

Southeast Region All-Hazards Board

Fiscal Agent Operating Procedures Handbook

Revised: April 12, 2016



The purpose of this handbook is to outline the roles, responsibilities, procedures and steps required to order and receive equipment/services under the State Homeland Security Grant Program (SHSP)

(1) Introduction

Purpose

The purpose of this handbook is to outline the roles, responsibilities, procedures and steps required to order and receive equipment/services under the State Homeland Security Grant Program (SHSP).

Background

Execution of the SHSP requires the Southeast Region All-Hazards Board (SERAHB) to appoint an existing governmental body to serve as the Southeast Region's (SER) Fiscal Agent. This appointment provides legal sufficiency for the execution of financial transactions involving the grant monies while also drawing upon expertise within an existing financial governmental office. The Baca County Government (Baca County) has been designated as the SERAHB's Fiscal Agent for the SHSP.

Fiscal Agent Procedures

Baca County is performing the Fiscal Agent service for the SERAHB. In this role, the Fiscal Agent will coordinate all operational and financial actions through the Homeland Security (HS) Coordinator. It is expected that day to day guidance will be received from the HS Coordinator and that the HS Coordinator will be the point of contact for any modifications or exceptions to the procedures outlined within this handbook. In addition, execution of financial transactions in support of grant programs will follow existing Baca County financial and purchasing policies, procedures and guidelines. The Fiscal Agent reserves the right to change and/or modify these procedures as required to be in compliance with applicable regulations. Other key references that will provide direction and guidance to Baca County while serving as the SERAHB Fiscal Agent:

Governors Office of Homeland Security 2009 Grants Management Guide

OMB Circular A-87, A-102, A-133

Details specific to OMB Circulars can be found on the OMB Website at www.whitehouse.gov/omb/circulars.

CFDA 97.067 Homeland Security Grants & 11.555 Public Safety Interoperable Communication Program

ACG Financial Policy and Procedures including Purchasing Policy

Purchasing Authority Provisions

Baca County Board of County Commissioners may designate from time to time the specific persons authorized to make purchases, or to commit monies, on behalf of the Board of County Commissioners or other Elected Officials under their budgetary authority.

Under no circumstances should a supplier, contractor or other entity or person doing business with the county or one of its employees presume authorization for payment of goods or services, unless the written payment authorization complies with any requirements and designations set out by the Board by written order.

Definitions and Acronyms

Definitions

“Equipment” means an individual item with a cost of five thousand (\$5,000) or more and a useful life greater than one year.

“Southeast Region” means the Baca County, Baca County, Prowers County, Kiowa County, Crowley County and Otero County; and the governmental and quasi-governmental jurisdictions within those counties approved by the Southeast Region, consistent with the SERAHB By-Laws that provide law enforcement, emergency medical services, emergency management, fire services, hazardous materials response, public works services or public health services.

Acronyms

“SHSP	-- State Homeland Security Grant Program
“SERAHB”	-- Southeast Region All Hazards Board
“Baca County”	-- Baca County Government
“SER”	-- Southeast Region
“HS Coordinator”	-- Homeland Security Coordinator “GOHS”
	-- Governors Office of Homeland Security
“OT/BF”	-- Overtime/Backfill Reimbursement Request
“PR”	-- Purchase Request
“PO”	-- Purchase Order
“ERF”	-- Equipment Release Form

Points of Contact	HS Coordinator	719-353-2643 or 719-353-2695
	Baca County Finance,	719-523-6532
	Baca County Commissioners,	719-523-6532

(2) Grant Timelines

Administrative Processing

Timely administrative processing of grant requests and/or actions is key to the successful execution of the Grant program. These actions include the following tasks:

Task	Responsibility
Specification of Development	Local Agencies / Committees / SERAHB
Sole Source Justification (if required)	Local Agencies / SERAHB
Request for Proposal Development	SERAHB Staff / Baca County
Bid Process	SERAHB Staff / Baca County
Review of Received Bids	SERAHB Staff / Baca County
Selection of Vendor	SERAHB Staff / Baca County
Preparation of Purchase Order	SERAHB Staff / Baca County
Receipt of Goods	SERAHB Staff
Distribution of Goods to Receiving Agencies	SERAHB Staff
Payment of Vendor	SERAHB Staff / Baca County

Key Event Timeline

The Region’s HS Coordinator and Fiscal Agent will manage each project to facilitate completion of the tasks described above in a timely manner. All agencies/jurisdictions within the SER shall adhere to established timeline and key dates. Exception or extensions to the dates established within a specific project’s timeline and milestones will be coordinated through the HS Coordinator as soon as possible.

(3) Purchasing Requisition: Inventory items

Requirements

All equipment and/or service requests will utilize a purchase order. Use of this process will ensure that all required competitive bid processes are followed as well as ensuring that all equipment/services are property accounted for during the life of the grants. SER agencies/jurisdictions will utilize the process outlined below when requesting equipment and/or services funded in the Grant award.

Purchase Order Process Flow

The following section outlines the steps required to submit a request for Purchase Order (PO). This procedure will be utilized for the majority of items ordered under the grant programs. Each step is described in detail below.

Purchase Order Process Flow

Request form (see Appendix A) received by HS Coordinator with specification(s) and justification(s).

HS Coordinator reviews and verifies that the request is within the grant guidelines.

If request is less than \$25,000, no formal solicitation is required. HS Coordinator is required to obtain 3 informal quotes.

If request is above \$25,000, formal solicitation of bids required unless, sole source request approved.

HS Coordinator selects the lowest price on quotes that meet specifications or receive an acceptable justification for a specific vendor.

If the request for a specific material exceeds 10% of the estimated budget tolerance, SERAHB, HS Coordinator and Baca County will confer to determine course of action.

If the request is within 10% of the estimated budget, the HS Coordinator will approve and prepare a purchase request.

If the Vendor is not disbarred, the HS Coordinator and Baca County will issue a PO.

Purchase Order Process Flow for Items Greater than \$25,000 (Sole Source Request)

Request form is sent to HS Coordinator with the specification(s) and sole source justification(s).

SERAHB and HS Coordinator reviews and approves/disapproves.

The Sole Source bid waiver request will be sent to the Baca County Board of County Commissioners for approval via consent agenda.

The request is greater than \$100,000 the HS Coordinator will obtain Governors Office of Homeland Security (GOHS) approval.

If the Vendor has not been debarred, the HS Coordinator and Baca County issues a PO.

State funded construction projects with an aggregate expenditure of \$150,000 or more, requires a formal solicitation of competitive bids.

(4) Receiving / Distribution of Equipment

Equipment and supplies purchased under the grants will be signed for and picked up at Baca County or designated location.

Distribution of Kits / Supplies / Equipment

HS Coordinator coordinates with acquiring Agencies for a pick up date and time.

The Receiving Agent will jointly inspect and count all items with the HS Coordinator prior to release of the supplies/equipment.

HS Coordinator will ensure that the Equipment Release Form is properly completed to include correct quantities, authorized signature and date.

Receiving / Distribution: Drop Ship Procedures

During the purchasing process, the SER Staff and the Fiscal Agent may approve/disapprove drop shipment of a designated piece of equipment.

The Vendor notifies the SER Staff of equipment shipment and expected delivery date at receiving Agency location.

SER Staff notifies the Vendor of the name of the Agency's authorized receiving agent.

SER Staff confirms a date and time for delivery with Vendor and receiving Agency.

Receiving County/Agency is responsible for obtaining proof of delivery (i.e. packing slip) from the vendor/shipping agent.

Receiving County/Agency is responsible for inspecting equipment and submitting a completed Equipment Release form to SER Staff.

If received equipment is damaged, incorrect type or incorrect quantity, the Receiving County/Agency is responsible to contact the SER Staff to determine return procedures.

If equipment is correct, Agency will submit executed Equipment Release form (Appendix B) to HS Coordinator.

(5) State and Federal Guidance for Equipment Monitoring

The SER will conduct equipment monitoring on 50% of equipment purchased with grant funding each year. The SER will extract equipment information through the Baca County Government and SER inventory schedule. SER staff will then notify the appropriate points-of-contact that they will be conducting a “site visit” to physically account for the equipment, and will provide the point-of-contact a list of equipment to be monitored, along with a copy of the Equipment Release Form (ERF) that was signed when the equipment was released to the agency from the SER warehouse.

Equipment Inventory Records must be maintained by the entity that has received equipment through the GOHS and the SERAHB. The records will include the following information:

- Description of the equipment;
- Serial number or other identification number;
- Source of the equipment;
- Identification of title holder;
- Acquisition date;
- Cost of the equipment;
- Percentage of Federal participation in the cost of the equipment;
- Location of the equipment;
- Use and condition of the equipment; and
- Disposition date, including the date of disposal and sale price

A physical inventory of the equipment must be taken and the results reconciled with the equipment records at least once every two years.

SER Process for Equipment Monitoring

Site visits may be scheduled in advance for the sole purpose of monitoring equipment, or can be accomplished through the attendance of routine functions, meetings, workshops, etc. that are taking place. With the exception of an unusual circumstance, points-of-contact will be provided with two weeks notice prior to a site visit.

The Equipment Monitoring Checklist (Appendix E) will be filled out by the SER Staff, and signed by the appropriate point-of-contact during each visit. Any discrepancies will be immediately reported to the fiscal agent as well as GOHS. A copy of the Equipment Monitoring Checklist will be provided to each point-of-contact, and the fiscal agent. The original will be placed in the SER Equipment Monitoring Folder.

Upon the completion of each calendar year’s monitoring process, the HS Coordinator will provide the fiscal agent and the SER Board with a report that will include overall findings.

SER Process for Fiscal Monitoring

Audits must be performed in accordance with Government Auditing Standards and cover the entire operations of the organization, specifically the grantee’s financial statements and Schedule of Expenditures of Federal Awards, both of which must be for the same fiscal year.

When sub-awards are made to another organization or organizations, the recipient, SER and Fiscal Agent shall require those sub-recipients comply with the audit requirements set forth in OMB Circular A-133.

SER and the Fiscal Agent are responsible for ensuring that sub-recipient audit reports are received and for resolving any audit findings. Known or suspected violations of any law encountered during audits, including fraud, theft, embezzlement, forgery, or other serious irregularities, must be communicated to the SER and the Fiscal Agent.

For sub-recipient who is not required to have an audit as stipulated in OMB Circular A-133, the recipient is still responsible for monitoring the sub-recipient's activities to provide reasonable assurance that the sub-recipient administered Federal awards in compliance with Federal requirement.

Request to Purchase Form

Southeast Region Homeland Security

Purchase Request Form

(Appendix A)

This document will serve as the REQUEST to purchase document for acquisitions within the Homeland Security Grant.

Requesting/Receiving Agencies:	Phone Number:
Receiving Agency Contact Name:	Mobile Number:
Email Address:	Fax Number:

Homeland Security Grant to be taken out of: HLSG Project # 1 2
 Grant year? 3 4

EQUIPMENT/SUPPLY DESCRIPTION (NOTE: List only materials/items from SAME VENDOR. Approved Line No. is the line number of the Homeland Security grant that this is to be taken out of.)

Grant Line No.	Make	Model / Part Number	Description	Qu	Cost	Total
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
Total Cost of Request:						\$ -

Other Information:
 List or attach at least 3 sources :
 If over \$25,000, attach at least 3 bids unless sole source request is approved:

Justification for "No Substitution" (sole brand) attached if applicable: Yes No
 Justification for Sole Source attached if applicable: Yes No

VENDOR INFORMATION – To be provided by the Requesting/Receiving Agency

Suggested Vendor:	Phone:	Fax #
Vendor Contact:	City:	Zip:
V. Internet Address:	Other Information:	

RECEIVING AGENCY REVIEW AND APPROVAL This signature below must be that of the individual who is authorized to accept the above goods/assets on behalf of the receiving jurisdiction. It is acknowledged that: a) this equipment is primarily intended for use in response to a terrorist event involving Weapons of Mass Destruction (WMD) or Mass Casualty Incident (MCI); b) all equipment must be accounted for in receiving agency inventory records; c) the receiving agency is responsible for maintenance of the equipment; d) unserviceable or surplus equipment must be properly disposed of and accounted for in accordance with the receiving agency's internal procedures; e) serviceable equipment that is no longer needed or usable may be donated to other State of Colorado grant equipment users. (Contact GOHS for assistance).

Authorized Signature:	Date:
Print Name and Title:	

Southeast Region Homeland Security / Baca County Use only			
Grant:	Project #	SER #	BC Account #
Line #:	Accepted	Denied	If Denied/ Reason:
Purchase Requisition #			

Coordinator's Signature: _____ Date: _____

Mail the hard copy form with original signature to the Southeast Region , ATTN: Homeland Security Coordinator at P.O. Box 160, Pritchett, CO 81064 or Scan copy with signatures and email to Jcasebolt@bacacountyco.gov



**Colorado Department of Public Safety
Division of Homeland Security and Emergency Management**

Equipment/Supply Release Form

Grant # _____

PO# _____

Qty	Description	Serial Number	Other ID Number (Include if # other than serial # is used for inventory)	Total
Total				

I, _____ of the _____ (referred to as "the Agency") am authorized to accept the equipment described above from the (Fiscal Agent Entity), (referred to as "the City", "the County", Other), on behalf of the ___SE___ Region, the official grant recipient, at no charge to the Agency. I acknowledge that this equipment is primarily intended for use by response personnel during a terrorist event involving a Weapon of Mass Destruction (WMD) or a Mass Casualty Incident (MCI) and is not for the personal use of any individual under any circumstances.

I further understand that the Agency is responsible for the following items:

- Ensuring that the Agency's fiscal officer receives this information so that he/she can add this equipment to the agency's official equipment inventory records, and have the equipment available for inspection for equipment inventory purposes and for audits.
- The maintenance, repair, licensing, insurance and any other costs related to the use of this equipment.
- To make this equipment available for use to any agency within the ___SE___ Region when requested by another agency and the equipment is not in use by the agency.
- Replace this equipment if it is damaged, lost or stolen. In addition, any damage or loss must be reported to the (Homeland Security Coordinator, MMRS Coordinator, Other) and a fully documented investigation must be submitted as part of the official project records.
- If our agency no longer needs this equipment, we will contact the (Homeland Security Coordinator, MMRS Coordinator, Other) for disposition instructions. This equipment was purchased with Homeland Security Grant funds and must be disposed of in accordance with grant guidelines. Any serviceable equipment that is unused or no longer needed will be returned to the (Fiscal Agent Entity) for redistribution to other agencies within the ___SE___ Region.

This equipment will be located at: _____

The contact person for this equipment is: _____

Phone number: _____ Email: _____

I have received the equipment and agree to the terms listed above:

Signature: _____ Title: _____

Printed Name: _____ Date: _____

Released by:

Signature: _____ Title: Homeland Security Coordinator

Printed Name: Jerry Casebolt Date: _____



South East All Hazards Region

Purchase Request Authorization

This document will serve as the Purchase Request Authorization form for acquisitions within the Homeland Security Grant.

Receiving Agency _____

Homeland Security Grant to be taken out of _____ Project # 1 3 5 7 9
 Grant Year: _____ 2 4 6 8 10

Equipment Description list materials/items from VENDORS

Grant Line #	Part #	Description	Qty	Cost	Total
					\$ -
					\$ -
					\$ -
					\$ -
					\$ -
					\$ -
					\$ -
					\$ -
					\$ -
Total cost of Requests:					\$ -

Authorized Signature: _____ Date: _____

Print Name & Title _____
