six-month extensions are requested by IEMA and approved by FEMA, work as amended in the approved Change in Scope will be ongoing to a maximum of 12 quarters.
- ◆ Within 90 days of the end of the performance period, all final programmatic and financial paperwork will be submitted to FEMA and the grant officially closed.

Chapter 7

Training Reimbursements/Stipends

Claims Process for Reimbursements and Stipends

All Reimbursement and Stipend requests must be received by the ITTF office, located at 2200 South Dirksen Parkway, Springfield, Illinois, within 60 days of the completion of the course.

Reimbursement or Volunteer Stipend requests for career, on-call, and volunteer personnel must be submitted on the “Training Reimbursement Request Form” or the “Stipend Request Form” to the ITTF or other designated organization. Only an original version of the form with signature from the department head or certifying official will be accepted. Requests for Reimbursement or Volunteer Stipend must be accompanied by a letter on department letterhead signed by the department head or certifying officer verifying the actual wages that were paid to each of the individuals for whom the department is requesting Reimbursement or Volunteer Stipend. Reimbursement or Stipend requests for law enforcement shall be submitted through ILEAS using the established ILEAS on-line system. (ITTF Policy Statement 2007 (5))

Review of Training Reimbursement/Stipend Form

- ◆ Training Reimbursements
 - Date Stamp when received
 - Make certain they are received within 60 days of the completion of the course
 - Pull class roster to verify that the individual attended the class and that they have team status (mark by individual’s name if you have processed them for payment). If don’t have class roster, contact Illinois Fire Service Institute (IFSI) to obtain one.
 - Recheck math and hour calculations; check for motel receipts
 - Make certain there is a signed document verifying individual’s attendance and salary (on Department letterhead).
 - Communicate with agencies if there are any discrepancies with their training reimbursement request.
 - Prepare letter to MABAS signature requesting them to pay the agencies. Scan documents for processing to MABAS. Then process original request to MABAS for payment.
 - Make copy of the reimbursement request and file in appropriate agency file.
 - When receive PO from MABAS for training reimbursement, log in appropriate grant database.
 - Enter into Database the date, course name, agency, county, and amount of reimbursement so that expenditures can be tracked.

Chapter 8

Draw Down of Federal Funds

◆ **Procedures for weekly draws for federal preparedness funds using IEMA Accounting System:**

- Click on “Cost Accounting” and then “Project/Cost Summary.” Enter FFY and project code for every open grant and screen print each.
- Click on “Cost Acct” and then “Federal Fund Draw.” Select fund number and “current” for the list of vouchers. Select “Excel” and sort vouchers by FFY and Project Code.
- Effective July 1, 2009, Accounts Payable are entered into Central Management Services (CMS) Accounting Information System (AIS). CMS transmits voucher data nightly to IEMA’s IT Bureau. This information is then downloaded into IEMA’s Financial Management System (FMS) and retrieved only through “Federal Fund Draw” option. Payment Requests (PR) are assigned a Control Number when entered in AIS but do not have a Voucher Number until submitted to Comptroller for payment. As a result, the amounts/vendor information are not included in any Cost Accounting report until the voucher is sent to Comptroller. This delay makes reconciling prior to draws more challenging.
- Each FFY/Project Code screen print should have a balance of zero (0) **if** all prior draws have been posted and all vouchers for prior draws have been sent to Comptroller. If there is a balance, it should be reconciled to zero. Draws for future payrolls and vouchers for prior draws not sent to Comptroller are two of the reasons there may be a balance.
- Pull grant folders and blank draw worksheet.
- Prepare worksheet (Exhibit D) writing the Grant Number, Amount Requested, Dates “From” and “To” and then all project codes and amounts that need to be drawn. (The “From” date should be the day after the “To” date on previous draw. The “To” date should be yesterday’s date. Date ranges cannot cross over one another, i.e. current draw cannot include dates from prior draw.)
- Clip together worksheet and screen prints for each grant and give to Manager for review and approval.

◆ **Procedures for weekly draws for federal preparedness funds using FEMA’s Payment and Reporting System (PARS):**

- Once Manager approves all draws, log into FEMA’s Payment and Reporting System (PARS). A “User Name” and “Password” are required.
 - a.) Click on “Payment Requests” under Main Menu.
 - b.) Step 1: Type “Grant Number” and click on “Find Grant.”
 - c.) Step 2: Type “Payment Request Amount,” “Period Covered From” and “Period Covered To.” Screen print BEFORE clicking on “Submit Payment Request”.
 - d.) Click on “Submit Payment Request” and screen print “Step 3: Finished!” page.
 - e.) Click “back” arrow and then “Refresh.”
 - f.) Click on “View Payment History” and screen print.
 - g.) Print confirmation email from ask-GMD@dhs.gov.

- Prepare Receipts Deposit Transmittal (RDT) (Exhibit I) for the Treasurer's Office and update Letter of Credit (LOC) (Exhibit J). (These documents may be found in the Finance directory/FISCAL5 IEMA/DOJ.)
- RDTs are kept in binders by fund and are numbered sequentially. The unique numbers are entered in the "Transmittal Number" field and also the "Order No." The last three digits of the "Order No." should be the same as the "Transmittal Number". When RDT is printed, all six copies will print. Print "Page 6" again. Staple pages 1 – 5 together with signatures required on Pages 1 and 4. This set will be sent to the Treasurer's office. One of the copies of Page 6 is kept in the RDT binder and the other in the appropriate white grant binder.
- Update the following spreadsheets after each draw:
 - 1) Summary of Open Grants (Exhibit K)
 - 2) Reconciliation of Draws (Exhibit L)
- File Letter of Credit, Worksheet, Project Code screen prints, Payment Request Submission and Payment History Report from PARS and email confirmation in official grant folder. File copy of RDT, Cost Accounting report, and other support documents in the fiscal grant binders.
- The normal receipt date of funds is the 2nd day after the draw date. Funds are received and posted at both the Treasurer and Comptroller's and then RDTs are returned to IEMA.
- Receipts are posted from the RDTs to the Revenues in the Accounting system. RDT is stamped "POSTED" and dated. A copy of the RDT is made. The original replaces the unofficial copy in the RDT binder. The Xeroxed copy replaces the unofficial copy in the white grant binder.
- An email is then sent to Shared Services authorizing Accounts Payable to schedule vouchers that were included in the weekly draw amount. The "497,526 vouchers to be scheduled" file is attached to the email.
- Shared Services schedules those vouchers on tapes and electronically sends the tape to Comptroller's for payment of invoices/vouchers.
- Comptroller's issues the warrants and mails (or electronically deposits) them to the vendors.

Chapter 9

Sub-recipient Financial Monitoring

◆ **Review of A-133 Single Audits**

- Reference ITTF Policy 2009 (8).
- Program Managers give Grant Compliance Office the list of sub-grantees and awards. Single Audit procedures apply to all agency federal funds, not just SHSGP.
- Grant Compliance Officer reports on any sub-grantees with findings or delinquent audits to Program Manager and ITTF Chair. If audits are delinquent more than 90 days without justification, SHSGP funds may be withheld with the concurrence of ITTF Chair.
- Creates entry in audit database for any new sub-grantee
- When audit received, the front is date stamped and added to the Audit Suspense Spreadsheet (if there is a backlog projected to exceed 60 days). Electronic submissions are scheduled in sequence as if a hard copy was submitted.
- If a new audit, Support Staff creates a new folder
 - Blue for counties
 - Red for municipalities
 - Orange for other type
 - Green for state entity
 - Yellow for school district
- Using Audit Checklist, review the CAFR and Single Audit for Findings and Questioned costs, and IEMA granted funds on SEFA.
- Compare SEFA with IEMA records using Comptroller's Website and ITTF and/or other program manager's records.
- Send to CEO either:
 - Acceptance Letter
 - Deficiency letter (outlining deficiency and how to correct)
- Log results of review into Single Audit Data base
- Remove SEFA from Single Audit (or copy) and place it in the Audit review file behind the appropriate Audit Checklist subfile. Findings that apply to IEMA funds will also be retained.
- Return File to inactive file storage (if acceptable) File in Deficiency file space if not.
- Follow up in 30 days by phone or letter. Document phone conversations. When deficiency is corrected, send acceptance letter and file as above.
- CAFRs and Single Audits are maintained for at least two years after their review.
- Every Grant Agreement document has language in it notifying the sub-grantee that these are federal funds and that the requirements of A-133 apply. As of SFY07, each grant also contains the appropriate CFDA.
- Letters/electronic communications are sent to subgrantees requesting their audits or audit status when the deadline for submission is approaching. For example 32 certified letters were sent in March; all but 2 have replied. Those have no Homeland Security funds forthcoming. Regular direct contact is made with three major subgrantees on a monthly basis when audits have not been submitted. Usually this occurs in conjunction with the ITTF meetings. If this contact is not made, then the GCO makes a follow-up phone call and/or sends e-mail.

◆ **Periodic On-Site Monitoring of Sub-Recipients**

- Sub-recipient monitoring should follow the ITTF Policy 2010 (2). Each ITTF Program Manager is responsible for sub-recipient monitoring of the grant(s) that they administer.
- The sub-recipient shall be notified 30 days in advance of the Financial Monitoring visit. This can be done via email/letter. The notification will contain information on what grant program and grant years the Financial Monitoring Visit will cover.
- The sub-recipient is required to gather the necessary grant files that correspond to the specific grant program and grant year that will be reviewed.
- The ITTF Program Manager conducting the monitoring visit shall meet on-site with the grant personnel from the sub-recipient agency. A sample of files will be reviewed, and the Program Manager will complete the Sub-recipient Monitoring Form.
- At the end of the monitoring visit, the ITTF Program Manager will go over the findings with the sub-recipient.
- A follow up email/letter will contain the findings from the meeting, and any other outstanding issues.

◆ **Oversight of Property Control/Inventory**

- ITTF Property Officer will create an inventory control entry by uploading the budget detail to the Master ITTF Inventory Control Log spreadsheet. Each sub-recipient will have a separate line accounting for all their equipment, regardless of funding source. A copy of each inventory sheet shall be presented to the sub-recipient for signature to confirm item(s) have been reviewed. Identical items are not merged to allow for funding stream identification. See the attached shell for data item collection.
- In conjunction with IEMA Operations Division, and taking into account the operational demands of sub-recipients, a schedule for site inspections will be developed. Scheduling will also take into account economy of time of IEMA Field Monitors. The ITTF Property Officer will identify the sub-recipients to inspect (new sub-recipients or those not inventoried in previous year). A sample of durable line items will be chosen for record review/visual inspection (not less than 25% of all items valued over \$5,000.00). The sub-recipient will be given no less than 30 days notice to prepare for the site visit unless waived by sub-recipient.
- The ITTF Property Officer will provide the On-Site Inspector and IEMA Regional Staff with the list of locations and items to locate. The inspector is responsible for coordinating specific dates and times for the review.
- If the item is held by the sub-recipient, the inspector shall insure that the item is physically present and visually inspect the item. If the item has been assigned or otherwise transferred to another jurisdiction, then the documentation for the transfer will be reviewed. At a minimum, the sub-recipient will provide a property control sheet similar to the ITTF document and obtain signature from a responsible official of the holding

jurisdiction. If the sub-recipient's organization has more stringent rules for transferring or loaning equipment those procedures may be used.

- The sub-recipient shall also inspect any loaned or transferred equipment on an annual basis and report the results of their inspection to the ITTF.
- If equipment is destroyed, the sub-recipient must notify ITTF Property Office within 30 days of loss to include an explanation of the circumstances causing the loss. If damaged, a similar report will be submitted to include the sub-recipient's plan for repair or replacement. Funds for such repair or replacement are at the discretion of the ITTF and are not guaranteed. Similar procedures must be followed on any transferred or loan equipment unless the sub-recipient's policies are more stringent. Sub-recipient is not responsible for repair or replacement of lost or damaged transferred property.
- When items reach their authorized shelf life or are determined to be non-serviceable, the ITTF shall be notified by the sub-recipient. The sub-recipient is responsible for collecting this information on loaned or transferred equipment and reporting the same to the ITTF.

◆ **Procedure for Management of Property Not Identified During On-site Inventory Monitoring**

- The IEMA Field Monitor will be provided a list of equipment purchased by the sub-grantee with federal preparedness funds received through IEMA. The list will be extracted from a database of equipment inventory maintained by the IEMA Grant Compliance Officer. This database is populated with equipment meeting the ITTF's inventory requirement as determined following a review of IEMA payment detail worksheets, individual vouchers, or other reports.
- If the IEMA Field Monitor determines that equipment cannot be located, they will immediately discuss the finding with the property holder or other responsible designee of the sub-grantee. The sub-grantee will be instructed to provide in writing the circumstance of loss to the IEMA Grant Compliance Officer in accordance with ITTF Policy 2009 (11) on Equipment Purchased with Federal Funds.
- If the sub-grantee cannot provide such information, or the IEMA Field Monitor has cause to believe that theft or fraud has occurred, they will contact the ITTF Grant Compliance Officer as soon as practicable and provide a description of the circumstances as they understand them.
- The IEMA Grant Compliance Officer will review the IEMA Field Monitor's statement and any materials provided by the sub-grantee and then discuss the loss with the ITTF Program Manager. The ITTF Program Manager will notify the ITTF Chair.
- Based upon an internal discussion between the ITTF Chair, ITTF Program Manager, and IEMA Compliance Officer, a determination will be made as to the need for, or extent of a follow up evaluation. If warranted by the

scope of the alleged loss, the IEMA Compliance Officer or designee will conduct an on-site review of all applicable sub-grantee financial and inventory records to quantify the amount of potential misused funds.

- The IEMA Compliance Officer will then develop a report of their findings for the ITTF Chair. After the review, the ITTF Chair will contact the Chief Legal Counsel to determine if the Agency should request action by the Attorney General's Office. The ITTF Program Manager will forward the report to the federal awarding agency to make them aware of the situation.
- In accordance with 44 CFR 13.51, sub-grantees will be required to return to DHS any misallocated federal funds. Interest will be incurred for the period the funds were misused until the date of return, not date of discovery of the misuse.

Chapter 10

Federal Financial and Program Reports

- ◆ **Quarterly Fiscal Reports: FEMA 269, now called 425 or 285**
 - DHS/FEMA quarterly reports -- Federal Financial Reports (FFR) -- are due within 30 days of the end of each calendar quarter. These reports are submitted electronically on DHS/FEMA's Payment and Reporting System (PARS).
 - Reporting periods and due dates:
 - October 1—December 31; due January 30
 - January 1—March 31; due April 30
 - April 1—June 30; due July 30
 - July 1—September 30; due October 30
 - During the first week following the end of the quarter, reports are printed from IEMA's Financial Management System (FMS). Expenditures and receipts are captured for each open grant from the award date through the last day of the quarter being reported. These numbers are entered into a spreadsheet that summarizes expenditures by State Fiscal Year (SFY), Project Code and Cost Code.
 - Totals for each SFY are transferred to a reconciliation sheet. Also entered are the total reimbursement requests for each grant. The difference between expenditures and draws should be "zero." If there is a variation, an explanation will have to be entered on the FFR. The variation may be due to a voucher entered near the end of the quarter but not drawn for until the next quarter. Another reason may be a draw for a payroll scheduled for the next quarter. In this case the funds would have been requested but the expenditure not posted until the actual expense had been incurred.
 - Once all reconciliations are completed and actual expenditures calculated for the quarter, all spreadsheets and backup are given to Chief Finance Officer for review and FFR submission. CFO submits FFRs for all open grants even if there were no expenditures for the quarter.
 - Copies of FFRs, FMS reports and worksheets are filed in grant folder maintained in the Bureau of Fiscal Management.

- ◆ **Quarterly EMPG Programmatic Reports**

EMPG Programmatic reports include progress on each project contained within an EMPG application until the grant is completed. The format is prescribed by FEMA and is contained within the project outlines. These reports are required for each EMPG year that is open and are due 30 days after the end of each federal fiscal year quarter.

- ◆ **Semi-Annual Progress Report (SAPR)**

Following a grant award, the ITTF is responsible for providing updated obligation and expenditure information on a semiannual basis. The applicant is responsible for completing and submitting the SAPR online within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). A statement should be included in the narrative field of the SAPR that reads: See BSIR. Future awards and fund draw downs may be withheld if these reports are

delinquent. [Note: this report was formerly known as the Categorical Assistance Progress Report (CAPR).]

◆ **Initial Strategy Implementation Plan (ISIP)**

Following a grant award, the ITTF is responsible for providing updated obligation and expenditure information to meet the pass-through requirement. The ISIP must be completed and submitted online within 45 days of the award date.

◆ **Biannual Strategy Implementation Reports (BSIR)**

Following a grant award, the ITTF is responsible for providing updated obligation and expenditure information on a semi-annual basis through completion and submission of the BSIR, which is a component of the Semi-Annual Progress Report (SAPR). The BSIR submission satisfies the narrative requirement of the SAPR. The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided with the BSIR to show progress made toward meeting strategic goals and objectives. Future awards and fund draw downs may be withheld if these reports are delinquent.

◆ **Exercise Evaluation and Improvement**

Exercises implemented with grant funds should be capabilities and performance-based and should evaluate performance of the targeted capabilities required to respond to the exercise scenario. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation program (HSEEP). Grant recipients must report on scheduled exercise and ensure that an After Action Report (AAR) and Improvement Plan (IP) are prepared for each exercise conducted with FEMA support (grant funds or direct support) and submitted to the FEMA Grants and Preparedness Community of Interest (COI) on the Homeland Security Information Network (HSIN) within 90 days following completion of the exercise.

The AAR documents the demonstrated performance of targeted capabilities and identifies recommendations for improvements. The IP outlines an exercising jurisdiction(s) plan to address the recommendations contained in the AAR. At a minimum, the IP must identify initial action times and be included in the final AAR. Guidance for the development of AARs and IPs is provided in the HSEEP manual.

Chapter 11

Equipment Disposal

Procedure to Dispose of Equipment Purchased with Federal Preparedness Funds

- ◆ Reference ITTF Policy 2009 (11)
- ◆ The ITTF has established the following disposition plan for equipment purchased with federal preparedness funds:
 - Equipment purchased with federal preparedness funds received through the ITTF will be considered to have a usable life of seven years, with the exception of powered vehicles, which must reach 120,000 miles before they will be considered for disposal.
 - Sub-recipients in possession of equipment purchased with federal preparedness funds may determine when the equipment is no longer usable for the intended purpose.
 - Sub-recipients shall report to the ITTF when a powered vehicle reaches 60,000 and 90,000 miles. Mileage also will be reported on the biannual inventory form.
 - Straight-line method of depreciation shall be used to determine the residual value of any equipment purchased with federal preparedness funds.

For the purpose of this policy, the term “transfer” is defined as the documented movement of equipment that has residual usable life between jurisdictions or organizations. The term “disposal” is defined as the surrendering of unusable equipment.

OMB Circular A-87 Attachment B, Section 11d establishes that the period of useful service (useful life) for capital assets must take into consideration such factors as type of construction, nature of the equipment used, historical usage patterns, technological developments, and the renewal and replacement policies of the governmental unit for the individual items or classes of assets involved. Sub-recipients are required to maintain proper records of the acquisition and management of equipment according to the standards set forth above.

- ◆ Disposition of the equipment will be made as follows:
 - Sub-recipients may relinquish the equipment when original or replacement equipment acquired through federal preparedness funds is no longer needed.
 - Sub-recipients must notify the ITTF when any item with a value of \$500 or more is to be discarded. If the sub-recipient has no need for the property and the property has further useful value, the sub-recipient shall request disposition instructions from the ITTF.
 - Although federal rules allow items with a current per unit fair market value in excess of \$5,000 to be sold, the ITTF will not approve the sale of any items purchased with federal preparedness funds except in very limited circumstances.

- The ITTF must be contacted to approve the disposition or transfer of the following equipment types regardless of price:
- Cameras
- Computers
- Interoperable Communications Equipment
- Night Vision Equipment
- Any equipment that stores sensitive data, has high theft potential or would be of potential use in a criminal or terrorist activity.

Chapter 12

Grant Closeout and Reconciliation

- ◆ Ensure all invoices are submitted within the performance period.
- ◆ If an extension of the performance period is needed, submit a request to DHS within 90 days of the end of the federal performance period.
- ◆ Remind all sub-recipients to submit a final Attachment A within 60 days of the end of the performance period. Review final Attachment A--it must mirror all submitted invoices and draw downs.
- ◆ Unspent Funds
Every effort is made to minimize the amount of money that is returned to DHS. Following are ways to minimize the amount of reverted funds:
 - Encourage subgrantees to submit budget revision requests as soon as the need becomes apparent. This allows them more time to plan for the expenditure of any remaining funds.
 - A very effective preventative measure to minimize reverted funds is for Homeland Security staff to actively recommend appropriate ways to expend remaining funds before the end of the grant period. Staff should check to see which subgrants have excessive amounts unspent several months prior to the end of the grant period and contact the Project Directors to discuss the likelihood of this money being spent. It may be that some or all of the funds have been spent but reimbursement has not yet been requested. If the funds haven't been spent and there are no concrete plans to do so, staff should work with the Project Director to develop ideas for appropriate expenditure. Other ideas for expenditure of remaining project grant funds may be gleaned from other subgrants that are similar in nature and program area.
 - If funds still remain unspent near the end of the grant period, the subgrantee may request an extension of the grant period. Grant period extensions are only approved under extenuating circumstances. This request is made using the same form as for budget revision requests. Any unspent Homeland Security funds are returned to be awarded as reverted funds. However, any subgrant(s) funded using this money must be given a grant number by Homeland Security Grants Administration that reflects the federal fiscal year from which the funds originated.
 - Some of the grants funded with reverted funds are selected from Homeland Security applications that would have been funded under the normal grant cycle, had funds been available at that time. These projects were determined to be worthy of funding by Homeland Security staff, but may have been seen as a lesser priority at the time of original review. Consideration is also given to subgrantees who notify the Homeland Security Program Coordinator of a project they deem to be worthy of consideration for funding that was not submitted during the normal grant cycle.
 - The grant period of these projects depend on the length of time left in the federal grant period.

Chapter 13

Records Retention

- ◆ U.S. Department of Homeland Security preparedness fund grant program files, which include the agency record copies of the initial grant applications, grant agreements, invoice vouchers and all related correspondence, are retained in the office until the date the grant is closed.
- ◆ Files are then transferred to the Illinois State Record Center for 10 years, after which time they are destroyed, provided that all state and federal audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.
- ◆ The Illinois Emergency Management Agency Records Manager should be consulted in this process to set up a records retention schedule with the Illinois State Record Center.
- ◆ In preparing records for transfer, the following are needed: standard records storage boxes, *Records Transfer Sheets*, and *Records Center Box Labels*. The standard records storage boxes can be obtained from the Department of Corrections at (217) 522-2666, extension 7001. The *Records Transfer Sheets* and *Box Labels* can be obtained from the State Records Center by calling (217) 782-6809.

Appendix

Policy Statements

This section contains the Illinois Terrorism Task Force Policy Statements that are referenced in this manual. A complete list of all ITTF policies is available on the ITTF website: <http://www.ready.illinois.gov/itf/grants/FinancialReference.asp>

Pat Quinn
Governor



Andrew Velasquez III
Homeland Security Advisor

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Mike Chamness – Chair
Illinois Terrorism Task Force

ITTF POLICY STATEMENT 2007 (1)

Members

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American Red Cross
Archer -Daniels-Midland
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Central Management Services
Cities of Bloomington-Normal
Cities of Champaign-Urbana
City of Aurora
City of Chicago
City of Joliet
City of Naperville
City of Peoria
City of Rockford
City of Springfield
Cook County ESDA
Dept. of Homeland Security/FEMA-Region V
DuPage County OEM
Federal Bureau of Investigation
Governor's Office
IL Assoc. of Chiefs of Police
IL Assoc. of Public Health Administrators
IL Assoc. of School Boards
IL Attorney General's Office
IL Board of Higher Education
IL Campus Law Enforcement Administrators
IL College of Emergency Physicians
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IL State Police
IL States Attorneys Association
Kane County ESDA
Lake County ESDA
Metro East (St. Clair-Madison)
Mutual Aid Box Alarm System
Quad Cities (Moline-E. Moline-Rock Island)
Regional Superintendents of Schools
School Crisis Assistance Team
Secretary of State Police
U.S. Attorney's Office
U.S. Postal Inspectors
Will County EMA

Committees

Bioterrorism
Chicago/Cook County UASI
Communications
Crisis Response & Prevention
Elected Officials
Emergency Management
Fire Mutual Aid
Information Technology
Law Enforcement Mutual Aid
Private Sector
Public Information
Science & Technology
Training
Transportation
Volunteers and Donations

TO: U.S. Department of Homeland Security, Federal Preparedness Fund Sub-recipients

FROM: Mike Chamness, Chair
Illinois Terrorism Task Force 

DATE: July 25, 2007

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Submission of Reimbursement Requests

INTRODUCTION

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of federal preparedness grants. The task force continues to build upon a strong foundation of established working partnerships among its over 60 members, which represent all public safety agencies and associations and every community in Illinois.

GENERAL POLICY STATEMENT

It is the policy of the ITTF to expeditiously process reimbursement requests from sub-recipients for expenses incurred as a result of homeland security preparedness activities they conduct in accordance with the terms and conditions of their Grant Agreement or Interagency Agreement with the ITTF.

DEADLINE TO SUBMIT REQUESTS FOR REIMBURSEMENT OF EXPENSES

All requests for reimbursement of federal preparedness funds administered by the ITTF must be received by the ITTF office, located at 2200 South Dirksen Parkway, Springfield, Illinois, no later than 60 days after the expense was incurred or date on the invoice. For training reimbursement requests, documentation must be received by the ITTF within 60 days of the completion of the course.

EXCEPTION TO THE POLICY

If there is an extenuating circumstance that would prevent an entity from submitting their reimbursement request according to this policy, the entity must request in writing to the ITTF Chair an exception to this policy no later than 60 days after the expense was incurred, regardless of the date listed on the invoice/reimbursement documentation.

EFFECTIVE DATE OF POLICY

This policy is effective as of July 25, 2007.



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Mike Chamness – Chair
Illinois Terrorism Task Force

ITTF POLICY STATEMENT 2007 (5)

TO: U.S. Department of Homeland Security, Federal Preparedness Fund Sub-recipients

FROM: Mike Chamness, Chair
Illinois Terrorism Task Force 

DATE: November 1, 2007

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Overtime /Backfill Reimbursement and Volunteer Stipend (to supersede ITTF Policy Statement 2007 (4))

INTRODUCTION

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of federal preparedness grants. The task force continues to build upon a strong foundation of established working partnerships among its more than 60 members, which represent all public safety agencies and associations and every community in Illinois.

GENERAL POLICY STATEMENT

This policy statement supersedes ITTF Policy Statement 2007 (4) and applies to the following three documents:

- "Illinois Terrorism Task Force (ITTF) Training Overtime/Backfill Reimbursement Policy for Illinois Statewide Deployable Teams (TRT, HAZMAT, and SRT)"
- "Illinois Terrorism Task Force (ITTF) Training Volunteer Stipend Policy for Illinois Statewide Deployable Teams (TRT, HAZMAT, and SRT)"

Members

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Cities of Champaign-Urbana
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Cook County ESDA
Dept. of Homeland Security/FEMA-Region V
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IL Campus Law Enforcement Administrators
IL College of Emergency Physicians
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IL Department of Corrections
IL Department of Human Services
IL Department of Military Affairs
IL Department of Natural Resources
IL Department of Public Health
IL Department of Transportation
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IL Environmental Protection Agency
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IL Public Health Mutual Aid System
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IL Sheriffs Association
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Kane County ESDA
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Public Information
Science & Technology
Training
Transportation
Volunteers and Donations

- *“Illinois Terrorism Task Force (ITTF) Training Overtime/Backfill Reimbursement and Volunteer Stipend Claims Process for Illinois Statewide Deployable Teams (TRT, HAZMAT and SRT)”*

It is the policy of the ITTF to reimburse career, on-call and volunteer personnel and/or to pay a stipend for volunteers who are listed on the Illinois Statewide Deployable Team roster and who satisfactorily complete a course of study through an approved institution or provider that meets the course curriculum requirements of the ITTF Training Committee. Eligibility for reimbursements or stipends must be in accordance with the documents titled *“Illinois Terrorism Task Force (ITTF) Training Overtime/Backfill Reimbursement Policy For Illinois Statewide Deployable Teams (TRT, HAZMAT, and SRT)”* and *“Illinois Terrorism Task Force (ITTF) Training Volunteer Stipend Policy For Illinois Statewide Deployable Teams (TRT, HAZMAT, and SRT).”*

ELIGIBILITY

Reimbursement and Volunteer Stipend may only be requested by and paid to the individual's employing or sponsoring department. Submission of a Reimbursement or Volunteer Stipend claim on an individual by a sponsoring department confirms that an employment relationship exists between the individual and the department and places the burden for employment-related tax, benefit and recordkeeping with that department, not with the ITTF.

Only those career, on-call, and volunteer personnel listed on the Illinois Statewide Deployable Team roster on file with the Illinois Fire Service Institute (IFSI) and/or Illinois Law Enforcement Alarm System (ILEAS) at least 6 weeks prior to the start of the course are eligible to receive Reimbursement or Volunteer Stipend.

To be eligible for any form of personnel time Reimbursements, the individual's employing department must have experienced an actual cost beyond normal operations personnel expenses. Qualified expenses may include overtime, backfill or loss of salary/compensation by the individual attending the training.

Reimbursement or Volunteer Stipend consideration to attend a training or certification class will only be approved for ITTF-recognized requirements associated with Illinois Statewide Deployable Teams (Objective #4 of the ITTF Training Committee Strategic Plan) and/or ITTF-mandated training. Reimbursement for other training courses to attain or maintain certification or skills may be authorized based upon the pre-approval of the ITTF Training Committee.

All coursework must be through an approved institution or provider who meets the course curriculum requirements of the ITTF Training Committee and consistent with the mission statement of the DHS, Office of Grants and Training.

CLAIMS PROCESS FOR REIMBURSEMENTS AND STIPENDS

Claims shall be submitted in accordance with the document titled "*Illinois Terrorism Task Force (ITTF) Training Overtime/Backfill Reimbursement and Volunteer Stipend Claims Process for Illinois Statewide Deployable Teams (TRT, HAZMAT and SRT).*"

All Reimbursement and Stipend requests must be received by the ITTF office, located at 2200 South Dirksen Parkway, Springfield, Illinois, within 60 days of the completion of the course.

Reimbursement or Volunteer Stipend requests for career, on-call, and volunteer personnel must be submitted on the "Training Reimbursement Request Form" or the "Stipend Request Form" to the ITTF or other designated organization. Only an original version of the form with signature from the department head or certifying official will be accepted. Requests for Reimbursement or Volunteer Stipend must be accompanied by a letter on department letterhead signed by the department head or certifying officer verifying the actual wages that were paid to each of the individuals for whom the department is requesting Reimbursement or Volunteer Stipend. Reimbursement or Stipend requests for law enforcement shall be submitted through ILEAS using the established ILEAS on-line system.

EFFECTIVE DATE OF POLICY

This policy is effective as November 1, 2007.



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Mike Chamness – Chair
Illinois Terrorism Task Force

ITTF POLICY STATEMENT 2008 (1)

TO: U.S. Department of Homeland Security, Federal Preparedness Fund Grantees

FROM: Mike Chamness, Chair
Illinois Terrorism Task Force 

DATE: March 19, 2008

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Sub-Recipient Monitoring

INTRODUCTION:

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of the Homeland Security Grant Program. The task force continues to build upon a strong foundation of established working partnerships among its over 60 members, which represent all public safety agencies and associations and every community in Illinois.

GENERAL POLICY STATEMENT:

A recipient of ITTF grant funding (referred to as sub-recipient) has full responsibility for the conduct of the project or activity supported and for the results achieved. The sub-recipient must monitor the performance of its project to assure adherence to performance goals, time schedules or other requirements as appropriate to the project or the terms of the grant agreement or interagency agreement issued by the ITTF. The sub-recipient is responsible for monitoring the activities and pass-through requirements of its sub-recipients.

It is the ITTF's policy to provide necessary involvement between itself and the sub-recipient in the performance of a project to ensure the achievement of programmatic objectives approved by the ITTF consistent with the Illinois homeland security strategy and to ensure conformance with requirements of the federal grant guidance, appropriate state requirements, ITTF policies, and terms and conditions of the grant agreement or interagency agreement.

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Dept. of Homeland Security/FEMA-Region V
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IL Campus Law Enforcement Administrators
IL College of Emergency Physicians
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IL Coroners Association
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Volunteers and Donations

Sub-recipient monitoring is a process whereby the programmatic progress and financial and business management aspects of a financial assistance award are reviewed by assessing information as outlined in the ITTF Sub-Recipient Monitoring Plan. The ITTF requires financial assistance sub-recipients to have adequate management systems to ensure that project objectives are met and funds are spent and accounted for properly. To the extent possible, financial assistance award monitors rely on the management systems of the financial assistance sub-recipients to meet project objectives, comply with award terms and conditions, and account for funds.

ITTF SUB-RECIPIENT MONITORING PLAN:

To ensure the sub-recipient achieves programmatic objectives approved by the ITTF consistent with the Illinois homeland security strategy and to ensure conformance with requirements of the federal grant guidance, appropriate state requirements, ITTF policies, and terms and conditions of the grant agreement or interagency agreement, the ITTF has established the following sub-recipient monitoring plan for all financial assistance awardees:

▶ Contact Information of Authorized Representative for Sub-recipient

Each sub-recipient is required to provide the ITTF with detailed contact information for its authorized representative. This information includes the individual's name, title, mailing address, phone number, fax number, and email address. The sub-recipient is required to update this information as changes occur. At least annually throughout the period of performance, the ITTF will verify the information for the authorized representative.

▶ On-going Technical Assistance and Communication

The ITTF Program Manager for the appropriate U.S. Department of Homeland Security (DHS) grant regularly provides technical support and guidance to sub-recipients, via telephone, email or on-site visits, to ensure compliance with federal and state programmatic requirements. The ITTF Program Manager will have more frequent contact with sub-recipients if it is determined there may be a problem with their compliance with the terms of the grant agreement or interagency agreement (legal obligation between the Illinois Emergency Management Agency (IEMA) and sub-recipient).

▶ Programmatic Reviews and On-site Monitoring

Throughout the period of performance, the ITTF will conduct internal programmatic reviews of all documentation submitted to ensure the sub-recipient is complying with the terms of the grant agreement or interagency agreement. The ITTF also will conduct periodic on-site monitoring visits of sub-recipients to ensure they have policies and procedures for compliance with OMB Circular A-133, property control, federal Financial Management Guide, and 44 CFR 13.

▶ Property Control Documentation and On-site Monitoring

Sub-recipients are required to maintain proper records of the acquisition and management of property according to the standards set forth in this policy. Annually, sub-recipients are required to submit an inventory report for all equipment purchased with federal homeland security funds. Regional IEMA staff or other staff designated by the ITTF will conduct annual site audits to ensure the accuracy of the documentation submitted.

▶ Submission of Bi-Annual Strategy Implementation Report (BSIR)

Upon request throughout the stated performance period, sub-recipients will submit to the ITTF documentation to support the submission of BSIR. The documentation must include, at a minimum, the amount of funding received, obligated and expended for activities outlined in the Scope of Work, Discipline Allocation Worksheet, and Project Metric Worksheet.

▶ Review of A-133 Single Audits

IEMA will ensure that sub-recipients are in compliance with the audit requirements as set forth in this policy. Correspondence will be sent by the IEMA to sub-recipients that fail to comply with submission deadlines. IEMA will ensure that sub-recipients have adequately resolved any audit findings in accordance with federal and state requirements.

▶ On-site Monitoring of National Incident Management System (NIMS) Compliance

Sub-recipients are required to fully implement all current NIMS compliance activities in accordance with Homeland Security Presidential Directive 5 (HSPD-5), *Management of Domestic Incidents* and related compliance documentation provided by the Secretary of Homeland Security and State of Illinois. The sub-recipient grant agreement or interagency agreement requires that compliance documentation is on file with IEMA. IEMA also will conduct a random sample of on-site monitoring visits of sub-recipients (minimum of 12 per calendar year) to ensure they have fully implemented the NIMS compliance activities.

SUB-RECIPIENT PROPERTY CONTROL POLICY REQUIREMENTS:

Sub-recipients that purchase allowable equipment through grant funds administered by the ITTF will protect and maintain a complete and accurate record of equipment in compliance with this section. Other conditions and rules applicable to this policy are listed below.

- ▶ State sub-recipients will continue to follow state inventory policies and procedures as outlined in the State Property Control Act (30 ILCS 605) and applicable Administrative Rules.

- ▶ In accordance with the waiver granted by the Director of the Illinois Department of Central Management Services, non-state sub-recipients will use inventory procedures in accordance with the Financial Guide of the Department of Justice (FFY 2005 and earlier) or the Department of Homeland Security (FFY 2006 and later).

Accordingly, each sub-recipient shall maintain complete and accurate property records that contain the following information about the equipment:

1. Description (including serial number or other identification number),
2. Funding Source,
3. Entity in possession of the title,
4. Acquisition date and cost,
5. Percentage of federal participation in the cost,
6. Location,
7. Condition, and
8. Any ultimate disposition data, including the date of disposal and sales price or method used to determine current fair market value.

- ▶ A physical inventory of equipment acquired under federal awards will be made by the sub-recipient no less than every two years.
- ▶ The ITTF will select a sample of equipment identified as acquired under federal awards from the property records and physically inspect the equipment to determine if it is appropriately safeguarded and maintained.
- ▶ Annually, a schedule for on-site inspections will be developed. Using the ITTF inventory database, the ITTF will select a percentage of sub-recipients to inspect (no less than 50 percent each year). A sample of durable line items will be chosen for record review/visual inspection (25 percent of all items valued over \$5,000.00). The sub-recipient will be given no less than 30 days notice to prepare for the site visit. A representative of IEMA and the sub-recipient will jointly conduct the inventory using the ITTF Inventory Certification Form.
- ▶ If the item is held by the sub-recipient, the inspector shall ensure that the item is physically present and visually inspect the item. If the item has been assigned or otherwise transferred to another jurisdiction, then the documentation for the transfer will be reviewed. At a minimum, the sub-recipient will provide a property control sheet similar to the ITTF document and obtain signature from a responsible official of the holding jurisdiction. If the sub-recipient's organization has more stringent rules for transferring or loaning equipment those procedures may be used.
- ▶ Records for equipment, non-expendable personal property, and real property shall be retained for a period of three years from the date of the disposition, replacement, or transfer. If any litigation, claim, or audit is started before the expiration of the three-year period, the records shall be retained until all litigations, claims, or audit findings involving the records have been resolved.

- ▶ If equipment is lost, the sub-recipient must notify the ITTF within 30 days of loss to provide an explanation of the circumstances causing the loss. If damaged, a similar report will be submitted to include the sub-recipient's plan for repair or replacement. The ITTF is not responsible for repair or replacement of lost or damaged transferred property. Similar procedures must be followed for any transferred or loaned equipment unless the sub-recipient's policies are more stringent.
- ▶ Regarding equipment that reaches its authorized shelf life or is determined to be non-serviceable, the ITTF shall be notified by the sub-recipient. The sub-recipient is responsible for collecting this information on loaned or transferred equipment and reporting the same to the ITTF.

SUBMISSION AND REVIEW OF AUDITS REQUIRED UNDER OMB CIRCULAR A-133:

This section sets forth the terms and conditions for the submission and review of audits required under OMB Circular A-133 for sub-recipients of the ITTF through IEMA. OMB Circular A-133 requires that, as of their 2005 fiscal year, any state or local government or not-for-profit agency that expends more than \$500,000 from federal sources must have a Single Audit completed by an independent auditing firm. The ITTF grant agreement or interagency agreement states the funds received are federal and that the requirements of OMB Circular A-133 apply.

Each ITTF sub-recipient (or its legal entity) that meets the test for undergoing a Single Audit must ensure that the audit is completed and submitted as soon as possible, but in no case shall this take longer than nine months after the conclusion of the sub-recipient's fiscal year. The sub-recipient shall cooperate in the audit process and shall ensure that the audit is submitted to the ITTF by that date. The components of a Single Audit are:

- ▶ Basic financial statements and independent auditor's report of these statements (part of the Comprehensive Annual Financial Report,
- ▶ Reports on internal control and compliance of the general purpose financial statements,
- ▶ Reports on internal control and compliance for Federal Programs,
- ▶ Schedule of Expenditures for Federal Awards,
- ▶ Report on the Schedule of Expenditures for Federal Awards, and
- ▶ Schedule of Findings and Questioned Costs (if applicable).

If a sub-recipient cannot comply with the Single Audit requirements, it must to inform the ITTF and provide information on its status when requested, or no less than monthly.

The ITTF has the authority to withhold funds from a sub-recipient if the provisions of OMB Circular A-133 are not met and will do so if the audit is more than 90 days late unless adequate progress is being made toward completion and submission.

EFFECTIVE DATE OF POLICY:

This policy is effective as of March 19, 2008.

Pat Quinn
Governor



Andrew Velasquez III
Homeland Security Advisor

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www.ready.illinois.gov

Mike Chamness – Chair
Illinois Terrorism Task Force

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Will County EMA

ITTF POLICY STATEMENT 2009 (3)

TO: U.S. Department of Homeland Security, Federal Preparedness Fund Sub-recipients

FROM: Mike Chamness, Chair
Illinois Terrorism Task Force 

DATE: September 1, 2009

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Grant Reimbursement Supporting Documentation Requirements

INTRODUCTION

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of federal preparedness grants. The task force continues to build upon a strong foundation of established working partnerships among its over 60 members, which represent all public safety agencies and associations and every community in Illinois.

BACKGROUND

The Department of Homeland Security, Office of Inspector General, conducted an audit of the State of Illinois' management of State Homeland Security Grants awarded during Federal fiscal years 2004 through 2006. As a result of the audit, corrective action recommendations were received by the State of Illinois regarding the monitoring of reimbursement requests. Grant reimbursement requests received by the Illinois Emergency Management Agency (IEMA) as the State Administrative Agency did not always include evidence of delivery and unique property identification numbers. Without the appropriate documentation, the State Administrative Agency had no proof that the procured items had been received or appropriately identified for inventory control purposes at the time reimbursement was requested.

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Crisis Response & Prevention
Elected Officials
Emergency Management
Fire Mutual Aid
Information Technology
Law Enforcement Mutual Aid
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Public Information
Science & Technology
Training
Transportation
Volunteers and Donations

GENERAL POLICY STATEMENT

IEMA requires sub-recipients to include affirmation or evidence of delivery and property identification numbers for property subject to policies and procedures as outlined in the State Property Control Act (30 ILCS 605) and applicable Administrative Rules, or Financial Guide of the Department of Justice (FFY 2005 and earlier) or the Department of Homeland Security (FFY 2006 and later) at the time reimbursement is sought. No reimbursements will be made to sub-recipients without the documentation outlined in this policy statement.

Documentation submitted with the reimbursement request must include the following: (1) evidence or certification that the items have been received by the sub-recipient from the vendor, and (2) the manufacturer serial number or other unique number assigned by the sub-recipient for each item purchased.

CREDIBILITY AND AUTHENTICITY OF REIMBURSEMENT REQUESTS

The submission of documentation that verifies delivery and provides property control identification numbers in support of reimbursement requests will add credibility and authenticity to the requests and provide better oversight of sub-recipients by the SAA. Such documentation also will facilitate verification of purchases and tracking of inventory records by the SAA and sub-recipient.

EFFECTIVE DATE OF POLICY

This policy is effective 60 days after issuance.

**Pat Quinn
Governor**



**Andrew Velasquez III
Homeland Security Advisor**

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**Mike Chamness – Chair
Illinois Terrorism Task Force**

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American Red Cross
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Central Management Services
Cities of Bloomington-Normal
Cities of Champaign-Urbana
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ITTF POLICY STATEMENT 2009 (8)

TO: U.S. Department of Homeland Security, Federal Preparedness Fund Sub-recipients

FROM: Mike Chamness, Chair
Illinois Terrorism Task Force 

DATE: September 16, 2009

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Single Audits

INTRODUCTION

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of federal preparedness grants. The task force continues to build upon a strong foundation of established working partnerships among its more than 60 members, which represent all public safety agencies and associations and every community in Illinois.

GENERAL POLICY STATEMENT

This policy statement sets forth the terms and conditions for the submission and review of audits required under OMB Circular A-133 for sub-recipients of the ITTF through IEMA. OMB Circular A-133 requires that, as of the 2005 fiscal year, any state or local government or not-for-profit agency that expends more than \$500,000 from federal sources must have a Single Audit completed by an independent auditing firm. The ITTF grant agreement or interagency agreement states the funds received are federal and that the requirements of OMB Circular A-133 apply.

Committees

Bioterrorism
Chicago/Cook County UASI
Communications
Crisis Response & Prevention
Elected Officials
Emergency Management
Fire Mutual Aid
Information Technology
Law Enforcement Mutual Aid
Private Sector
Public Information
Science & Technology
Training
Transportation
Volunteers and Donations

SUBMISSION AND REVIEW OF AUDITS REQUIRED UNDER OMB CIRCULAR A-133

Each ITTF sub-recipient (or its legal entity) that meets the threshold for undergoing a Single Audit must ensure that the audit is completed and submitted as soon as possible, but in no case shall this take longer than nine months after the conclusion of the sub-recipient's fiscal year. The sub-recipient shall cooperate in the audit process and shall ensure that the audit is submitted to the ITTF by that date. The components of a Single Audit are:

- ▶ Basic financial statements and independent auditor's report of these statements (part of the Comprehensive Annual Financial Report),
- ▶ Reports on internal control and compliance of the general purpose financial statements,
- ▶ Reports on internal control and compliance for Federal Programs,
- ▶ Schedule of Expenditures for Federal Awards,
- ▶ Report on the Schedule of Expenditures for Federal Awards, and
- ▶ Schedule of Findings and Questioned Costs (if applicable).

If a sub-recipient cannot comply with the Single Audit requirements, it must inform the ITTF and provide information on its status when requested, or no less than monthly.

The ITTF has the authority to withhold funds from a sub-recipient if the provisions of OMB Circular A-133 are not met and will do so if the audit is more than 90 days late unless adequate progress is being made toward completion and submission.

EFFECTIVE DATE OF POLICY

This policy is effective as of September 16, 2009.



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Mike Chamness – Chair
Illinois Terrorism Task Force

ITTF POLICY STATEMENT 2009 (11)

TO: U.S. Department of Homeland Security, Federal Preparedness Fund Sub-recipients

FROM: Mike Chamness, Chair *Mike Chamness*
Illinois Terrorism Task Force

DATE: November 4, 2009

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Equipment Purchased with Federal Funds

INTRODUCTION

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of federal preparedness grants. The task force continues to build upon a strong foundation of established working partnerships among its over 60 members, which represent all public safety agencies and associations and every community in Illinois.

GENERAL POLICY STATEMENT

Sub-recipients shall inventory, dispose of, and manage equipment acquired through federal preparedness funds received through the ITTF in accordance with this policy and applicable federal and state rules, regulations and policies. Sub-recipients shall have adequate management systems in place for property control and disposition, regularly provide the ITTF with reports on inventory in accordance with this policy, and make equipment available for inspection as part of the ITTF's on-going sub-recipient monitoring program

SUB-RECIPIENT PROPERTY CONTROL POLICY REQUIREMENTS

Sub-recipients that purchase equipment with federal preparedness funds administered by the ITTF will maintain a property control system consistent with this policy. The requirements that govern property control of state and non-state organizations are as follows:

1. State sub-recipients will continue to follow state inventory policies and procedures as outlined in the State Property Control Act (30 ILCS 605) and applicable Administrative Rules.

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Cities of Bloomington-Normal
Cities of Champaign-Urbana
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Dept. of Homeland Security/FEMA-Region V
DuPage County OEM
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2. In accordance with the waiver granted by the Director of the Illinois Department of Central Management Services, non-state sub-recipients will use the definition of equipment and inventory procedures in accordance with the Financial Guide of the Department of Justice (before April 1, 2007) and 28 CFR 66 and 70 or the Department of Homeland Security (funds granted after April 1, 2007) 44 CFR13 and 2 CFR 225.

Definition of Equipment

Equipment is defined as any item with a usable life in excess of one year and an acquisition cost of \$5,000* or more. For accounting purposes, most types of equipment are considered to have a usable life of between five and 25 years. This policy establishes that most classes of equipment will have a usable life of seven years.

*For state agencies, equipment is defined as having an acquisition cost of \$100.

Property Control Documentation and Inventory Reporting

A physical inventory of equipment acquired under federal awards will be made by the sub-recipient no less than every two years. Annually, sub-recipients are required to submit an inventory report for all equipment purchased with federal preparedness funds. Each sub-recipient shall maintain complete and accurate property control records that contain the following information about the equipment:

1. Description (including serial number or other identification number)
2. Funding source
3. Entity in possession of the title/equipment
4. Acquisition date and cost
5. Percentage of federal participation in the cost
6. Location
7. Condition
8. Vendor/voucher number
9. Any ultimate disposition data, including the date of disposal and sales price or method used to determine current fair market value.

Lost, Stolen or Damaged Equipment

If equipment purchased with federal preparedness funds is lost, stolen or damaged, the sub-recipient must notify the ITTF within 30 days and provide an explanation of the circumstances that resulted in the event. If equipment is damaged, the sub-recipient must include a plan for repair or replacement.

Retention of Property Records

Records for equipment, non-expendable personal property, and real property shall be retained for a period of three years from the date of the disposition, replacement, or transfer. If any litigation, claim, or audit is started before the expiration of the three-year period, the records shall be retained until all litigations, claims, or audit findings involving the records have been resolved.

Equipment Disposition

The ITTF has established the following disposition plan for equipment purchased with federal preparedness funds:

1. Equipment purchased with federal preparedness funds received through the ITTF will be considered to have a usable life of seven years, with the exception of powered vehicles, which must reach 120,000 miles before they will be considered for disposal.
2. Sub-recipients in possession of equipment purchased with federal preparedness funds may determine when the equipment is no longer usable for the intended purpose.
3. Sub-recipients shall report to the ITTF when a powered vehicle reaches 60,000 and 90,000 miles. Mileage also will be reported on the biannual inventory form.
4. Straight-line method of depreciation shall be used to determine the residual value of any equipment purchased with federal preparedness funds.

For the purpose of this policy, the term “transfer” is defined as the documented movement of equipment that has residual usable life between jurisdictions or organizations. The term “disposal” is defined as the surrendering of unusable equipment.

OMB Circular A-87 Attachment B, Section 11d establishes that the period of useful service (useful life) for capital assets must take into consideration such factors as type of construction, nature of the equipment used, historical usage patterns, technological developments, and the renewal and replacement policies of the governmental unit for the individual items or classes of assets involved. Sub-recipients are required to maintain proper records of the acquisition and management of equipment according to the standards set forth above.

Disposition of the equipment will be made as follows:

1. Sub-recipients may relinquish the equipment when original or replacement equipment acquired through federal preparedness funds is no longer needed.
2. Sub-recipients must notify the ITTF when any item with a value of \$500 or more is to be discarded. If the sub-recipient has no need for the property and the property has further useful value, the sub-recipient shall request disposition instructions from the ITTF.
3. Although federal rules allow items with a current per unit fair market value in excess of \$5,000 to be sold, the ITTF will not approve the sale of any items purchased with federal preparedness funds except in very limited circumstances.
4. The ITTF must be contacted to approve the disposition or transfer of the following equipment types regardless of price:
 - a) Cameras
 - b) Computers
 - c) Interoperable Communications Equipment
 - d) Night Vision Equipment
 - e) Any equipment that stores sensitive data, has high theft potential or would be of potential use in a criminal or terrorist activity.

EXCEPTION TO THE POLICY

If there is an extenuating circumstance that would prevent a sub-recipient from adhering to this policy, a written request for exception must be made to the ITTF Chair or his/her designee.

EFFECTIVE DATE OF THE POLICY

This policy is effective as of November 4, 2009.

**Pat Quinn
Governor**



**Andrew Velasquez III
Homeland Security Advisor**

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**Mike Chamness – Chair
Illinois Terrorism Task Force**

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Volunteers and Donations

ITTF POLICY STATEMENT 2009 (12)

TO: U.S. Department of Homeland Security, Federal Preparedness Fund Sub-recipients

FROM: Mike Chamness, Chair
Mike Chamness
Illinois Terrorism Task Force

DATE: November 16, 2009

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Overpayment to Sub-recipients

INTRODUCTION

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of federal preparedness grants. The task force continues to build upon a strong foundation of established working partnerships among its over 60 members, which represent all public safety agencies and associations and every community in Illinois.

GENERAL POLICY STATEMENT

Whenever the ITTF or a sub-recipient determines that there has been an overpayment of federal preparedness funds, duplicate payment, or any other instance in which the sub-recipient has received funds that are not associated with an authorized expenditure, this amount must be returned to the Illinois Emergency Management Agency (IEMA). Any interest earned on the overpayment in excess of the maximum that may be retained shall be remitted to the U.S. Treasury according to federal rules and regulations. The ITTF will no longer adjust future payment(s) to the sub-recipient to account for any funding that is overpaid.

PROCEDURE

Upon discovering an overpayment of federal preparedness funds, duplicate payment, or any other instance in which funds are owed back, sub-recipients must immediately notify the ITTF in writing. Similarly, if an overpayment is discovered by the ITTF, the ITTF will immediately notify the sub-recipient. In either case, the sub-recipient must return the overpayment as soon as practicable to IEMA to limit the amount of interest lost by the federal government as a result of the overpayment. If the sub-recipient has overpaid a vendor, the sub-recipient must take immediate action to recover the overpayment, and, upon receipt, promptly return the funds to IEMA. When returning funds to IEMA, sub-recipients must follow the guidelines described below:

- Checks must be made payable to the Illinois Emergency Management Agency (IEMA).
- A separate check should be remitted to IEMA for each grant for which an overpayment has been identified.
- A cover letter should be included with each check identifying which grant is involved and the circumstances of the repayment.
- The check and cover letter should be mailed to the attention of the appropriate grant manager, Illinois Emergency Management Agency, 2200 S. Dirksen Parkway, Springfield, Illinois 62703.

Once received, the overpayment will be returned to the U.S. Department of Homeland Security on the sub-recipient's behalf. If the federal performance period has not concluded for the grant award for which overpayment or duplicate payment was made or for which funds are owed back for any other reason, IEMA will credit the sub-recipient's obligation with the Illinois State Comptroller. The sub-recipient will be notified by the ITTF when the funds are available to be re-obligated in accordance with the grant or interagency agreement. If the federal performance period has concluded for the grant for which overpayment or duplicate payment was made or for which funds are owed back for any other reason, the sub-recipient will forfeit the funds.

EXCEPTION TO THE POLICY

If there is an extenuating circumstance that would prevent a recipient organization from adhering to this policy, the authorized representative must request an exception to the policy in writing to the IEMA Director or ITTF Chair or his/her designee immediately upon the discovery of the overpayment.

EFFECTIVE DATE OF THE POLICY

This policy is effective as of November 16, 2009.

**Pat Quinn
Governor**



**Andrew Velasquez III
Homeland Security Advisor**

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**Mike Chamness – Chair
Illinois Terrorism Task Force**

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Cities of Bloomington-Normal
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City of Aurora
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City of Naperville
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City of Rockford
City of Springfield
Cook County ESDA
Dept. of Homeland Security/FEMA-Region V
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ITTF POLICY STATEMENT 2007 (5)

TO: U.S. Department of Homeland Security, Federal Preparedness Fund Sub-recipients

FROM: Mike Chamness, Chair
Illinois Terrorism Task Force 

DATE: November 1, 2007

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Overtime /Backfill Reimbursement and Volunteer Stipend (to supersede ITTF Policy Statement 2007 (4))

INTRODUCTION

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of federal preparedness grants. The task force continues to build upon a strong foundation of established working partnerships among its more than 60 members, which represent all public safety agencies and associations and every community in Illinois.

GENERAL POLICY STATEMENT

This policy statement supersedes ITTF Policy Statement 2007 (4) and applies to the following three documents:

- *"Illinois Terrorism Task Force (ITTF) Training Overtime/Backfill Reimbursement Policy for Illinois Statewide Deployable Teams (TRT, HAZMAT, and SRT)"*
- *"Illinois Terrorism Task Force (ITTF) Training Volunteer Stipend Policy for Illinois Statewide Deployable Teams (TRT, HAZMAT, and SRT)"*

Committees

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Volunteers and Donations

- *“Illinois Terrorism Task Force (ITTF) Training Overtime/Backfill Reimbursement and Volunteer Stipend Claims Process for Illinois Statewide Deployable Teams (TRT, HAZMAT and SRT)”*

It is the policy of the ITTF to reimburse career, on-call and volunteer personnel and/or to pay a stipend for volunteers who are listed on the Illinois Statewide Deployable Team roster and who satisfactorily complete a course of study through an approved institution or provider that meets the course curriculum requirements of the ITTF Training Committee. Eligibility for reimbursements or stipends must be in accordance with the documents titled *“Illinois Terrorism Task Force (ITTF) Training Overtime/Backfill Reimbursement Policy For Illinois Statewide Deployable Teams (TRT, HAZMAT, and SRT)”* and *“Illinois Terrorism Task Force (ITTF) Training Volunteer Stipend Policy For Illinois Statewide Deployable Teams (TRT, HAZMAT, and SRT).”*

ELIGIBILITY

Reimbursement and Volunteer Stipend may only be requested by and paid to the individual's employing or sponsoring department. Submission of a Reimbursement or Volunteer Stipend claim on an individual by a sponsoring department confirms that an employment relationship exists between the individual and the department and places the burden for employment-related tax, benefit and recordkeeping with that department, not with the ITTF.

Only those career, on-call, and volunteer personnel listed on the Illinois Statewide Deployable Team roster on file with the Illinois Fire Service Institute (IFSI) and/or Illinois Law Enforcement Alarm System (ILEAS) at least 6 weeks prior to the start of the course are eligible to receive Reimbursement or Volunteer Stipend.

To be eligible for any form of personnel time Reimbursements, the individual's employing department must have experienced an actual cost beyond normal operations personnel expenses. Qualified expenses may include overtime, backfill or loss of salary/compensation by the individual attending the training.

Reimbursement or Volunteer Stipend consideration to attend a training or certification class will only be approved for ITTF-recognized requirements associated with Illinois Statewide Deployable Teams (Objective #4 of the ITTF Training Committee Strategic Plan) and/or ITTF-mandated training. Reimbursement for other training courses to attain or maintain certification or skills may be authorized based upon the pre-approval of the ITTF Training Committee.

All coursework must be through an approved institution or provider who meets the course curriculum requirements of the ITTF Training Committee and consistent with the mission statement of the DHS, Office of Grants and Training.

CLAIMS PROCESS FOR REIMBURSEMENTS AND STIPENDS

Claims shall be submitted in accordance with the document titled "*Illinois Terrorism Task Force (ITTF) Training Overtime/Backfill Reimbursement and Volunteer Stipend Claims Process for Illinois Statewide Deployable Teams (TRT, HAZMAT and SRT).*"

All Reimbursement and Stipend requests must be received by the ITTF office, located at 2200 South Dirksen Parkway, Springfield, Illinois, within 60 days of the completion of the course.

Reimbursement or Volunteer Stipend requests for career, on-call, and volunteer personnel must be submitted on the "Training Reimbursement Request Form" or the "Stipend Request Form" to the ITTF or other designated organization. Only an original version of the form with signature from the department head or certifying official will be accepted. Requests for Reimbursement or Volunteer Stipend must be accompanied by a letter on department letterhead signed by the department head or certifying officer verifying the actual wages that were paid to each of the individuals for whom the department is requesting Reimbursement or Volunteer Stipend. Reimbursement or Stipend requests for law enforcement shall be submitted through ILEAS using the established ILEAS on-line system.

EFFECTIVE DATE OF POLICY

This policy is effective as November 1, 2007.

**Pat Quinn
Governor**



**Andrew Velasquez III
Homeland Security Advisor**

**2200 South Dirksen Parkway ~ Springfield, IL 62703-4528 ~ phone: (217) 558-1334 ~ fax: (217) 558-1335
www.ready.illinois.gov**

**Mike Chamness – Chair
Illinois Terrorism Task Force**

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Cook County ESDA
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ITTF POLICY STATEMENT 2009 (3)

TO: U.S. Department of Homeland Security, Federal Preparedness Fund Sub-recipients

FROM: Mike Chamness, Chair *Mike Chamness*
Illinois Terrorism Task Force

DATE: September 1, 2009

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Grant Reimbursement Supporting Documentation Requirements

INTRODUCTION

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of federal preparedness grants. The task force continues to build upon a strong foundation of established working partnerships among its over 60 members, which represent all public safety agencies and associations and every community in Illinois.

BACKGROUND

The Department of Homeland Security, Office of Inspector General, conducted an audit of the State of Illinois' management of State Homeland Security Grants awarded during Federal fiscal years 2004 through 2006. As a result of the audit, corrective action recommendations were received by the State of Illinois regarding the monitoring of reimbursement requests. Grant reimbursement requests received by the Illinois Emergency Management Agency (IEMA) as the State Administrative Agency did not always include evidence of delivery and unique property identification numbers. Without the appropriate documentation, the State Administrative Agency had no proof that the procured items had been received or appropriately identified for inventory control purposes at the time reimbursement was requested.

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Chicago/Cook County UASI
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Crisis Response & Prevention
Elected Officials
Emergency Management
Fire Mutual Aid
Information Technology
Law Enforcement Mutual Aid
Private Sector
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GENERAL POLICY STATEMENT

IEMA requires sub-recipients to include affirmation or evidence of delivery and property identification numbers for property subject to policies and procedures as outlined in the State Property Control Act (30 ILCS 605) and applicable Administrative Rules, or Financial Guide of the Department of Justice (FFY 2005 and earlier) or the Department of Homeland Security (FFY 2006 and later) at the time reimbursement is sought. No reimbursements will be made to sub-recipients without the documentation outlined in this policy statement.

Documentation submitted with the reimbursement request must include the following: (1) evidence or certification that the items have been received by the sub-recipient from the vendor, and (2) the manufacturer serial number or other unique number assigned by the sub-recipient for each item purchased.

CREDIBILITY AND AUTHENTICITY OF REIMBURSEMENT REQUESTS

The submission of documentation that verifies delivery and provides property control identification numbers in support of reimbursement requests will add credibility and authenticity to the requests and provide better oversight of sub-recipients by the SAA. Such documentation also will facilitate verification of purchases and tracking of inventory records by the SAA and sub-recipient.

EFFECTIVE DATE OF POLICY

This policy is effective 60 days after issuance.

**Pat Quinn
Governor**



**Andrew Velasquez III
Homeland Security Advisor**

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**Mike Chamness – Chair
Illinois Terrorism Task Force**

Members

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American Red Cross
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Central Management Services
Cities of Bloomington-Normal
Cities of Champaign-Urbana
City of Aurora
City of Chicago
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Cook County ESDA
Dept. of Homeland Security/FEMA-Region V
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IL Board of Higher Education
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ITTF POLICY STATEMENT 2009 (8)

TO: U.S. Department of Homeland Security, Federal Preparedness Fund Sub-recipients

FROM: Mike Chamness, Chair 
Illinois Terrorism Task Force

DATE: September 16, 2009

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Single Audits

INTRODUCTION

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of federal preparedness grants. The task force continues to build upon a strong foundation of established working partnerships among its more than 60 members, which represent all public safety agencies and associations and every community in Illinois.

GENERAL POLICY STATEMENT

This policy statement sets forth the terms and conditions for the submission and review of audits required under OMB Circular A-133 for sub-recipients of the ITTF through IEMA. OMB Circular A-133 requires that, as of the 2005 fiscal year, any state or local government or not-for-profit agency that expends more than \$500,000 from federal sources must have a Single Audit completed by an independent auditing firm. The ITTF grant agreement or interagency agreement states the funds received are federal and that the requirements of OMB Circular A-133 apply.

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Law Enforcement Mutual Aid
Private Sector
Public Information
Science & Technology
Training
Transportation
Volunteers and Donations

SUBMISSION AND REVIEW OF AUDITS REQUIRED UNDER OMB CIRCULAR A-133

Each ITTF sub-recipient (or its legal entity) that meets the threshold for undergoing a Single Audit must ensure that the audit is completed and submitted as soon as possible, but in no case shall this take longer than nine months after the conclusion of the sub-recipient's fiscal year. The sub-recipient shall cooperate in the audit process and shall ensure that the audit is submitted to the ITTF by that date. The components of a Single Audit are:

- ▶ Basic financial statements and independent auditor's report of these statements (part of the Comprehensive Annual Financial Report),
- ▶ Reports on internal control and compliance of the general purpose financial statements,
- ▶ Reports on internal control and compliance for Federal Programs,
- ▶ Schedule of Expenditures for Federal Awards,
- ▶ Report on the Schedule of Expenditures for Federal Awards, and
- ▶ Schedule of Findings and Questioned Costs (if applicable).

If a sub-recipient cannot comply with the Single Audit requirements, it must inform the ITTF and provide information on its status when requested, or no less than monthly.

The ITTF has the authority to withhold funds from a sub-recipient if the provisions of OMB Circular A-133 are not met and will do so if the audit is more than 90 days late unless adequate progress is being made toward completion and submission.

EFFECTIVE DATE OF POLICY

This policy is effective as of September 16, 2009.



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Mike Chamness – Chair
Illinois Terrorism Task Force

ITTF POLICY STATEMENT 2009 (11)

TO: U.S. Department of Homeland Security, Federal Preparedness Fund Sub-recipients

FROM: Mike Chamness, Chair *Mike Chamness*
Illinois Terrorism Task Force

DATE: November 4, 2009

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Equipment Purchased with Federal Funds

INTRODUCTION

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of federal preparedness grants. The task force continues to build upon a strong foundation of established working partnerships among its over 60 members, which represent all public safety agencies and associations and every community in Illinois.

GENERAL POLICY STATEMENT

Sub-recipients shall inventory, dispose of, and manage equipment acquired through federal preparedness funds received through the ITTF in accordance with this policy and applicable federal and state rules, regulations and policies. Sub-recipients shall have adequate management systems in place for property control and disposition, regularly provide the ITTF with reports on inventory in accordance with this policy, and make equipment available for inspection as part of the ITTF's on-going sub-recipient monitoring program

SUB-RECIPIENT PROPERTY CONTROL POLICY REQUIREMENTS

Sub-recipients that purchase equipment with federal preparedness funds administered by the ITTF will maintain a property control system consistent with this policy. The requirements that govern property control of state and non-state organizations are as follows:

1. State sub-recipients will continue to follow state inventory policies and procedures as outlined in the State Property Control Act (30 ILCS 605) and applicable Administrative Rules.

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Dept. of Homeland Security/FEMA-Region V
DuPage County OEM
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2. In accordance with the waiver granted by the Director of the Illinois Department of Central Management Services, non-state sub-recipients will use the definition of equipment and inventory procedures in accordance with the Financial Guide of the Department of Justice (before April 1, 2007) and 28 CFR 66 and 70 or the Department of Homeland Security (funds granted after April 1, 2007) 44 CFR13 and 2 CFR 225.

Definition of Equipment

Equipment is defined as any item with a usable life in excess of one year and an acquisition cost of \$5,000* or more. For accounting purposes, most types of equipment are considered to have a usable life of between five and 25 years. This policy establishes that most classes of equipment will have a usable life of seven years.

*For state agencies, equipment is defined as having an acquisition cost of \$100.

Property Control Documentation and Inventory Reporting

A physical inventory of equipment acquired under federal awards will be made by the sub-recipient no less than every two years. Annually, sub-recipients are required to submit an inventory report for all equipment purchased with federal preparedness funds. Each sub-recipient shall maintain complete and accurate property control records that contain the following information about the equipment:

1. Description (including serial number or other identification number)
2. Funding source
3. Entity in possession of the title/equipment
4. Acquisition date and cost
5. Percentage of federal participation in the cost
6. Location
7. Condition
8. Vendor/voucher number
9. Any ultimate disposition data, including the date of disposal and sales price or method used to determine current fair market value.

Lost, Stolen or Damaged Equipment

If equipment purchased with federal preparedness funds is lost, stolen or damaged, the sub-recipient must notify the ITTF within 30 days and provide an explanation of the circumstances that resulted in the event. If equipment is damaged, the sub-recipient must include a plan for repair or replacement.

Retention of Property Records

Records for equipment, non-expendable personal property, and real property shall be retained for a period of three years from the date of the disposition, replacement, or transfer. If any litigation, claim, or audit is started before the expiration of the three-year period, the records shall be retained until all litigations, claims, or audit findings involving the records have been resolved.

Equipment Disposition

The ITTF has established the following disposition plan for equipment purchased with federal preparedness funds:

1. Equipment purchased with federal preparedness funds received through the ITTF will be considered to have a usable life of seven years, with the exception of powered vehicles, which must reach 120,000 miles before they will be considered for disposal.
2. Sub-recipients in possession of equipment purchased with federal preparedness funds may determine when the equipment is no longer usable for the intended purpose.
3. Sub-recipients shall report to the ITTF when a powered vehicle reaches 60,000 and 90,000 miles. Mileage also will be reported on the biannual inventory form.
4. Straight-line method of depreciation shall be used to determine the residual value of any equipment purchased with federal preparedness funds.

For the purpose of this policy, the term “transfer” is defined as the documented movement of equipment that has residual usable life between jurisdictions or organizations. The term “disposal” is defined as the surrendering of unusable equipment.

OMB Circular A-87 Attachment B, Section 11d establishes that the period of useful service (useful life) for capital assets must take into consideration such factors as type of construction, nature of the equipment used, historical usage patterns, technological developments, and the renewal and replacement policies of the governmental unit for the individual items or classes of assets involved. Sub-recipients are required to maintain proper records of the acquisition and management of equipment according to the standards set forth above.

Disposition of the equipment will be made as follows:

1. Sub-recipients may relinquish the equipment when original or replacement equipment acquired through federal preparedness funds is no longer needed.
2. Sub-recipients must notify the ITTF when any item with a value of \$500 or more is to be discarded. If the sub-recipient has no need for the property and the property has further useful value, the sub-recipient shall request disposition instructions from the ITTF.
3. Although federal rules allow items with a current per unit fair market value in excess of \$5,000 to be sold, the ITTF will not approve the sale of any items purchased with federal preparedness funds except in very limited circumstances.
4. The ITTF must be contacted to approve the disposition or transfer of the following equipment types regardless of price:
 - a) Cameras
 - b) Computers
 - c) Interoperable Communications Equipment
 - d) Night Vision Equipment
 - e) Any equipment that stores sensitive data, has high theft potential or would be of potential use in a criminal or terrorist activity.

EXCEPTION TO THE POLICY

If there is an extenuating circumstance that would prevent a sub-recipient from adhering to this policy, a written request for exception must be made to the ITTF Chair or his/her designee.

EFFECTIVE DATE OF THE POLICY

This policy is effective as of November 4, 2009.

**Pat Quinn
Governor**



**Andrew Velasquez III
Homeland Security Advisor**

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**Mike Chamness – Chair
Illinois Terrorism Task Force**

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ITTF POLICY STATEMENT 2009 (12)

TO: U.S. Department of Homeland Security, Federal Preparedness Fund Sub-recipients

FROM: Mike Chamness, Chair
Mike Chamness
Illinois Terrorism Task Force

DATE: November 16, 2009

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Overpayment to Sub-recipients

INTRODUCTION

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of federal preparedness grants. The task force continues to build upon a strong foundation of established working partnerships among its over 60 members, which represent all public safety agencies and associations and every community in Illinois.

GENERAL POLICY STATEMENT

Whenever the ITTF or a sub-recipient determines that there has been an overpayment of federal preparedness funds, duplicate payment, or any other instance in which the sub-recipient has received funds that are not associated with an authorized expenditure, this amount must be returned to the Illinois Emergency Management Agency (IEMA). Any interest earned on the overpayment in excess of the maximum that may be retained shall be remitted to the U.S. Treasury according to federal rules and regulations. The ITTF will no longer adjust future payment(s) to the sub-recipient to account for any funding that is overpaid.

PROCEDURE

Upon discovering an overpayment of federal preparedness funds, duplicate payment, or any other instance in which funds are owed back, sub-recipients must immediately notify the ITTF in writing. Similarly, if an overpayment is discovered by the ITTF, the ITTF will immediately notify the sub-recipient. In either case, the sub-recipient must return the overpayment as soon as practicable to IEMA to limit the amount of interest lost by the federal government as a result of the overpayment. If the sub-recipient has overpaid a vendor, the sub-recipient must take immediate action to recover the overpayment, and, upon receipt, promptly return the funds to IEMA. When returning funds to IEMA, sub-recipients must follow the guidelines described below:

- Checks must be made payable to the Illinois Emergency Management Agency (IEMA).
- A separate check should be remitted to IEMA for each grant for which an overpayment has been identified.
- A cover letter should be included with each check identifying which grant is involved and the circumstances of the repayment.
- The check and cover letter should be mailed to the attention of the appropriate grant manager, Illinois Emergency Management Agency, 2200 S. Dirksen Parkway, Springfield, Illinois 62703.

Once received, the overpayment will be returned to the U.S. Department of Homeland Security on the sub-recipient's behalf. If the federal performance period has not concluded for the grant award for which overpayment or duplicate payment was made or for which funds are owed back for any other reason, IEMA will credit the sub-recipient's obligation with the Illinois State Comptroller. The sub-recipient will be notified by the ITTF when the funds are available to be re-obligated in accordance with the grant or interagency agreement. If the federal performance period has concluded for the grant for which overpayment or duplicate payment was made or for which funds are owed back for any other reason, the sub-recipient will forfeit the funds.

EXCEPTION TO THE POLICY

If there is an extenuating circumstance that would prevent a recipient organization from adhering to this policy, the authorized representative must request an exception to the policy in writing to the IEMA Director or ITTF Chair or his/her designee immediately upon the discovery of the overpayment.

EFFECTIVE DATE OF THE POLICY

This policy is effective as of November 16, 2009.

Pat Quinn, Governor
State of Illinois



Joseph Klinger
Homeland Security Advisor

Mike Chamness - Chair
Illinois Terrorism Task Force

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ITTF POLICY STATEMENT 2010 (2)

TO: U.S. Department of Homeland Security, Federal Preparedness Fund Sub-recipients

FROM: Mike Chamness, Chair
Illinois Terrorism Task Force

DATE: June 18, 2010

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Sub-Recipient Monitoring
(to supersede ITTF Policy Statement 2009 (5))

INTRODUCTION

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of federal preparedness grants. The task force continues to build upon a strong foundation of established working partnerships among its over 60 members, which represent all public safety agencies and associations and every community in Illinois.

GENERAL POLICY STATEMENT

A recipient of ITTF grant funding (referred to as sub-recipient) has full responsibility for the conduct of the project or activity supported and for the results achieved. The sub-recipient must monitor the performance of its project to assure adherence to performance goals, time schedules or other requirements as appropriate to the project or the terms of the grant agreement or interagency agreement issued by the ITTF. The sub-recipient is responsible for monitoring the activities and pass-through requirements of its sub-recipients.

It is the ITTF's policy to provide necessary involvement between itself and the sub-recipient in the performance of a project to ensure the achievement of programmatic objectives approved by the ITTF consistent with the Illinois homeland security strategy and to ensure conformance with requirements of the federal grant guidance, appropriate state

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requirements, ITTF policies, and terms and conditions of the grant agreement or interagency agreement.

Sub-recipient monitoring is a process whereby the programmatic progress and financial and business management aspects of a financial assistance award are reviewed by assessing information as outlined in the ITTF Sub-Recipient Monitoring Plan. The ITTF requires financial assistance sub-recipients to have adequate management systems to ensure that project objectives are met and funds are spent and accounted for properly. To the extent possible, financial assistance award monitors rely on the management systems of the financial assistance sub-recipients to meet project objectives, comply with award terms and conditions, and account for funds. As outlined in grant guidance, the Urban Area Working Group is responsible for coordinating the development and implementation of all program initiatives in the defined Urban Area.

ITTF SUB-RECIPIENT MONITORING PLAN

To ensure the sub-recipient achieves programmatic objectives approved by the ITTF consistent with the Illinois homeland security strategy and to ensure conformance with requirements of the federal grant guidance, appropriate state requirements, ITTF policies, and terms and conditions of the grant agreement or interagency agreement, the ITTF has established the following sub-recipient monitoring plan for all financial assistance awardees:

▶ Contact Information of Authorized Representative for Sub-recipient

Each sub-recipient is required to provide the ITTF with detailed contact information for its authorized representative. This information includes the individual's name, title, mailing address, phone number, fax number, and email address. The sub-recipient is required to update this information as changes occur. At least annually throughout the period of performance, the ITTF will verify the information for the authorized representative.

▶ On-going Technical Assistance and Communication

The ITTF Program Manager for the each U.S. Department of Homeland Security (DHS) grant regularly provides technical support and guidance to sub-recipients via telephone, email, on-site visits and/or participation in sub-recipient conferences/organizational meetings to ensure compliance with federal and state programmatic requirements. In addition, each ITTF committee provides a verbal and written status report for programmatic activities for which their committee recommended funding at the ITTF monthly meetings. Each ITTF committee also develops an annual written report on programmatic activities overseen by the committees. The ITTF Program Manager will have more frequent contact with sub-recipients if it is determined there may be a problem with their compliance with the terms of the grant agreement or interagency agreement (legal obligation between the Illinois Emergency Management Agency (IEMA) and sub-recipient).

▶ Pre-reimbursement Review

IEMA provides funds to sub-recipients on a reimbursement basis only. This means the sub-recipient must have already incurred the expense and submitted to IEMA proper documentation (complete vendor invoice), which is immediately audited for adherence to federal and state rules and regulations that govern the grant program before any funds are drawn from the U.S. Treasury and payment issued.

▶ On-site Programmatic Reviews

Throughout the period of performance, the ITTF will conduct internal programmatic reviews of all documentation submitted to ensure the sub-recipient is complying with the terms of the grant agreement or interagency agreement. The ITTF also will conduct on-site monitoring visits of sub-recipients as necessary to ensure they have policies and procedures for compliance with OMB Circular A-133, property control, federal Financial Management Guide, and 44 CFR 13.

▶ On-site Physical Inventory

Sub-recipients are required to maintain proper records on the acquisition and management of property. Annually, sub-recipients are required to submit an inventory report for all equipment purchased with federal homeland security funds. Regional IEMA staff or other staff designated by the ITTF will conduct site visits to ensure the accuracy of the documentation submitted.

▶ Submission of Bi-Annual Strategy Implementation Report (BSIR)

Upon request throughout the stated performance period, sub-recipients will submit to the ITTF documentation to support the submission of BSIR. The documentation must include, at a minimum, the amount of funding received, obligated and expended for activities outlined in the Scope of Work, Discipline Allocation Worksheet, and Project Metric Worksheet.

▶ Review of A-133 Single Audits

IEMA will ensure that sub-recipients are in compliance with the audit requirements as set forth in OMB Circular A-133 for sub-recipients of the ITTF through IEMA. OMB Circular A-133 requires that, as of their 2005 fiscal year, any state or local government or not-for-profit agency that expends more than \$500,000 from federal sources must have a Single Audit completed by an independent auditing firm. The ITTF grant agreement or interagency agreement states the funds received are federal and that the requirements of OMB Circular A-133 apply. Correspondence will be sent by IEMA to sub-recipients that fail to comply with submission deadlines. IEMA will ensure that sub-recipient have adequately resolved any audit findings in accordance with federal and state requirements.

▶ Monitoring of National Incident Management System (NIMS) Compliance

Sub-recipients are required to fully implement all current NIMS compliance activities in accordance with Homeland Security Presidential Directive 5 (HSPD-5), *Management of Domestic Incidents* and related compliance documentation provided by the Secretary of Homeland Security and State of Illinois. The sub-recipient grant agreement or interagency agreement requires that compliance documentation is on file with IEMA. IEMA also will annually verify the NIMS compliance status of all prospective sub-recipients.

▶ Validation of Statewide Interoperable Response Teams

The ITTF or its designee will monitor the capability and validate the readiness of statewide interoperable response teams by periodically conducting comprehensive Homeland Security Exercise and Evaluation Program (HSEEP) compliant exercises. The goals and objectives for the validation will be derived from components of courses that were required for team certification by the ITTF Training Committee. Illinois developed the team validation concept in 2007 to certify the readiness and capabilities of Illinois' fire service technical rescue

teams. The ITTF will maintain HSEEP-required after-action reports and accompanying improvement plans for all team validations in a centralized location.

METHODOLOGY FOR SELECTION OF SUB-RECIPIENTS FOR ON-SITE MONITORING

According to OMB Circular A-133, a pass-through entity is required to monitor the activities of sub-recipients as necessary to ensure that federal awards are used for authorized purposes in compliance with laws, regulations, and the provisions of contracts or grant agreements and that performance goals are achieved.

The ITTF has developed the following methodology to select which sub-recipients will be monitored on-site each state fiscal year.

1. Sub-recipients whose Single Audits resulted in findings related to the disbursement of federal preparedness funds received through IEMA.
2. Sub-recipients whose jurisdictional Single Audit was submitted over 90 days late to IEMA.
3. Based on sub-recipients' expenditures of federal preparedness funds during the prior state fiscal year. IEMA will perform on-site monitoring of major programs that receive over \$100 thousand in federal preparedness funds through IEMA.
4. Random sampling from among sub-recipients not meeting the criteria of items 1, 2 or 3 that have received prior federal preparedness funds and purchased equipment requiring a physical inventory.

Once the list of sub-recipients to be monitored on-site is established, a sub-recipient monitoring schedule will be developed. The schedule will include the jurisdiction, month of the monitoring visit, and the type of on-site monitoring to be performed.

EFFECTIVE DATE OF POLICY

This policy is effective as of July 1, 2010.

Pat Quinn, Governor
State of Illinois



Joseph Klinger
Homeland Security Advisor

Mike Chamness - Chair
Illinois Terrorism Task Force

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ITTF POLICY STATEMENT 2010 (4)

TO: U.S. Department of Homeland Security, Federal Preparedness Fund
Sub-recipients

FROM: Mike Chamness, Chair
Illinois Terrorism Task Force 

DATE: August 24, 2010

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Grant Closeout
Procedures

INTRODUCTION

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of federal preparedness grants. The task force continues to build upon a strong foundation of established working partnerships among its over 60 members, which represent all public safety agencies and associations and every community in Illinois.

BACKGROUND

Within 90 days of the end of the period of performance for U.S. Department of Homeland Security (DHS) Federal Preparedness Grants, the ITTF is responsible for submitting to DHS a final Financial Status Report (FSR) and final Categorical Assistance Progress Report (CAPR) detailing all accomplishments throughout the project. In order for the ITTF to fulfill these requirements, federal preparedness fund sub-recipients must follow the procedures outlined in this policy statement.

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GENERAL POLICY STATEMENT

It is the policy of the ITTF that sub-recipients submit a final Budget Detail Worksheet (also known as Attachment A) and a final Discipline Allocation Worksheet (also known as Attachment B) within 30 days after the expiration of the Grant Agreement. For Grant Agreements executed after July 1, 2010, sub-recipients also must submit a final Project Implementation Worksheet (also known as Attachment C), in addition to the Budget Detail Worksheet and final Discipline Allocation Worksheet, within 30 days.

If a sub-recipient needs additional time to complete programmatic activity approved by the ITTF, the sub-recipient must contact the ITTF in writing before the end of the stated grant performance period to request a performance period extension. If approved, the ITTF will issue a Grant Adjustment Notice to provide additional time to complete the programmatic work.

In addition, the sub-recipient should immediately notify the ITTF in writing prior to the end of the expiration of the Grant Agreement if any of the following situations exist:

- all programmatic activities have been completed and any obligated and/or unexpended funds exist (if so, an estimate of the balance must be included); and/or
- all programmatic activities have been completed, but additional time is needed to obtain final invoices from the vendor.

REDIRECTION OF FUNDING

The ITTF reserves the right to redirect, in accordance with program guidance, all funds that remain unexpended 30 days after the expiration of the Grant Agreement unless notified in writing that any of the situations listed in the General Policy Statement exist.

EFFECTIVE DATE OF POLICY

This policy is effective as of August 24, 2010.

Jonathon E. Monken
Homeland Security Advisor



Don Kauerauf – Acting Chair
Illinois Terrorism Task Force

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ITTF POLICY STATEMENT 2011 (3)

TO: U.S. Department of Homeland Security, Federal Preparedness Fund Sub-recipients

FROM: Don Kauerauf, Acting Chair
Illinois Terrorism Task Force

DATE: May 24, 2011

SUBJECT: Illinois Terrorism Task Force Policy Statement Regarding Submission of Reimbursement Requests [to supersede ITTF Policy Statement 2007 (1)]

INTRODUCTION

Governor's Executive Order 2003 (17) created the statewide homeland security advisory committee, the Illinois Terrorism Task Force (ITTF). The ITTF is responsible for developing and helping to implement the state's homeland security strategy as an advisory body to the Governor and overseeing the management and administration of federal preparedness grants. The task force continues to build upon a strong foundation of established working partnerships among its over 60 members, which represent all public safety agencies and associations and every community in Illinois.

GENERAL POLICY STATEMENT

It is the policy of the ITTF to expeditiously process reimbursement requests from sub-recipients for expenses incurred as a result of homeland security preparedness activities they conduct in accordance with the terms and conditions of their Grant Agreement or Interagency Agreement with the ITTF.

DEADLINE TO SUBMIT REQUESTS FOR REIMBURSEMENT OF EXPENSES

All requests for reimbursement of federal preparedness funds administered by the ITTF, as well as invoices and supporting documentation required by ITTF Policy or Program Guidance, must be received by the ITTF office, located at 2200 South Dirksen Parkway, Springfield, Illinois, no later than 60 days after the expense was incurred or the date on the invoice. For training

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reimbursement requests, documentation must be received by the ITTF within 60 days of the completion of the course. If additional documentation is required for payment, such documentation must be provided by the sub-recipient upon the request of the ITTF. Failure to submit a timely invoice and/or additional documentation may result in the reimbursement request being denied payment.

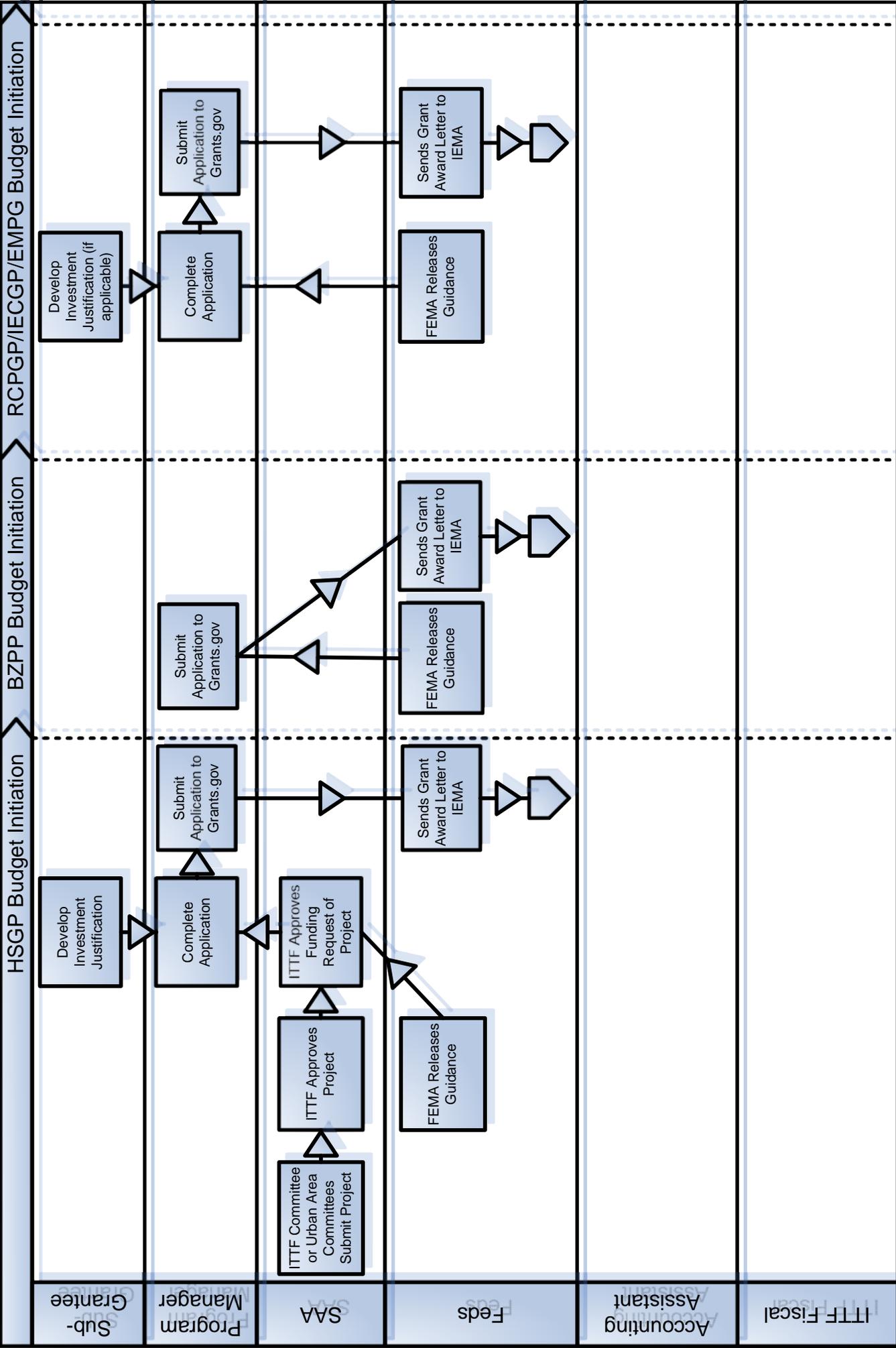
EXCEPTION TO THE POLICY

If there is an extenuating circumstance that would prevent an entity from submitting its reimbursement request according to this policy, the entity must request in writing to the ITTF Chair an exception to this policy no later than 60 days after the expense was incurred, regardless of the date listed on the invoice/reimbursement documentation.

EFFECTIVE DATE OF POLICY

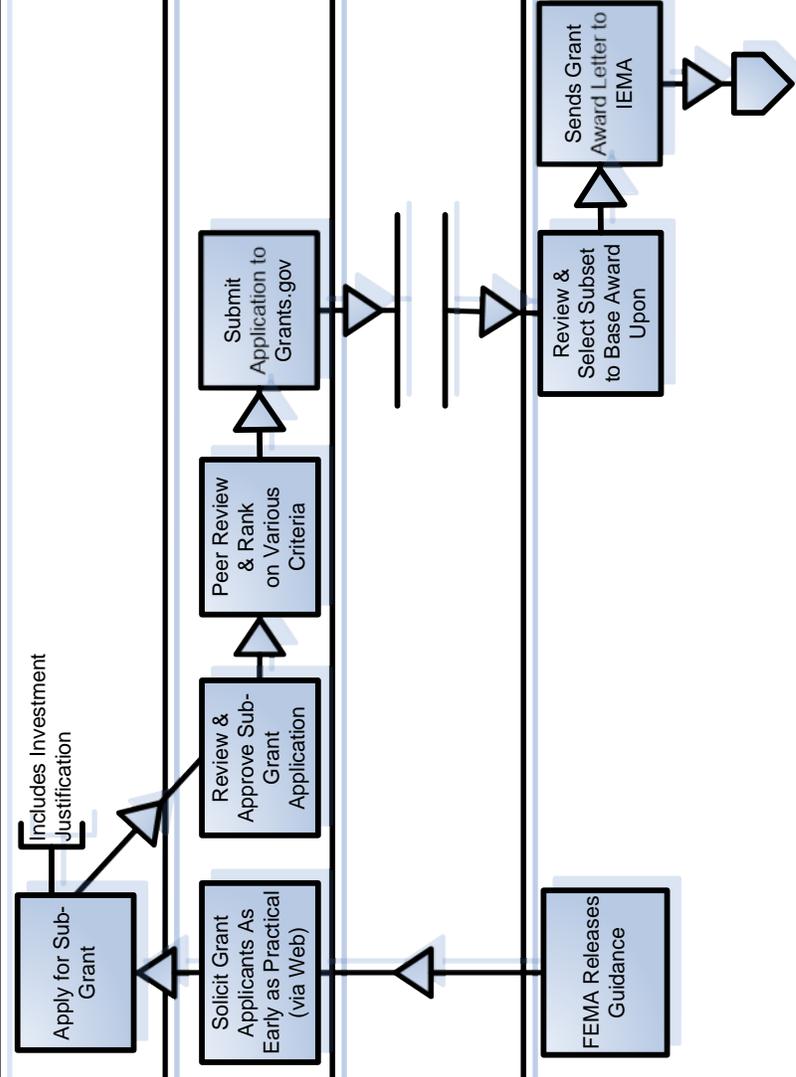
This policy is effective for all grants open as of June 1, 2011, and for all grants executed on or after June 1, 2011.

Grant Management – Budget (Initiation)



Grant Management – Budget (Initiation)

EOC/NSGP Budget Initiation



Sub-Grantee

Program Manager

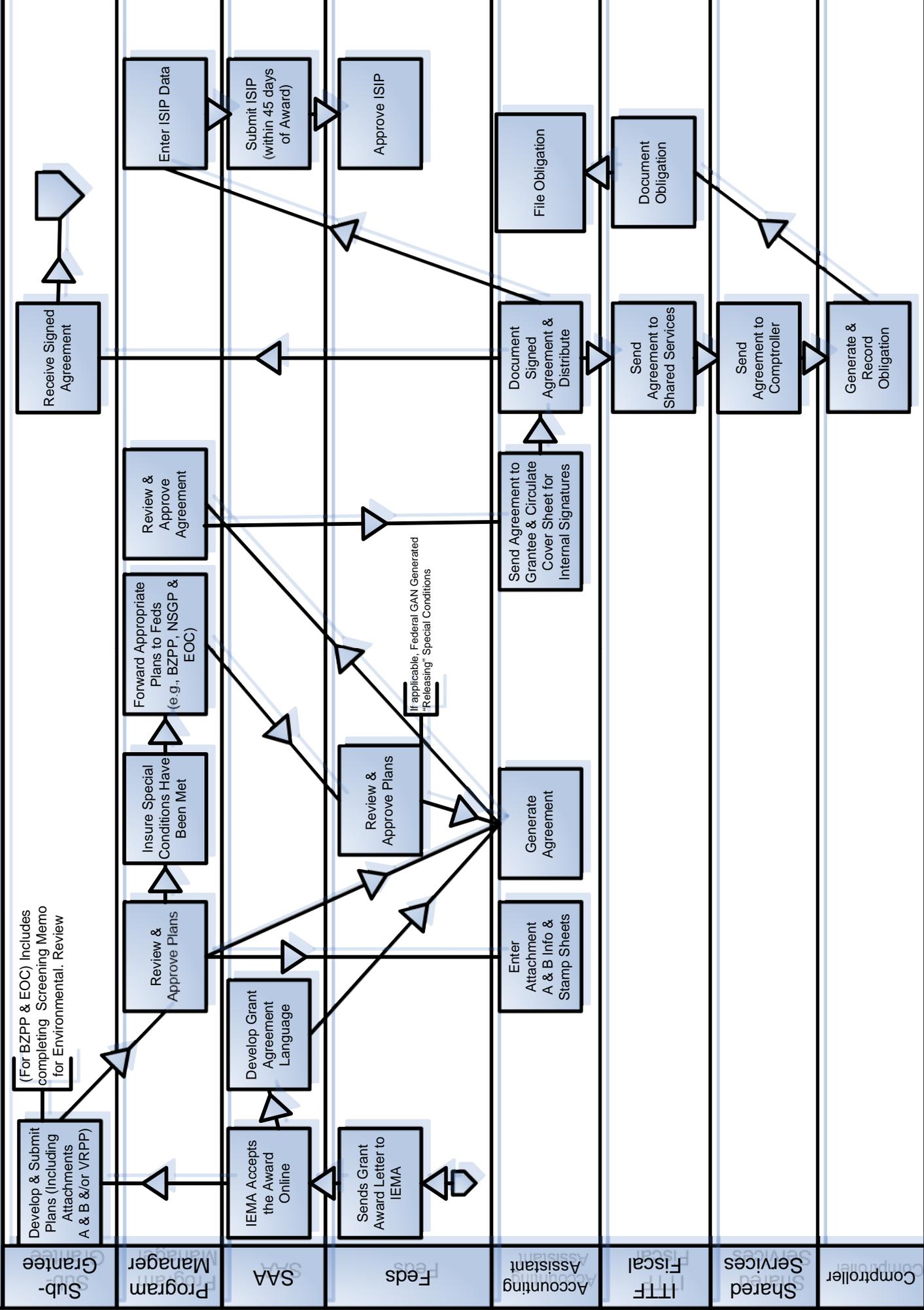
SAA

Feds

Accounting Assistant

ITTF Fiscal

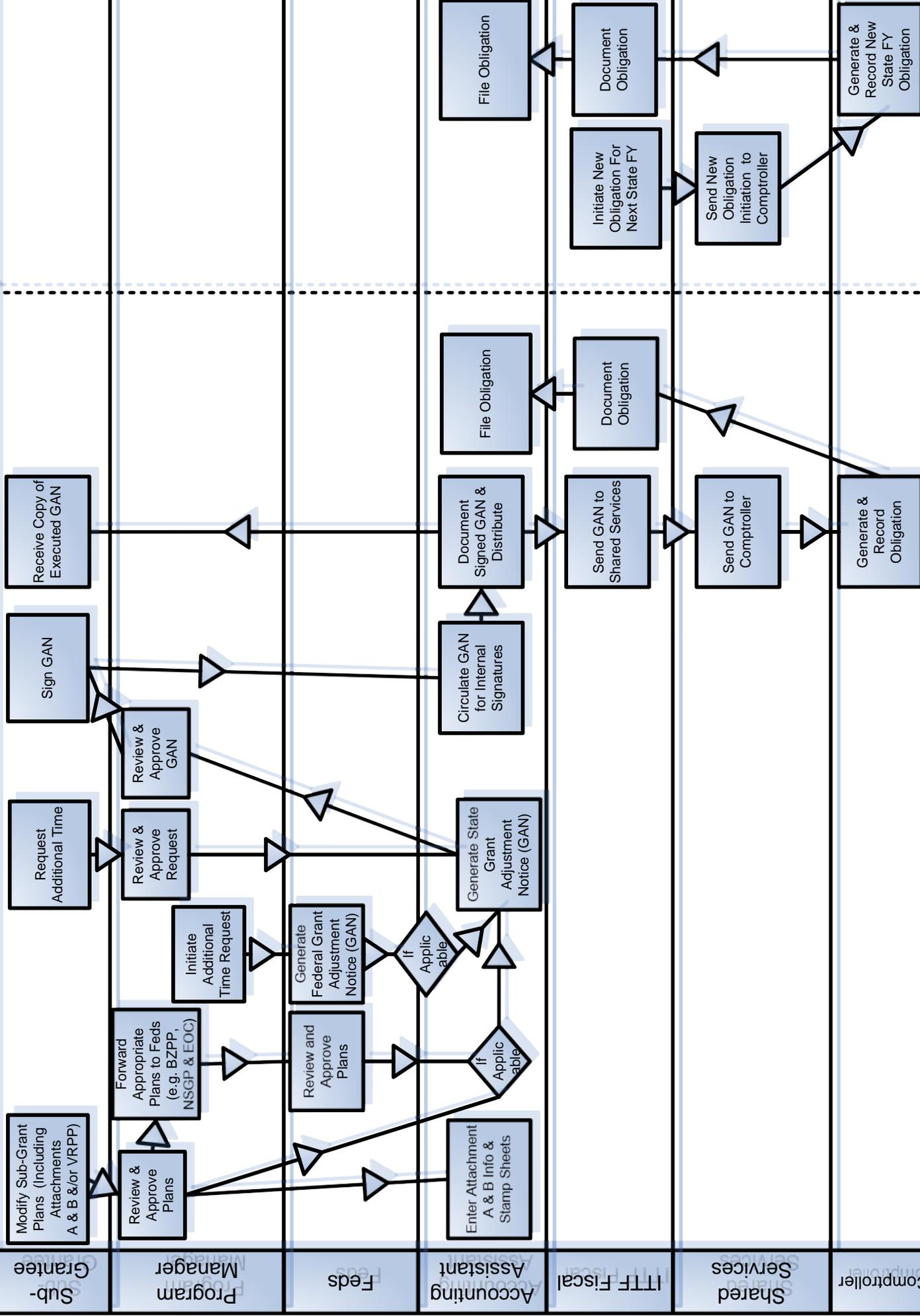
Grant Management – Budget (Initiation)



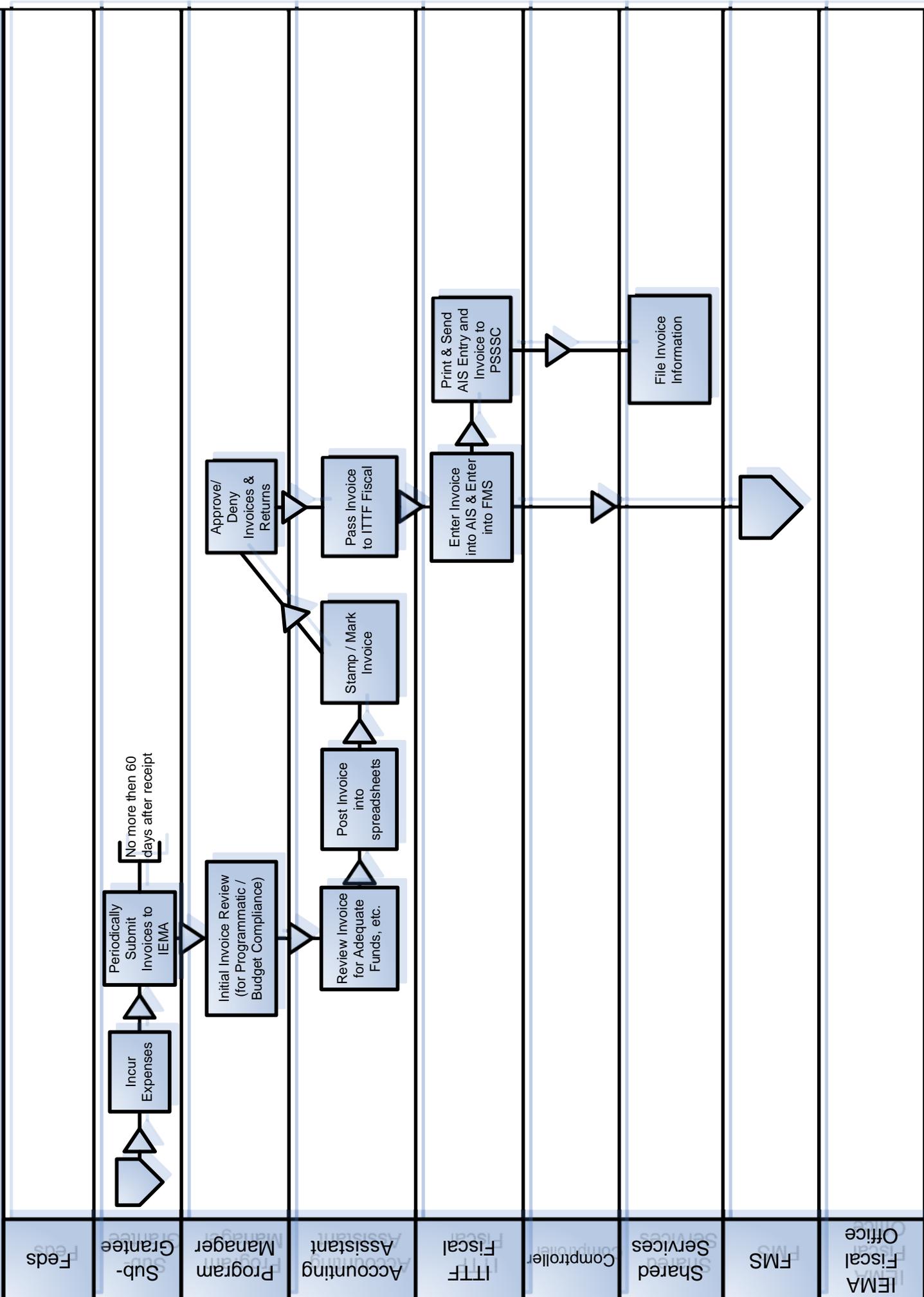
ITTF Grant Management – Budget (Ongoing)

New State FY Obligation

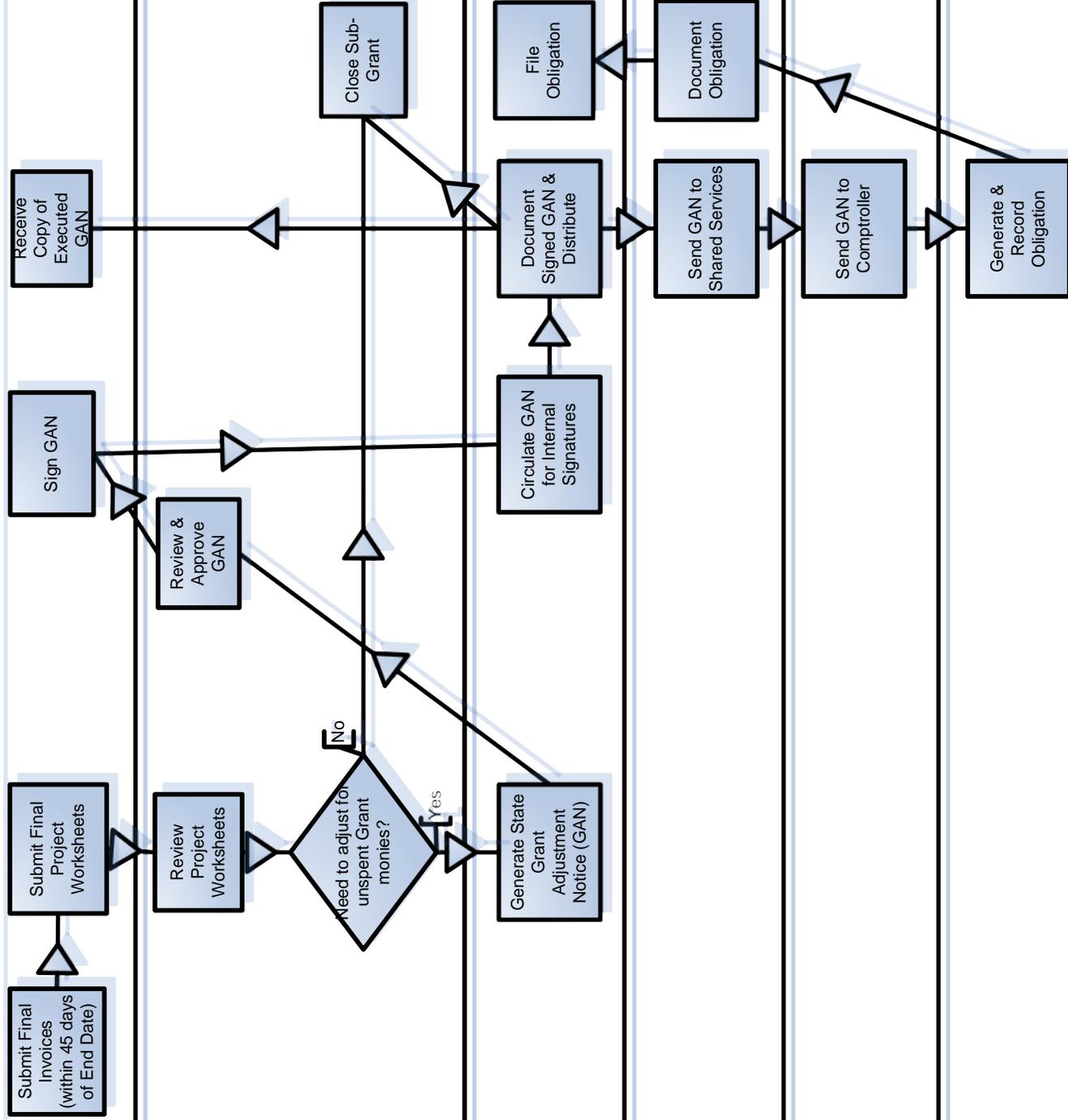
Modified Plans or Requested Additional Time



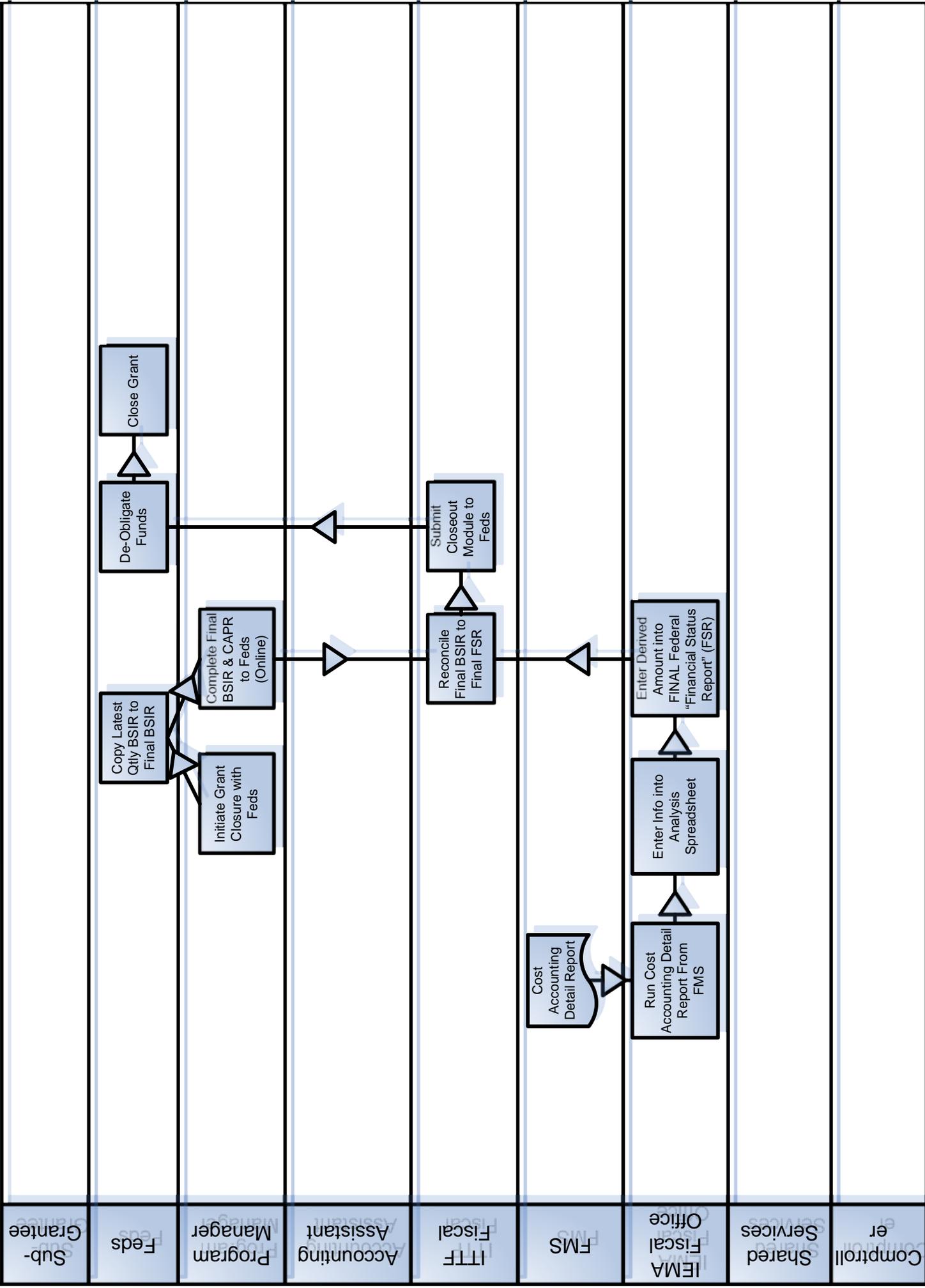
ITTF Grant Management – Expenditure (Part 1)



ITTF Grant Management – Sub-Grant Closeout



ITTF Grant Management – Grant Closeout

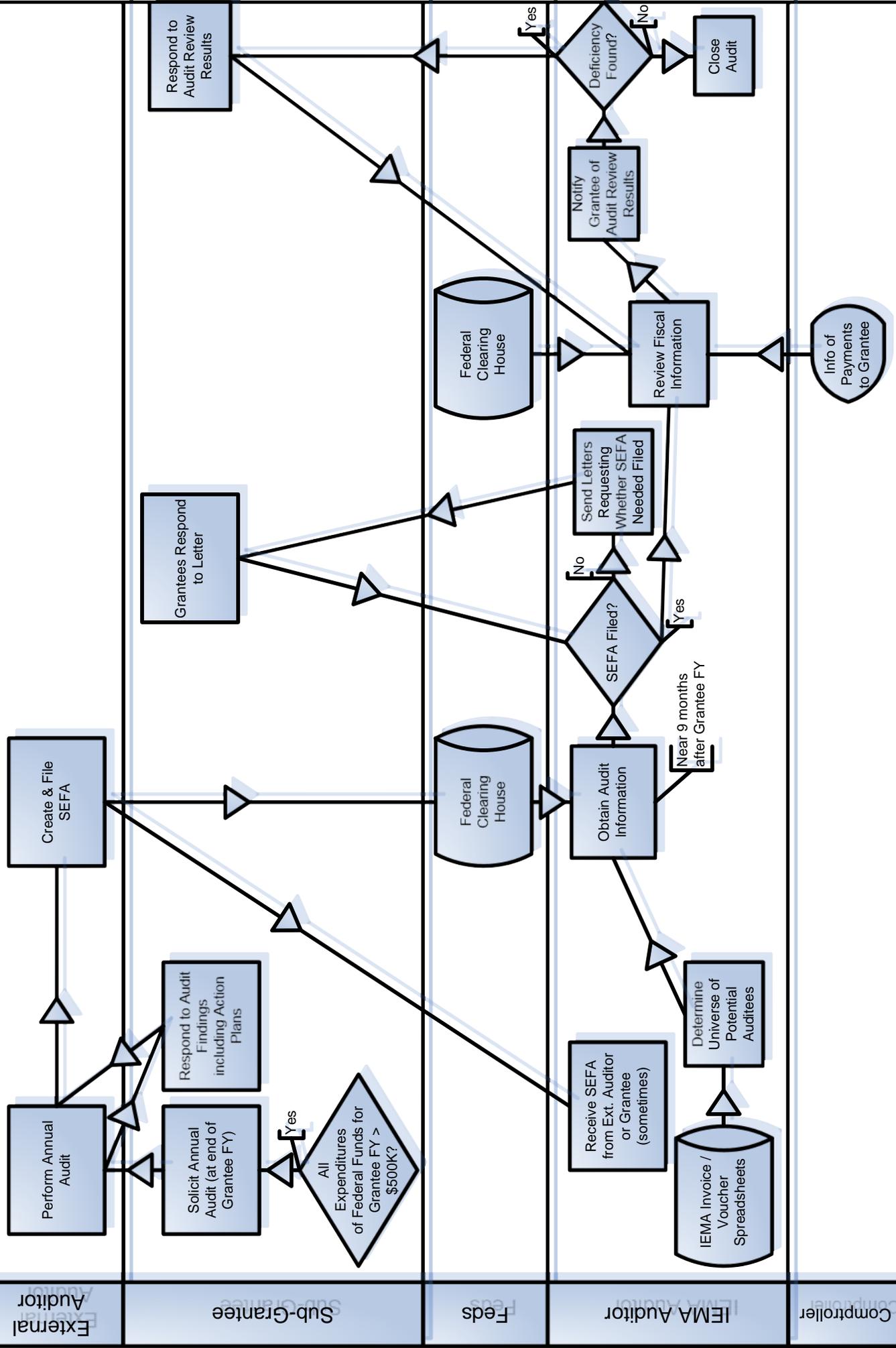


ITTF Grant Management – Monthly / Quarterly / Bi-Annual Processes

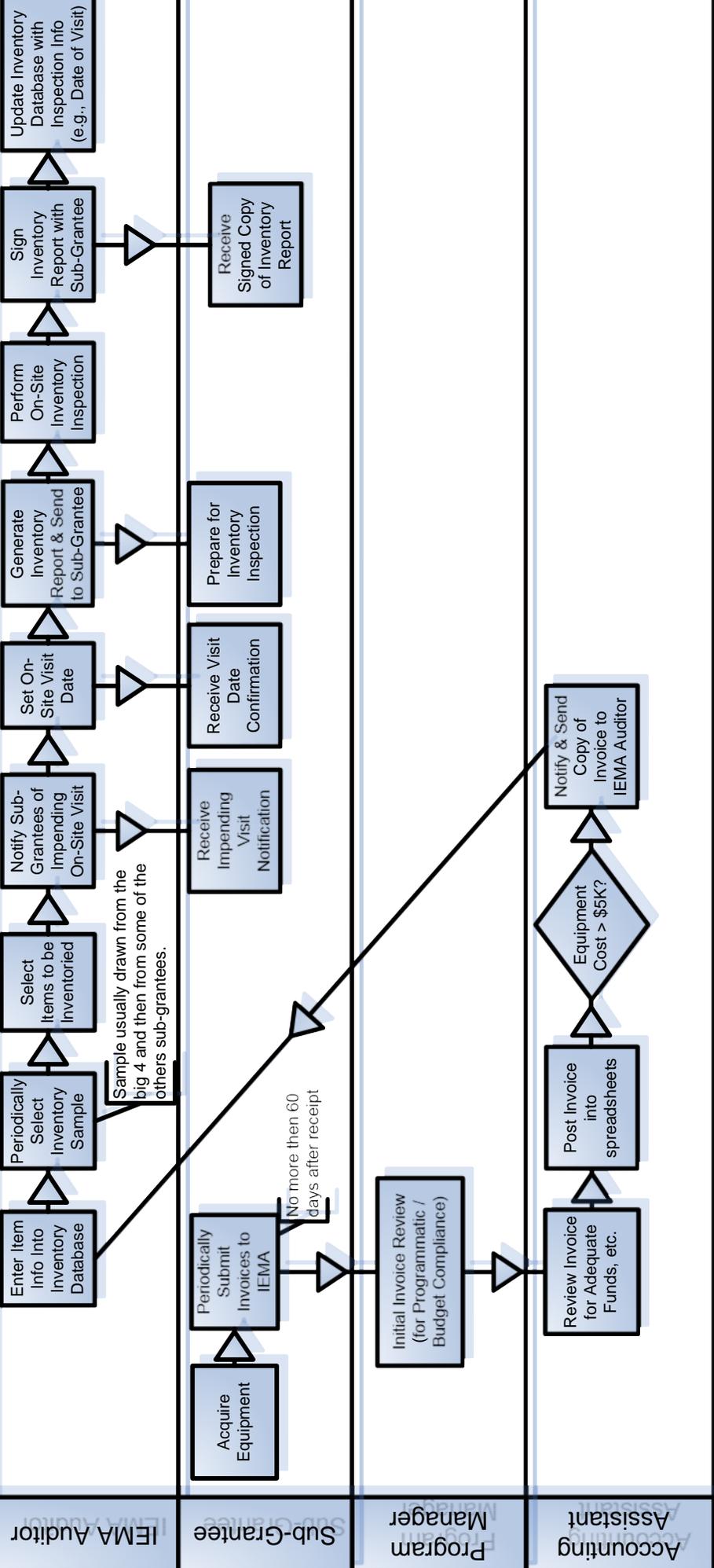
	Monthly Processing	Quarterly Processing	Bi-Annual
Sub-Grantee			
Feds			
Program Manager	<p>Monthly Reconciliation of Budget to ITTF Fiscal</p>	<p>Quarterly EMPG Project Outline</p>	<p>Submit BSIR & CAPR to Feds (Online)</p>
Accounting Assistant	<p>Monthly Reconciliation of Vouchers to ITTF Fiscal</p>		
ITTF Fiscal			
Comptroller			
Shared Services			
FMS			
ITTF Fiscal Office	<p>Monthly Reconciliation to ITTF Fiscal Grant Spreadsheets</p>	<p>Run Cost Accounting Detail Report From FMS</p> <p>Enter Info into Analysis Spreadsheet</p> <p>Enter Derived Amount into Federal "Financial Status Report"</p>	



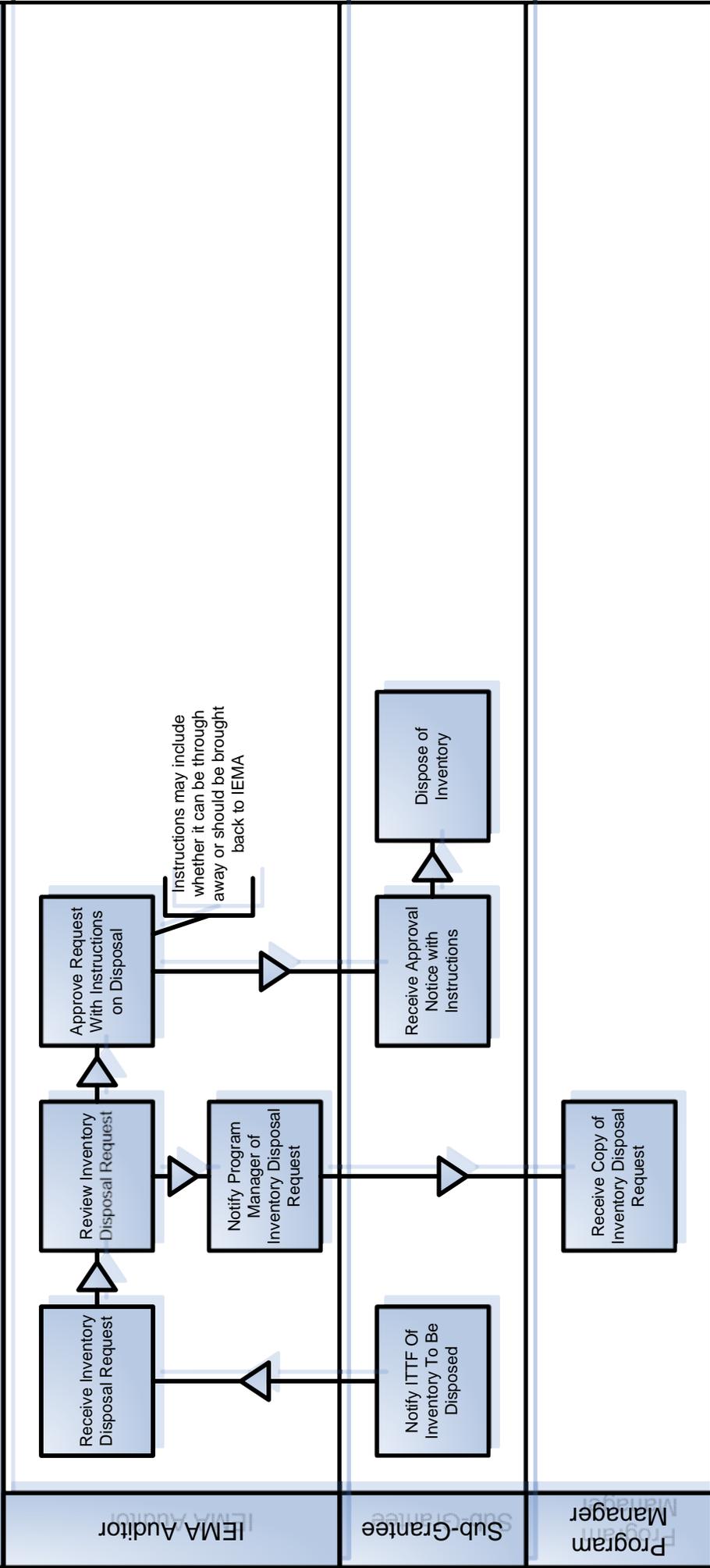
Single Audit Reviews



Inventory Audits



Property Disposal Process



Grant Name:
 Amount of Grant:
 Grant Year:

Grantee:														
Category Number/Name	Item Description	AMT	Unit Price	Total Price	Vendor	Serial Number	Tag Number	Acquisition Date	Disposition Date	Location or Hand Receipt	Discipline	Inspection	Condition Comments	
												Located		Date
												Yes / No		
												Yes / No		
												Yes / No		
												Yes / No		
				\$0.00								Yes / No		

Total \$0.00

Location of Equipment:

Organization

Address

City, State Zip Code

Illinois Terrorism Task Force Use Only:

Authorized Signature

Date of Inspection

Certification:

I certify that the equipment listed on this form is in good working order and is located at this location as of the date listed below. Equipment is tangible non-expendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

Authorized Signature

Date

Acronyms and Abbreviations

AHIMT	- All Hazard Incident Management Team
ALERRT	- Advanced Law Enforcement Rapid Response Training
APR	- Air Purifying Respirator
ASIS	- American Society for Industrial Security
ATA	- American Truckers Association
BNSF	- Burlington Northern and Santa Fe Railway
BOMA	- Building Owners and Managers Association
BZPP	- Buffer Zone Protection Plan
CAD	- Computer Aided Dispatch
CAPS	- Chicago Alternative Police Strategy
CART	- Combined Agency Response Team
CASM	- Communications Assets Survey and Mapping
CBD	- Central Business District
CBRNE	- Chemical, Biological, Radiological, Nuclear, or High-Yield Explosive
CCTV	- Closed Caption Television
CDC	- Centers for Disease Control and Prevention
CDP	- Center for Domestic Preparedness
CERFP	- CBRNE Enhanced Response Force Package
CERT	- Community Emergency Response Team
CFD	- Chicago Fire Department
CHF	- Computerized Hot Files
CHRIS	- Criminal History Records Information System
CIA	- Central Intelligence Agency
CIKR	- Critical Infrastructure and Key Resources
CIRCOM	- Critical Incident Response Command
CMS	- Central Management Services
COG	- Councils of Government
COML	- Communications Unit Leader
COOP	- Continuity of Operations Plan
CPD	- Chicago Police Department
CPIC	- Crime Prevention and Information Center
CPPP	- Community Preparedness Planning Process
CPSJ	- Center for Public Safety and Justice
CRI	- Cities Readiness Initiative
CSEPP	- Chemical Stockpile Emergency Preparedness Plan
CST	- Civil Support Team
CSTF	- Campus Security Task Force
CTA	- Chicago Transit Authority
DHS	- Department of Homeland Security
DMAIL	- Department of Military Affairs of Illinois
DWH	- Data Warehouse
EAS	- Emergency Alert System
EMA	- Emergency Management Agency
EMAC	- Emergency Management Assistance Compact
EMnet	- Emergency Management network
EMS	- Emergency Medical Services
EMSC	- Emergency Medical Services for Children
EOC	- Emergency Operations Center
EOP	- Emergency Operations Plan
ERT	- Emergency Response Team

ERT: BC	-	Emergency Response to Terrorism: Basic Concepts
ESDA	-	Emergency Services and Disaster Agency
ESF	-	Emergency Support Function
FBI	-	Federal Bureau of Investigation
FDA	-	Food and Drug Administration
FERP	-	Food Emergency Response Plan
FEMA	-	Federal Emergency Management Agency
FHWA	-	Federal Highway Administration
FIMS	-	Facility Incident Management System
FLETC	-	Federal Law Enforcement Training Center
FLIR	-	Forward Looking InfraRed systems
FRAC	-	First Responder Authentication Card
FUSA	-	First U.S. Army
GIC	-	Gang Intelligence Coordinator
GIS	-	Geographic Information System
GPS	-	Global Positioning System
HAZMAT	-	Hazardous Material
HIDTA	-	High Intensity Drug Trafficking Area
HSIN	-	Homeland Security Information Network
HURT	-	Heavy Urban Rescue Team
IACP	-	Illinois Association of Chiefs of Police
IBHE	-	Illinois Board of Higher Education
I-CASE	-	Incident/Case report module
ICCB	-	Illinois Community College Board
ICLEA	-	Illinois Campus Law Enforcement Administrators
I-CLEAR	-	Illinois Citizen and Law Enforcement Analysis and Reporting system
ICRI	-	Illinois Cities Readiness Initiative
ICS	-	Incident Command System
IDM	-	Identity Management
IDOA	-	Illinois Department of Agriculture
IDOC	-	Illinois Department of Corrections
IDOT	-	Illinois Department of Transportation
IDOT-A	-	Illinois Department of Transportation – Aeronautics
IDOT-H	-	Illinois Department of Transportation – Highways
IDPH	-	Illinois Department of Public Health
IECGP	-	Interoperable Emergency Communications Grant Program
IEMA	-	Illinois Emergency Management Agency
IEMMAS	-	Illinois Emergency Management Mutual Aid System
IESMA	-	Illinois Emergency Services Management Association
IFSI	-	Illinois Fire Service Institute
IHF	-	Illinois Hot Files
IJIS	-	Illinois Integrated Justice Information Systems
ILEAS	-	Illinois Law Enforcement Alarm System
ILERT	-	Illinois Livestock Emergency Response Tool
ILETSB	-	Illinois Law Enforcement Training and Standards Board
ILNG	-	Illinois National Guard
IMERT	-	Illinois Medical Emergency Response Team
IML	-	Illinois Municipal League
IMT	-	Incident Management Team
INVENT	-	Illinois Nurses Volunteer Emergency Needs Team
IPC	-	Illinois Poison Center
IPHMAS	-	Illinois Public Health Mutual Aid System

IPRA	- Illinois Plan for Radiological Accidents
IPS	- Illinois Pharmaceutical Stockpile
IPWMAN	- Illinois Public Works Mutual Aid Network
IREACH	- Illinois Radio Emergency Assistance Channel
IRF	- Initial Reaction Force
ISA	- Infrastructure Security Awareness
ISBE	- Illinois State Board of Education
ISP	- Illinois State Police
ISSTF	- Illinois Seismic Safety Task Force
ITC	- ILEAS Training Center
ITECS	- Illinois Transportable Emergency Communications Systems
ITERT	- Illinois Telecommunications Emergency Response Teams
ITTF	- Illinois Terrorism Task Force
IVERT	- Illinois Veterinary Emergency Response Team
IWIN	- Illinois Wireless Information Network
JHAT	- Joint Hazard Assessment Team
JOC	- Joint Operations Center
JTTF	- Joint Terrorism Task Force
LEADS	- Law Enforcement Agencies Data System
LMS	- Learning Management System
MABAS	- Mutual Aid Box Alarm System
MAMA-C	- Mid-America Mutual Aid Consortium
MAR²N	- Mutual Aid Response/Resource Network
MDC	- Mobile Data Computer
MERCI	- Medical Emergency Response Communications of Illinois
MRC	- Medical Reserve Corps
MST	- Mobile Support Team
MVU	- Mobile Ventilation Unit
NCBRT	- National Center for Biomedical Research and Training
NCIC	- National Crime Information Center
NCSA	- National Center for Supercomputing Applications
NFPA	- National Fire Protection Association
NG	- National Guard
NIBRS	- National Incident Based Reporting System
NICU	- Neonatal Intensive Care Unit
NIMS	- National Incident Management System
NIOSH	- National Institute for Occupational Safety and Health
NIPAS	- Northern Illinois Police Alarm System
NIPSTA	- Northern Illinois Public Safety Training Agency
NLETS	- National Law Enforcement Telecommunications System
NOAA	- National Oceanic and Atmospheric Administration
NRC	- Nuclear Regulatory Commission
NRP	- National Response Plan
NTTF	- National Terrorism Task Force
NVS	- National Veterinary Stockpile
OCT	- Office of Counter Terrorism
ODP	- Office for Domestic Preparedness
OEMC	- Office of Emergency Management and Communications
ORE	- Operational Readiness Exercise
OSHA	- Occupational Safety and Health Administration
OSFM	- Office of the State Fire Marshal

OVS	- Operation Virtual Shield
PKI	- Public Key Infrastructure
PNG	- Private and Nongovernmental Committee
POC	- Proof-of-Concept
PPE	- Personal Protective Equipment
PPERS	- Private Provider Emergency Response System
PRD	- Personal Radiation Detector
PSA	- Public Service Announcement
PSAP	- Private Sector Alliance Project
PSAP	- Public Safety Answering Point
PSIC	- Public Safety Interoperable Communications
QRF	- Quick Reaction Force
RAID	- Reconnaissance and Aerial Interdiction Detachment
RCT	- Regional Containment Team
RDD	- Radiological Dispersal Devices
RDS	- Regional Distribution Sites
RFP	- Request for Proposal
RHIDE	- Response Handbook for Incidents, Disasters and Emergencies
RIID	- Radio-isotope Identification Detector
RSS	- Receiving, Staging and Shipping
RTC	- Regional Training Center
SABER	- Sounding of the Atmosphere using Broadband Emission of Radiometry
SAME	- Specific Area Message Encoding
SCBA	- Self Contained Breathing Apparatus
SCUBA	- Self Contained Underwater Breathing Apparatus
SCIP	- Statewide Communications Interoperability Plan
SEOC	- State Emergency Operations Center
SIEC	- Statewide Interoperability Executive Committee
SLATT	- State and Local Anti-Terrorism Training
SLGCP	- State and Local Government Coordination and Preparedness
SNS	- Strategic National Stockpile
SOP	- Standard Operating Procedure
SOS	- Secretary of State
SPEEDS	- Special Purpose Event Expedient Decontamination System
SRT	- Special Response Team
Starcom21	- Statewide Radio Communications for the 21 st Century
STIC	- Statewide Terrorism and Intelligence Center
STR	- Strategic Technology Reserve
SWAT	- Special Weapons and Tactics
SWIC	- Statewide Interoperability Coordinator
SWMD	- State Weapons of Mass Destruction
SWMDT	- State Weapons of Mass Destruction Team
TICP	- Tactical Interoperable Communications Plan
TDM	- Travel Demand Management
TOPOFF	- Top Official
TRT	- Technical Rescue Team
UASI	- Urban Area Security Initiative
UAWG	- Urban Area Working Group
UCP	- Unified Command Post
UPS	- Uninterruptible Power Supplies

- US&R** - Urban Search and Rescue
- VACIS** - Vehicle and Cargo Inspection System
- VDCT** - Volunteers and Donations Coordination Team
- VIPS** - Volunteers in Police Service
- VISTA** - Volunteers in Service to America
- VMST** - Volunteer Management Support Team
- VOAD** - Voluntary Organizations Active in Disaster
- VPN** - Virtual Private Network

- WMD** - Weapons of Mass Destruction