Kansas HMEP Grant Guideline

2015-2016

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The Hazardous Materials Emergency Preparedness (HMEP) grant program provides financial and technical assistance as well as national direction and guidance to enhance state, territorial, tribal, and local hazardous materials emergency planning and training. An overview of HMEP grant planning, training and prevention standards, application for funds, progress reporting, and grant closing requirements is described in this document.

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HMEP GRANT PROGRAM OVERVIEW

PURPOSE	The Hazardous Materials Transportation Safety and Security Reauthorization Act of 2005 authorizes the United States Department of Transportation (USDOT) to provide assistance to public sector employees through training and planning grants to States, Territories, and Native American Tribal Nations for emergency response. The HMEP grant funds are to be used for: • Transportation-related hazardous materials safety planning and training expenditures and activities. • Efforts that lead to increased effectiveness in safely and efficiently handling hazardous materials accidents and incidents.
HMEP GRANT PROCESS	1. **SUBMISSION OF STATE HMEP GRANT APPLICATION TO USDOT** - The process steps are described in the section *Application Process for the State*. This includes seeking subgrant applications from Local Emergency Planning Committees (LEPC); review of subgrant applications by the Kansas Division of Emergency Management (KDEM); approval of subgrant applications by the Governor's Commission on Emergency Planning and Response (CEPR); submission of State proposal to USDOT for hazardous materials planning and training; and finally, the review and approval of the State proposal by USDOT. The total process takes approximately 8-10 months. 2. **PASS THROUGH OF HMEP FUNDS TO SUBGRANTEES** - The process steps are described in section *Application Process for the Subgrantees*.
PERFORMANCE PERIOD	The performance period for the FFY 2015-2016 HMEP grant is October 1, 2015 - September 30, 2016. However, KDEM requires that LEPCs close their grant by August 31, 2016 to allow sufficient time to review the documents and take any corrective actions. Please refer to the FFY 2015 subgrant process for details. During the FFY 2015-2016 grant cycle, KDEM will be contacting the LEPCs who did not start their projects by March 30, 2016 to determine if the LEPC still wants to carry on with their projects, withdraw their projects, or request a reduction of allocated funds. If a LEPC choses to withdraw the project or requests a reduction of the allocated funds, the unused funds will be de-obligated and the monies will be reallocated. This is due to the fact that the LEPCs notify KDEM about inability to complete proposed projects at the end of the grant year, making it virtually impossible to reallocate de-obligated funds to other LEPCs needing assistance.

HMEP GRANT SCHEDULE	
APPLICATION PROCESS FOR THE STATE	• **December 12, 2014**: KDEM solicits LEPC project proposals for FFY 2015-2016 grant period. • **February 2, 2015**: FFY 2015 HMEP grant applications are due to KDEM. • **February 16 - 20, 2014**: HMEP subgrant applications received from LEPCs are reviewed by the HMEP Grant Review Committee; selected applications are submitted to the CEPR for approval at the March, 2015 quarterly meeting. • **April 1, 2015**: Deadline for KDEM to submit State HMEP grant application to USDOT. Selected sub-grantee applications are included in the State application. • **September 30, 2015**: Deadline for USDOT to notify States on the grant award. • **October 1, 2015**: Deadline to notify LEPCs of grant awards; contracts are mailed to the LEPCs.
APPLICATION PROCESS FOR THE SUB-GRANTEES	• **October 1, 2015**: FFY 2015-2016 grant performance period begins. Subgrantee grant performance period begins on October 1 or the date the contract is signed by the LEPC, whichever is the latest. • **March 30, 2016**: KDEM will contact the LEPCs who have not begun their HMEP FFY 2015 projects; the LEPC chooses to continue or withdraw the project. The LEPC may also request a reduction in the allocation of awarded funds; unspent funds are de-obligated. • **April 10, 2016**: KDEM seeks new HMEP subgrant applications from LEPCs for the de-obligated funds. • **May 1, 2016**: KDEM submits new HMEP grant applications to USDOT for approval. • **June 1, 2016**: LEPCs are notified of status (approval/denial) of their new sub-grant applications. • **August 31, 2016**: Deadline for completion of all LEPC projects and submission of paperwork to KDEM. • **September 30, 2016**: All HMEP grant activities are brought to an end. Closing of FFY 2015-2016 grant.
PROGRESS REPORT	Quarterly progress reports are required from the subgrantees. KDEM uses this information in a report to USDOT at the end of each quarter. The deadlines for quarterly reports from LEPCs are: ▪ **January 15, 2016**: Deadline for submission of Qtr-1 report to KDEM ▪ **April 15, 2016**: Deadline for submission of Qtr-2 report to KDEM ▪ **July 15, 2016**: Deadline for submission of Qtr-3 report to KDEM ▪ **August 31, 2016**: Deadline for submission of Qtr-4/final report to KDEM

ELIGIBILITY, FUND ALLOCATION, AND DISTRIBUTION

ELIGIBILITY

LEPCs are eligible to apply for HMEP funds to develop, improve, and implement emergency plans under the Planning grant program. Eligible LEPCs must be active, have a current membership form, by-laws, and a compliance certification form on file with the State.

FUNDING ALLOCATION

The HMEP grant is divided into two funding areas, training and planning. USDOT requires that all HMEP grant training and planning activities are related to hazardous materials transportation. The HMEP planning and training allocations for FFY 2014-2015 were:

Total: $368,172.15

- Planning: $159,972.09 (43%)
- Training: $209,010.06 (57%)

Grantees are required to pass through a minimum of 75% of the HMEP grant funds to LEPCs directly or indirectly.

For the planning grant, funds provide support to LEPCs to conduct commodity flow surveys, tabletop exercises, hazardous analyses, and exercises to improve their community's ability to respond to hazardous materials incidents.

The training activities include hazardous materials trainings that are compliant with the federal standards and that enable first responders to safely and effectively handle transportation related hazardous materials accidents and incidents.

Typically, KDEM distributes approximately 90% of the HMEP funds to the LEPCs directly or indirectly. KDEM also provides hazardous materials training through Kansas University Fire and Rescue Training Institute and the State Fire Marshal's office, the Kansas LEPC Conference, and The EPA Region VII LEPC Conference.

COST SHARING: REQUIRED 20% MATCH

MATCH DETAILS

Cost sharing or matching funds for all federal awards must be accepted if the contributions are:

- Verifiable from the non-federal entity's records
- Not included as contributions for any other federal award
- Necessary and reasonable for accomplishment of project or program objectives;
- Allowable under the cost principles
- Not government funds from another federal award unless authorized by statute
- Provided for in the approved budget when required by the federal awarding agency; and
- Unrecovered indirect costs may be included as part of the cost sharing or matching only with prior approval on the awarding agency

The 20% match may either be cash (hard match), in-kind (soft match), or a combination of both. The matching share must be unobligated money; funds or costs used for matching purposes under any other federal grant or cooperative agreement cannot be used for matching purposes since they are already federal dollars. Match documentation must include detail description of activities, date, time, etc. Activities and/or expenditures counted as matching towards the planning grant must be used for approved planning activities. Conversely, activities and/or expenditures counted as matching towards the training grant must be used for approved training activities (refer to 2 CFR 200.206 for details). See Appendix D for additional information.

CALCULATION OF 20% MATCH

Calculating non-federal match and total project cost when the federal award is known:

$$\frac{\text{Match}}{\text{Federal Award}} = \frac{\text{20\% (Non-Federal Share)}}{\text{80\% (Federal Share)}} = \frac{2}{8} = 0.25$$

The ratio of non-federal (20%) to federal funds (80%) is 20/80 = 2/8 = 1/4 = 25%; thus, non-federal funds on an investment equal to 25% of federal funds allocated to that investment.

Calculating Non-Federal Match						**Calculating the Total Project Cost**		
Federal Award	x	**% Match**	=	**Non-Federal Match**		**Federal Award + Match**	=	**Total Project Cost**
$20,000		0.25	=	$5,000		$20,000+$5,000	=	$25,000

FUNDING PRIORITES

FEDERAL FUNDING PRIORITIES

The HMEP grant program prioritizes efforts that lead to the prevention of serious hazardous materials transportation related incidents, principally those of high consequence to people and the environment. The federal priorities include:

- Ensure federal, state, and local emergency planning and preparedness is established, integrated, and mutually supportive.
- Community, industry, state and federal disaster plans are integrated under a single unified incident command system (ICS). Plans are reviewed and updated as necessary annually.
- Conduct appropriate hazard assessments and gap analysis to determine the level of hazardous materials safety risk within a jurisdiction, state, or region.
- Conduct drills and exercises to test state and county emergency response capabilities and to identify gaps in training and planning needs.
- Improve interagency inoperability to better respond and mitigate hazardous materials incidents.
- Training conducted in agreement with NFPA 472 core competencies.
- Training conducted in agreement with NFPA 472 mission specific training based on assessed hazardous materials transportation safety risks.

STATE FUNDING PRIORITIES

The priorities identified by KDEM are listed below in the ranked order:

Planning:

1. Regional Commodity Flow Studies/Hazards Analysis
2. Response Capabilities Assessment
3. Develop or revise Hazardous materials Plan
4. Hazardous materials drills and exercises to test emergency response capabilities/ emergency response plan
5. Funds for attending hazardous materials conferences and symposiums

Training:

1. NFPA 472 Core Competency training courses
2. NFPA 472 Mission specific training courses
3. Chemical specific response training
4. Hazardous materials drills and exercises to identify gaps in training
5. Other training courses authorized by USDOT

HMEP ELIGIBLE ACTIVITIES: PLANNING	
PLANNING ACTIVITIES	Eligible planning activities are described in 49 CFR 110.40 (a) (http://www.gpo.gov/fdsys/pkg/CFR-2002-title49-vol2/pdf/CFR-2002-title49-vol2-sec110-60.pdf) ▪ Development, improvement, and implementation of emergency plans required under the Emergency Planning and Community Right-to-Know Act (EPCRA), as well as exercise that test the emergency plans. ▪ Enhancement of emergency plans to include hazard analysis, as well as, response procedures for emergencies involving transportation of hazardous materials, including radioactive materials. ▪ An assessment to determine flow patterns of hazardous materials within a state or between one state and another state, territory or native American land; also the development and maintenance of a system to keep such information current. ▪ An assessment of the need for regional hazardous materials emergency response teams. ▪ An assessment of local response capabilities. ▪ Conduct emergency response drills and exercises associated with emergency preparedness plans. ▪ Technical staff to support the planning effort (staff funded under planning grants cannot be diverted to support other requirements of EPCRA). ▪ Additional activities that the USDOT associate administrator for hazardous materials safety deems appropriate to implement the scope of work for the proposed project. Some examples of eligible and allowable planning activities are listed below. The examples of allowable activities provided are not all-inclusive, and the absence of a specific activity does not preclude its possible approval. Conversely, all proposed activities will be considered according to various factors, including the cost- benefit relationship of the specific activity proposed, before being approved**.** Exercises can fall under planning or training. In general, tabletop and functional exercises are considered as planning activities. Hazardous materials drills and full scale exercises on the other hand, are considered as training activities.

EXAMPLES OF PLANNING ALLOABLE AND UNALLOABLE CTIVITIES	
	Allowable Planning Activities: o General Preparedness Planning o Hazardous materials Flow Identification/Hazard Analyses o Regional Response Strategy Selection o Hazardous materials drills and exercises to test state and county emergency response capabilities/emergency preparedness plans, and identify gaps in training and planning needs o Hazardous materials tabletop exercises - multi-agency hazardous materials drills including hazardous materials spill drills o Hazardous materials communications exercises o Exhibitors for outreach and preparedness booths o Data collection site visits **Conditionally Allowable Activities (Subject to approval by USDOT)** o Hospital drills o EOC leadership exercises o NIMS courses o Software to manage Title III materials o Fixed-facility hazardous materials preparedness – in accordance with 49 CFR 110.40, transportation should be the emphasis of the planning activity o LEPC meetings expenses **Unallowable Planning Activities** o Pandemic flu exercises o Cruise ship exercises o Earthquake exercises o All-hazards warning system drills o Wildfire exercises o Urban avalanche exercises o Joint Terrorism Task Force (JTTK) exercises **Unallowable Other Activities** o Any activities carried out without written approval from USDOT USDOT/KDEM o Entertainment costs o Public official's conference without sufficient tie-in to hazardous materials incidents in transportation. o Tier II databases, Tier II inventory reports o WebEOC mapping

HMEP ELIGIBLE ACTIVITIES: TRAINING	
TRAINING ACTIVITIES	Eligible training activities are described in 49 CFR 110.40 (b) (http://www.gpo.gov/fdsys/pkg/CFR-2002-title49-vol2/pdf/CFR-2002-title49-vol2-sec110-60.pdf) ▪ Training grants can be used for training public sector employees to respond safely and efficiently to accidents and incidents, including those involving transportation of hazardous materials. Training may also be designed for volunteer responders, public officials who are not responders but who perform activities associated with emergency response planning or training developed under EPCRA. Eligible training activities include: ▪ Emergency response drills and exercises associated with training, a course of study, and tests and evaluation of emergency preparedness plans. ▪ Management of the training effort to achieve increased benefits, proficiency, and rapid deployment of public service employees who respond to accidents and incidents involving hazardous materials. ▪ Expenses associated with training by a person (including a department, agency, or instrumentality of a State or political subdivision thereof or a tribal nation). Activities necessary to monitor such training including, but not limited to, examinations, critiques and instructor evaluations. ▪ Activities the associate grant administrator (USDOT) deems appropriate to implement the scope of work for the proposed project plan and approved in the grant. ▪ An assessment to determine the number of public sector employees who need training and to select courses consistent with the national curriculum. ▪ Delivery of comprehensive preparedness and response training to public sector employees to meet specialized needs. Financial assistance for trainees and for the trainers, if appropriate, such as tuition, travel expenses to and from a training facility, and room and board while at the training facility. **Training Requirements:** The MAP-21 (Moving Ahead for Progress in the 21st Century Act) requirements are to be met for HMEP grant funded trainings. All trainings funded through the HMEP grant program must comply with the National Fire Protection Association (NFPA) 472 (2013 Edition) and/or Occupational Safety and Health Administration (OSHA) 29 CFR 1910.120 standards. Failure to comply with this requirement will result in denial of reimbursement. All training activities must receive approval by USDOT. For complete guidance on the HMEP grant allowable activities please refer to the USDOT's HMEP Activity Guidance. USDOT is the final authority for approval of training projects.

TRAINING EXAMPLES	**Hazardous Materials Training Examples:** • Hazardous Materials Awareness • Hazardous Materials Operations • Hazardous Materials Technician • Hazardous Materials Incident Commander • Hazardous Materials Officer • Hazardous Materials Safety Officer • Ammonia Response • Ethanol Response • Chlorine Response • Hazardous Materials for Dispatcher • Hazardous Materials Monitoring Refresher • Hazardous materials Technical Decon Refresher • Pipeline Training • Industrial Fire Fighting-(rail yards, fuel transfer facilities, and ports) • Confined Space Rescue • Hazardous Materials Basic Life Support/Advance Life Support – Medic response to hazardous materials calls • Chemistry for Emergency Responders • Radiological (sources in transportation, but not weapons of mass destruction.) • Tank Car Specialty/ Cargo Tank Specialty/ Intermodal Tank Specialty • Flammable Liquid Bulk Storage/ Flammable Gas Bulk Storage • Radioactive Material Specialty in Transportation • Haz Mat IQ Training (Above and Below the Line, Advanced IQ & Tox Medic) • CAMEO Training • Data Collection Site Visits

INELIGIBLE TRAINING ACTIVITIES	A general list of ineligible HMEP activities is appended below: • Expenses not related to hazardous materials planning or training (activities must alleviate incidents related to hazardous materials transportation) • Expenses claimed and or reimbursed by another program • Expenses counted as match funds toward another program • Expenses that supplant existing funds/programs • Training private sector entities/employees • Any costs disallowed or stated as ineligible in 49 CFR part 110 Final Rule • Request for multi-year funding • Foreign travel • Salaries, backfills, or overtime for responders, salaries for LEPC members • Equipment for operational use • Micro shredder Expenditures and activities not listed in this document do not necessarily mean they will not be approved for funding by USDOT; however, the activity must fall within the HMEP grant guidelines. Subgrantees do not have permission to engage in any item listed as an approved activity simply because it is listed as an allowable activity. Prior approval from USDOT is mandatory. The expenditure and activities listed herein are only meant to serve as examples of the type of expenditures and activities that USDOT has previously funded. This is a living document that is updated and modified annually as needed.
TRAINING AND CLASS SIZE REQUIREMENTS	A minimum of 10 students per training session is required. The LEPC should consider this aspect when contracting with a training provider or contractor and negotiate on the cancellation clause of the contract. If the class enrollment turns out to be less than 10, the LEPC should contact the KDEM HMEP grant program manager for further approval through USDOT. Alternately, the LEPC can reschedule the class to increase the number of participants or cancel it altogether. Any change in the scope of work, including any change in the number of trainees or the number of training sessions, will require new approval from KDEM/USDOT. Once the project is complete, LEPCs should close the grant by providing copies of deliverables, such as copies of plans, exercise reports and improvements plans, training report, etc., 20% match documentation, and finally, the grant closeout checklist by the August 31 deadline.

EXERCISE ACTIVITIES

EXERCISE EXAMPLES

Exercises within the scope of the HMEP grant fall under two categories:

Discussion-based (seminar, workshop, game, tabletop):
These exercises familiarize players with current plans, policies, agreements, and procedures, as well as provide a medium for developing new plans, policies, agreements and procedures. Discussion-based exercises may involve single or multiple agencies and/or functions. Though they generally only cover broad topics, they involve little or no cost, modest time commitments and are a quick method to brief persons or organizations on unfamiliar topics. Discussion based exercises are usually funded under the HMEP planning grant.

Operations-based (drill, functional, full-scale):
These exercises are used to validate the plans, policies, agreements, and procedures solidified in discussion-based exercise. They can clarify roles and responsibilities, identify gaps in resources needed to implement plans and procedures, and improve individual and team performance. Operations-based exercises are characterized by actual reaction to simulated intelligence; response to emergency conditions; mobilization of apparatus, resources, and/or networks; and commitment of personnel, usually over an extended period of time. In these exercises, player action is designed to mimic reaction, response, mobilization, and commitment of personnel and resources in real time play. Operations-based exercises are usually funded under the HMEP training grant

EQUIPMENT	**EQUIPMENT** Purchase or rental of equipment may be allowed if the equipment is essential for the intended training or exercise project. The following conditions will apply for equipment: • Any equipment purchased with HMEP grant funds must have a shelf life more than two years • The applicant LEPC must justify and describe in details why the equipment is necessary for the project **Title** If equipment is obtained with HMEP grant funds, the title of the equipment will rest with the subgrantee. The subgrantee must list the person/entity responsible for maintenance, use, and custody of the equipment. **Use** The equipment is to be used for the authorized purposes until the equipment is no longer needed for the project or until the grant is ended. **Management** The non-federal entity must maintain property records. A physical inventory of the equipment must be taken every two years. The records must include: o The source of funding o The federal award identification number (FAIN) o Who holds the title o Acquisition date o Cost of the equipment o Percentage of federal share of the cost of the equipment o Location of the equipment o Disposition information, including the date and sale price **Disposition** Value at disposition under $5,000. The non-federal entity may dispose of the property as it chooses with no obligation to federal government Value at disposition over $5,000. The non-federal entity must request disposition from the federal granting agency.

UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS

UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS	
	All Subgrant recipients are required to comply with the Uniform Administrative Requirements, Cost Principles, And Audit Requirements For Federal Awards as described in 2 CFR Part 200. The subrecipient and its contractors, subcontractors, employees and representation must comply with all applicable provisions of 2 CFR 200, and any amendment to this agreement. Please use the following link for details. http://www.gpo.gov/fdsys/pkg/FR-2013-12-26/pdf/2013-30465.pdf. Listed below are some salient points from the guidance: **Procurement:** The non-federal entity must use its own documented procurement procedures which reflect applicable state and local laws and regulations, providing they conform to state and local laws and regulations and they are expected to conform to the guidance in 200.317-326 (2CFR 200.317-326). The non-federal entity must maintain oversight to ensure that contractors perform in accordance with the terms and conditions of their contracts or purchase orders. The non-federal entity must maintain written standards of conduct covering conflicts of interest and governing the performance of its employees engaged in the selection, award, and administration of contracts. Refer to 2 CFR 200.317 through 200.326 for details. **Competition:** All procurement transactions must be conducted in a manner providing full and open competition consistent with the standards described in 2 CFR 200.319. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, and invitations for bids or requests for proposals must be excluded from competing for such procurements. The non-federal entity must ensure that all prequalified lists of person, firms, or products that are used are current and include enough qualified sources to ensure maximum open and free competition. **Contract Cost and Price Analysis:** Some form of cost or price analysis shall be made and documented in the procurement files in connection with every procurement action in excess of the Simplified Acquisition Threshold (> $149,999) including contract modifications. Refer to 2 CFR 200.323 for details. **Contract Administration**: A system for contract administration shall be maintained to ensure contractor conformance with the terms, conditions and specifications of the contract. Refer to 2 CFR 200.323 for details.

UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS	
	Reimbursement: Reimbursement methodologies will be followed for the 2015-2016 HMEP grants. KDEM will submit reimbursement requests to USDOT upon receipt of appropriate documents from the LEPCs. All reimbursement requests must be accompanied by paperwork that provides the basis for the request. This must include a completed reimbursement form provided by KDEM, proof of project completion (e.g. class rosters, evaluations, student certificates, etc.) and proof of payment (receipts/bills/invoices) for the completed work/project and local match documentation. The reimbursement request must also include certification by an official who is authorized to legally bind the non-federal entity. It takes approximately 4-6 weeks to process a reimbursement request and prepare a check for the LEPC. Reimbursement will be denied if the number of students is less than 10 and the training is conducted without prior authorization from KDEM/USDOT **Travel:** Travel costs include expenses for transportation, lodging, subsistence, and related items incurred by employees who are in travel status on official business of the non-federal entity. Such costs may be charged on an actual cost basis, on a per diem or mileage basis in lieu of actual costs incurred, or on a combination of the two, provided the method used is applied to an entire trip and not to selected days of the trip, and results in charges consistent with those normally allowed in like circumstances in the non-federal entity's non-federally-funded activities and in accordance with non-federal entity's written travel reimbursement policies. Notwithstanding the provisions of §200.444 (general costs of government), travel costs of officials covered by that section are allowable with the prior written approval of the federal awarding agency or pass-through entity when they are specifically related to the federal award. **Lodging and Subsistence.** Costs incurred by employees and officers for travel, including costs of lodging, other subsistence, and incidental expenses, must be considered reasonable and otherwise allowable only to the extent such costs do not exceed charges normally allowed by the non-federal entity in its regular operations as the result of the non-federal entity's written travel policy. In addition, if these costs are charged directly to the federal award documentation must justify that: (1) participation of the individual is necessary to the federal award; and (2) the costs are reasonable and consistent with non-federal entity's established travel policy.

PROJECT EXECUTION & PROGRESS REPORTING

REPORTING REQUIREMENTS

Project Execution: If the proposal includes a hazardous materials planning or exercise activity, and a contractor is hired for the project, please ensure that the contractor completes the project in a timely manner so that the LEPC has sufficient time to review the product and close the grant with KDEM by the August 31 deadline. Contractor reimbursements can be based on a quarterly basis or when pre-determined percentages of the project are completed. The LEPC must ensure that the project will be completed by the end of the grant period and include appropriate clauses in their contract that any delay or failure to deliver the final product by the deadline will result in breach of contract and the contractor will be liable to return the funds in its entirety. The LEPC may also include clause in the contract that any delay by the contractor will result in reduced payment by a certain amount for each day of delay to ensure the deliverables are received in a timely manner. Each payment request must include pertinent match documentation.

Quarterly Progress Reports: A progress report is required each federal fiscal quarter. At completion of the project, a report that describes what was accomplished, if any awarded funds remained unspent, what was learned, and what action has or will be taken as a result of the project must be submitted to KDEM. Upon completion of the project the sub-grantee (LEPC) must supply the KDEM with a complete accounting of expenditures and all documentation verifying expenditures incurred, along with the required 20% match information. Quarterly reports are due at the end of each quarter as stated in the grant contract. Please use the attached reporting form for quarterly reports (Appendix E). The deadlines for submitting quarterly reports to KDEM are described in the Section 1C of *Overview* in this guidance.

Final Report: Upon completion of the proposed HMEP grant projects, LEPCs will submit a grant closing report with supporting documents. As stated in the ***Reimbursement*** section, the documents would include copies of checks, orders and vouchers, receipts, invoices, bills, training certificates, class rosters, deliverables such as copies of completed plans, exercise reports and improvement plans, etc. illustrating that the funds were utilized to achieve the outcome of the project. Narrative information supporting soft match elements must be sufficiently explained to provide the reviewers with adequate information to evaluate the appropriateness of the match. The report will also include certification by an official who is authorized to legally bind the non-federal entity.

SCOPE OF WORK, 20% MATCH, AND PLANNING REQUIREMENTS	
SCOPE OF WORK, 20% MATCH, AND PLANNING REQUIREMENTS	**Commodity Flow Survey** KDEM has developed a scope of work (SOW) for conducting commodity flow surveys to assist LEPCs. LEPCs should adapt this guide when developing the SOW for such studies and fit to their needs. The SOW is listed in Appendix-A **Hazardous Analysis** KDEM has developed a scope of work (SOW) for conducting hazardous analysis to assist LEPCs. LEPCs should adapt this guide when developing the scope of work for such studies and fit to their needs. The SOW is listed in Appendix-B **Hazardous Materials Exercise** KDEM has developed a scope of work for conducting hazardous materials exercises to assist LEPCs. LEPCs should adapt this guide when developing the scope of work for such studies and fit to their needs. The SOW is listed in Appendix–C **Description of 20% Match:** The eligible activities that can be used as the required 20% match is described in Appendix-D. **LEOP Development/Update** The LEOP development/update projects must adhere to the Kansas Planning Standards and as described in Title 42 U.S.C. 11003.

Appendix – A

Scope of Work – Commodity Flow Study

The project will construct and publish a comprehensive report on the goods that are moving through the particular area of interest. The study will identify hazardous materials transportation flow patterns in the study area, identify fixed facilities that handle, store, and transport hazardous materials, perform a general assessment of issues regarding hazardous materials transport, and perform an analysis of the data and assess vulnerabilities. Transportation Research Board's Guidebook for Conducting Local Hazardous Materials Commodity Flow Studies is designed to support risk assessment, emergency response preparedness, resource allocation, and analyses of hazardous commodity flows across jurisdictions. This Guidance needs to be followed for all hazardous materials commodity flow survey (HMCFS) projects funded with HMEP grant program funds. To view this guidance or to order it, please refer to the link: http://www.trb.org/Main/Public/Blurbs/8be31746-4853-4b77-a5b1-e1bf3547453e.aspx.

The following components should be included in the study:

General Summary

Provide a brief overview of:

- Background of the study (hazardous materials transportation overview, objective, project concept, data requirements)
- Regulations and statutes (compliance with requirements of Emergency Planning and Community Right to Know Act (EPCRA), local statutes)
- Utilization of information (purpose, how the product will be utilized)

Study Area Profile

Describe county profile briefly based on the following information:

- Geographic
- Demographic
- Climate and Weather
- Transportation
- Infrastructure
- Emergency Response Organizations
- Critical Facilities

Data Collection

- **Flow of Hazardous Materials through the Roads and Highways**
  - **Existing Data Overview**
    - Identify the routes used for hazardous materials transportation using locally or institutionally available data (transportation of hazardous materials in the study area by modes and routes);
    - Acquire information on incident and accident information for the study area; previous CFS, local, state and federal data on hazardous materials transportation, information maintained by local hazardous materials facilities and carriers, trade, environmental, and social advocacy organizations, and printed maps, etc.)
    - Electronic databases and reports (databases and reports that have information about transportation networks, commodity movements, system performance (traffic) levels, historical incident and accident occurrences and locations)
    - Identify facilities in the jurisdiction that receives, produces and transports hazardous materials, identify the transportation routes and the chemicals transported

- Evaluate existing data such as flow of commodities, hazardous materials, hazard class, traffic corridors, hazard traffic origin/destination, hazardous materials transported, etc. through the jurisdiction
- Analyze existing data and evaluate new data needs

- **New Data Collection**
  - Interview shippers, receivers, and carriers to determine type and quantity of hazardous materials by time, mode, and route, origin/destination, if possible
  - Interview local emergency responders, emergency managers, etc. to determine priority survey locations, transportation corridors, volume, frequency and time of shipments, and content of hazardous materials transport, etc.
  - Develop strategies for field data collection in collaboration with LEPCs/emergency managers/local subject matter experts
    - Develop a Survey Plan
      - Survey locations – maps and target survey sites, determine how the data collection sites will be chosen based on consultation with locals
      - Dates, times, and duration of surveys
      - Develop project data collection methods, count intervals, describe precision, efficiency, and accuracy
      - Data collection of main targets (see the data analysis section for additional information):
        - Overall truck traffic passing through the study area;
        - Local movement of hazardous materials by container type and configuration;
        - Local movements by hazard class and division and UN NA number;
        - Total movement and peak transportation times of the day;
        - Total movement and peak transportation by day of the week;
        - Placard count per site and per traffic direction – east/west/north/south or turning movements at intersections;
        - Routes and/or locations with highest placard counts;
        - Shipment sizes and packing methods, specific materials, and shipment origin and destination; and
        - Identification of top ranked thirty chemicals transported through local roads and highways

      - Data Collection Strategy
        - Use appropriate statistical methods to determine sample size per segment of a road
          - The confidence level for sample size must be equal to or great than 90%; and
          - The margin of error for sample size must be less than 5%
        - Count Intervals – things to be considered
          - Starting count intervals on the 30-minute or hour can ease data analysis for differences in traffic patterns by time of day;
          - Using count intervals in even fractions of an hour simplifies the extrapolation of counting segments into 1-hour periods; 1-hour counts are preferred and 30-minute is a secondary option;

- Conducting at least 1-hour or 30-minute counts reduces the effects of traffic variation while providing sufficient timeframes for recording traffic counts; and
- Longer count durations are possible, but they should be recorded in separate 30-minute or 1-hour segments.

- Determine what resources will be needed for field data collection
- Determine the data elements that will be collected during the survey (type of vehicles, no of vehicles, placard ID, hazard class, etc.) – develop the survey form
- Determine:
  - Number of data collection sites per county, per road, or per highway segment;
  - Sample size based on statistical requirements and availability of resources;
  - Number of observations to be collected at a collection site during a 24 hour period to determine the peak traffic;
  - Number of observations to be collected at a collection site during the peak hours to determine flow of hazardous materials/commodities (collect at least six 1-hour samples per day per location for each traffic direction. Use appropriate intervals to spread the data collection throughout the day;
  - Number of days will be spent on data collection per location to determine the variation of hazardous materials traffic through the day of the week (collect data for at least 5 days a week);
  - Schedule data collection - times of the day, days of the week, times of the year, etc.; and
  - Submit data collection strategy/plan, survey form to KDEM for review and approval before data collection begins.

- Collect Field Data:
  Determine traffic network by time of the day; collect at least five 1-hour or ten 30-minute samples per day per location for each traffic direction, during the study period to capture a realistic representation of the traffic flow through the jurisdiction. Conduct:
  - Commercial vehicle survey;
  - Total truck survey;
  - Truck type and configuration;
    - Type: tank, van/box, step bed/flat bed, service/utility, refrigerated, other cargo bodies, etc.;
    - Configuration – straight trucks, tractor trailer, tractor with multiple trailers, etc.;
  - UN/NA (United Nations/North American Identification) placard ID purvey;
  - Combined commercial vehicle and UN/NA placard ID survey ;
    - Total truck and UN/NA placard ID surveys
    - Truck type and configuration and UN/NA placard ID survey
  - Conduct directional (E-W-N-S) and intersection surveys
- Data Validation

Validate collected field data to ensure that the collected field data meet the data requirements of the HMCFS objectives. Check if precision of collected data match data requirements and what other information might help meet the HMCFS objective data requirements. Verify:

- If the collected data are appropriately documented;

- If there are data outliers or questionable values;
- Were the data collected at similar locations consistent; and
- If the information consistent across different sources (existing and new data from interviews, databases, surveys, etc.).

Assess the need for new data collection and data refinement and address any issues.

- **Flow of Hazardous Materials through the Railroad** - Collect waybill hazardous materials information from railroad carriers (Standard Transportation Commodity Code data(STCC), collect data on release incidents, accidents, fatalities, and derailments
- **Movement of Hazardous Materials through the Pipelines** - Map pipelines, obtain flow summary of materials transported through pipelines, incident information, etc.
- **Movement of Commodities by Air** - Airports and commodity transported/Storage of fuel in the airport area

Analyze Collected Data:

- Determine flow of Hazardous Materials by road, rail, pipeline, air; produce maps, charts and tables, as applicable. Validate collected data and analyze to determine:
  - **Roads and Highways**
    - Overall truck traffic passing through the study area
    - Movement of hazardous materials by container type and configuration
    - Local movements by hazard class and division transported
    - Local movements by UN NA number – list
    - Total movement per time segment & hazardous materials shipments as a percentage of total traffic
    - Proportions of truck traffic by type and configuration and the percentages of placarded trucks
    - identification of directional movements for both directions of a roadway or for turning movements at intersections
    - Hazardous materials shipments in both placarded and un-placarded vehicles, shipment sizes and packing methods, specific materials, and shipment origin and destination
    - Placard count per site and predicted routes
    - Placard count per traffic direction – east/west/north/south
    - Peak transportation times and days for identified routes
    - Routes and/or locations with highest placard counts
    - Lists variation of hazardous materials traffic from Placard Survey by day of week
    - Establish major traffic corridors used for hazardous materials transportation
    - Identify top ranked 30 chemicals transported through roads and highways
  - **Rail Road**
    - Analyze data on train derailments and chemical releases, depicts in tables
    - Analyze data on roadway-rail grade crossings, determine vulnerable locations
    - Include summary of hazardous incidents involving trains
    - Estimates peak hour of traffic through the rail traffic corridor, list in tables
    - List top 30 hazardous chemicals passing through the study area by the railroads in the region
  - **Pipeline**
    - Provide relative breakdown of hazardous materials shipped through pipelines by total volume
    - Evaluate past accidents and trends
    - Identify pipeline corridors and vulnerable areas
    - Provide a summary of yearly volume of hazardous materials shipped via pipeline
  - **Air**
    - Determine relative breakdown of air cargo hazardous material shipments by total volume
    - Determine air cargo hazardous materials shipments by county

- Assess hazards due to storage of fuel

Hot Spots:

- Identify hot spots
  - Identify areas and facilities along major traffic routes that are at a higher level of risk
  - Geographical areas where a spill or release could create significant risk to the population
  - Evaluate potential impact on critical facilities along the traffic corridor due to a hazardous materials release
  - Evaluate impact of a spill or release on environmentally sensitive areas and bodies of water that are sources of drinking water
  - Evaluate risks at rail grade crossing

Identify Emerging Risk Sources:

- Identify potential issues arising from community changes that could elevate risk and vulnerability along emergency routes
  - Consider traffic growth exceeding capacity
  - Development of future critical facilities along the traffic corridor
  - Identify growth of population requiring special consideration
  - Likelihood of spill event based on past experience and worst-case scenarios
  - Potential increase in hazardous materials transportation
  - Number of major roadway transport corridors included in the Commodity Flow Survey area increases

Conclusion and Recommendations:

- Consider variability of local needs and conditions, assumptions and limitations, make recommendation;
- Need for new data in the future, gaps observed
- Describe of regional emergency response capacity, on and off facility sites, public and private
- Identify community coordinators and facility emergency coordinators responsible for developing and implementing the emergency plans
- Outline of emergency release notification procedures in effect and recommend improvements
- Describe the probable affected areas and populations by anticipated releases of Extremely Hazardous Materials (EHSs); how information can be used including identification of most frequent or greatest threats, needs for additional intelligence, etc.
- Describe local emergency equipment assets and facilities and the persons responsible for them
- Outline existing evacuation and sheltering in-place plans and recommend changes as may be appropriate
- Recommend training programs for emergency responders (based on local need, identified hazards, and probable response time-lines)
- Recommend methods and schedules for exercising emergency response plans
- Suggest ways to effectively integrate the above into the all-hazards community Emergency Operations Plan (EOP);
- Recommend maintenance of the plan

Resources: Text, matrices, lists, tables, charts, graphs, maps, etc. for different materials classifications, modes, and network segments, including all existing data sources, reports, statistics, and documents that were used, glossary , acronyms, and references.

Appendix – B

Scope of Work - Hazards Analysis

Develop one comprehensive Hazard Analysis plan to identify and assess potential hazards in the community, primarily from technological hazards from releases of chemical hazardous substances from fixed facilities and transportation of chemicals to and from the facilities, particularly, the Extremely Hazards Substances (EHS). Natural, other technological, and vector hazards can also be included to broaden the scope of the study and assess secondary impacts during an incident involving chemicals. The final product will include the following:

General Summary:

Provide an overview of:

- Background of the study
- Regulations and compliance issues
- Process used for analysis
- Utilization of information (purpose, how the product will be utilized)

County Profile:

Describe county profile containing the summary of following information:

- Geographic
- Demographic
- Infrastructure
- Historical
- Geologic
- Climate & Weather
- Economic
- Transportation
- Response Organizations
- Critical Facilities

Hazards Identification:

Identify, characterize and evaluate potential hazards in the jurisdiction, include pertinent maps as applicable.

- Identify EHS present in the community from county/state Tier II data, Environment Pollution Agency (EPA) data, Emergency Planning and Community Right To Know Act (EPCRA) data, United States Department of Transportation (USDOT) filings, chemical spill data, other state/federal databases that might contain information to identify hazard, field inspection of storage tanks, business sites, stored chemical sites, railroad spurs, water treatment plants, etc.
- Locate facilities with hazardous chemicals and EHS exceeding the threshold planning quantity (TPQ), list type and quantities of EHS present in the community
  - Identify top 30 hazardous chemicals in the community; and
  - Identify top ranked 30 facilities with hazardous chemicals
    - List facility name, address, maps, longitude/latitude, emergency contacts; and
    - List chemicals on site, characterize by
      - Chemical Abstract Service (CAS) #, physical state, type of hazard (explosive, reactive, toxic, etc.);
      - Maximum quantity stored at a time, amount in largest or interconnected vessels;
      - Type and design of container (size and shape) and condition of storage; and
      - Identify storage locations

- Identify transportation routes (on a map) for transporting chemicals, frequency of shipments, form of shipments, and quantity of shipments;
- Depict evacuation routes in the event of an chemical release; and
- Additional facilities contributing or subjected to additional risk due to their proximity to facilities.

- Assess other technological and/or natural hazards that can contribute to a secondary effect.

Vulnerability Analysis:

Determine vulnerability of population, property, essential services, and environment from information obtained from hazard identification and community profile, with focus on hazards that present greatest risk. Use tables and maps as needed to illustrate results. Assess the following:

- Assess potential hazards that can be presented by the chemicals that exist in the community. Evaluate:
  - Toxicity hazard;
  - Fire hazard;
  - Explosion hazard; and
  - Reactivity hazard.
- Estimate vulnerable zones for the top 30 locations with reported hazardous chemicals, particularly the EHS, and depict on maps;
- Assess vulnerability based on threat from hazardous chemicals present at the facility; assess safeguards present -- such as chemical detection devices, alerting systems, shelter in place, etc.;
- Estimate impact on life (population, animal, endangered species, etc.) in the event of a release;
- Identify impact on critical facilities within the vulnerable zone;
- Determine impact on the environment within the vulnerable zones;
- Determine impact on essential services within the vulnerable zones;
- Determine impact on response organizations and equipment within the vulnerable zones;
- Determine vulnerabilities from other technological hazards that were identified in the hazards identification process;
- Determine vulnerability of population, property, and environment based on potential natural incidents; and
- Relate to assessed vulnerability based on historical data.

Risk Analysis:

Evaluate risk using the following methods:

- Describe risk assessment methodologies. Collect chemical risk information (e.g. from EPA's Chemical Emergency Preparedness and Prevention Office), unusual environmental conditions, assess population and properties that could be at risk. Present data in the form of tables. Describe
  - Risk rating methods for assessing severity of hazards; and
  - Describe models and algorithms used in risk analysis.
- Estimate risks for each hazard category using risk ratings and prioritizes risk based on conservative estimates and worst-case scenarios. Present data in tables for each hazard categories.
  - Prioritize and rate top 30 facilities based on hazardous chemicals present in the facility, historical accident records, and probability of release based on observation at the facility;
  - Estimate probability that a release will occur and any unusual environmental conditions;
  - Rate the severity of consequence to life/damage to property/damage to environment, if an actual release were to occur; rank high, medium, low, or use numeric ratings based on appropriate technical consideration and type of hazard;
  - Assess risk due to other technological hazards that were identified in the hazard identification process;
  - Develop a cascading hazard risk matrix, showing potential secondary risks from primary sources to reflect local conditions, presents data in tables; and

- Assess potential risks for natural and other technological events that might impact a chemical release scenario; analyze other unique risk factors that might have an effect.

Conclusion and Recommendations:

Assemble information concerning hazards, vulnerability, and risk. Identify highest threat and recommend response actions; identify any gaps observed in data collection and the time period for which the plan is valid; recommend:

- Consider variability of local needs and conditions, assumptions and limitations, make recommendation;
- Need for new data in the future and gaps observed;
- Describe of regional emergency response capacity, on and off facility sites, public and private;
- Identify community coordinators and facility emergency coordinators responsible for developing and implementing the emergency plans;
- Outline of emergency release notification procedures in effect and recommend improvements;
- Describe the probable affected areas and populations by anticipated releases of Extremely Hazardous; Materials (EHSs); how information can be used including identification of most frequent or greatest threats; need for additional intelligence, etc.;
- Describe local emergency equipment assets and facilities and the persons responsible for them;
- Assess existing evacuation and sheltering in-place plans and recommend changes as may be appropriate;
- Recommend training programs for emergency responders (based on local need, identified hazards, and probable response time-lines);
- Recommend methods and schedules for exercising emergency response plans; and
- Suggest ways to effectively integrate the above into the all-hazards community Emergency Operations Plan (EOP).

Resources: Include state/county maps and tables, historic site maps, contingency maps and tables, references, acronyms, glossary. Use EPA's Technical Guidance for Chemical Hazard Analysis (http://www2.epa.gov/sites/production/files/2013-08/documents/technical_guidance_for_hazard_analysis.pdf) and the Handbook of Chemical Hazards Analysis Procedures as guides. (http://nepis.epa.gov/Exe/ZyNET.exe/10003MK5.TXT?ZyActionD=ZyDocument&Client=EPA&Index=1986+Thru+1990&Docs=&Query=&Time=&EndTime=&SearchMethod=1&TocRestrict=n&Toc=&TocEntry=&QField=&QFieldYear=&QFieldMonth=&QFieldDay=&IntQFieldOp=0&ExtQFieldOp=0&XmlQuery=&File=D%3A%5Czyfiles%5CIndex%20Data%5C86thru90%5CTxt%5C00000003%5C10003MK5.txt&User=ANONYMOUS&Password=anonymous&SortMethod=h%7C-&MaximumDocuments=1&FuzzyDegree=0&ImageQuality=r75g8/r75g8/x150y150g16/i425&Display=p%7Cf&DefSeekPage=x&SearchBack=ZyActionL&Back=ZyActionS&BackDesc=Results%20page&MaximumPages=1&ZyEntry=1&SeekPage=x&ZyPURL)

Appendix – C

Scope of Work - Hazmat Exercise

The purpose of conducting a hazardous materials (hazmat) exercise is to test the ability of a jurisdiction to respond to hazmat incidents. The following steps should be followed to plan, organize, and conduct an exercise.

ESTABLISH THE BASE:

- Review the current plan – Emergency Operations Plan (EOP)/area contingency plan/operational or operating plan/what resources, personnel, and procedures will be used to respond to a hazmat related incident
- Assess the jurisdiction's capability to conduct an exercise - Existing hazmat emergency response capabilities of the community in terms of skills, personnel, time, facilities, support, and funding
- Address cost and liabilities – Financial aspects, organizational liabilities, staff time, equipment and materials, contract services, miscellaneous items
- Select exercise type - Tabletop/functional/full scale
- Gain support and announce the exercise – Build a comprehensive, progressive exercise program/gain support from management
- Organize design team – Identify team members, assign responsibilities, delineate activities, develop schedule, share expertise, and measure progress

PREPARE EXERCISE DOCUMENTS – Include exercise plan (EXPLAN), controller and evaluator handbook, exercise evaluation guide (EEG), player handbook, master scenario event list (MSEL)

DESIGN & DEVELOP EXERCISE - The following eight steps are generally applicable regardless of the type of exercise. Additional steps that are required depending on the type of exercise are listed below:

- Assess needs – identify potential hazards /functions most in need of rehearsal/potential participants/past exercises/ exercise requirements and capabilities, in regards to hazmat response, etc.
- Define scope - Type of emergency/location/functions/participants/all functions/ in the context of hazards from hazmat incidents/in all exercise formats/employing all resources, etc.
- Write a statement of purpose - Develop statement of purpose
- Prepare objectives – SMART (Simple, Measureable, Achievable, Realistic, Task-Oriented) objectives-actions stated in observable term (e.g. Identify and activate an alternate communication system to be used as a backup within 30 minutes of failure of the primary communication system)
- Compose a narrative - Outline the key points/compose the script/be very specific/phrase in present tense/write in short sentences. Must include hazmat incident scenario.
- List major detailed events - List events that might occur in your emergency scenario/list of specific problems likely to occur in connection with each major event, chemical spills/release, etc.
- List expected actions - Write expected actions from participants involved in the exercise.
- Prepare messages - Consider message variables/examples/ format/compose messages, etc.

Prepare Master Scenario Events List - Outputs from the design process are pulled together in the MSEL, a chart that the controller and simulators can use in keeping the exercise on track and on schedule.

Tabletop Exercise: The tabletop exercise is designed to conduct a group brainstorming session centered on a scenario narrative and problem statements or messages that are presented to members of the group.

- *Exercise Format* – Informal brainstorming session/scenario narrative and problem statements or messages are presented to members of the group/self-evaluated
- *Facilitating a Tabletop* - The facilitator is responsible for
  - Setting the stage/distributing messages/stimulating discussion and pushing participants toward in-depth problem solving/involving everyone/controlling and sustaining the action
- *Designing a Tabletop Exercise* – Follow the eight step design process described above
  - First four steps are handled in normal manner
  - Short narrative
  - Only a few major or detailed events, usually turns into problem statement
  - Expected actions are identified, usually involve discussion or reaching consensus
  - Needs only a few carefully written messages or problem statements

Functional Exercise: The functional exercise usually takes place in the operating center and involves policy makers and decision makers. It uses an event scenario to test multiple functions or organizations, emphasizing coordination and communication.

- *Exercise Format* – Primarily includes policy makers and decision makers, uses an event scenario to test multiple functions or organizations, emphasizing coordination and communication.
- Exercise participants include
  - Controller(the manager of the exercise)
  - Players (people responding to the scenario within their normal roles
  - Simulators (people playing parts of the organizations and field unit outside the operations center)
  - Evaluators (observers who record actions taken in response to messages)
- *Participant Roles* - Participants respond in real time, adding an element of stress to the exercise. Communications equipment, displays, and other enhancements can be used to add to the realism
- *Designing a Functional Exercise* - The full eight-step process is used to develop functional exercises

Full scale Exercise: The exercise combines the interactivity of the functional exercise with a field element and requires the coordination of the efforts of several organizations

- *Exercise Format*
  - Controller/Player/Simulators/Evaluators
  - On-scene actions and decisions
  - Simulated victims
  - Search and rescue requirements
  - Equipment deployment
  - Communication devices
  - Actual resource and personnel allocation
- *Participant Roles* - Participants respond in real time, adding an element of stress to the exercise. Communications equipment, displays, and other enhancements can be used to add to the realism
- *Designing a Full-Scale Exercise* - After the first four design steps, the following special considerations apply to the design process
  - Major and minor events are often presented visually and must be carefully planned
  - Expected actions must be specifically identified
  - Both visual and pre-scripted messages are used
- *Site Selection* - Adequate space and realistic without interfering with normal traffic or safety

- *Scene Management* – Includes:
  - Logistics at the scene
  - Creation of a believable emergency scene
  - Number of victims
  - Management of props and materials
  - Number of controllers
- *Other Special Considerations* – Other special considerations for a full scale exercise include - safety issue/legal liability/plan for emergency call off/managing personnel and resources/working with media

CONDUCT EXERCISE: Prepare facility, assemble props and enhancements, brief participants and conduct exercise

- Sustain action/foster realism/establish timelines/review emergency call-off procedures
- Track progress, implement exercise enhancements (injects), manage personnel and resources

EVALUATE EXERCISE:

- Decide on evaluation methodology that would be appropriate for your exercise
  - Determine evaluation criteria/observation strategies/document actions
  - Identify whether exercise achieved its exercise/needed improvement in plans/procedures/guidelines/ equipment needs/need for additional exercise/personnel training/overcoming staffing deficiencies

CONDUCT POST EXERCISE MEETING – Include player debriefing/meeting of evaluation team to prepare after action report/assess achievement of objectives/prepare evaluation report

WRITE AFTER ACTION REPORT/IMPROVEMENT PLAN – After Action Report (AAR) captures observations and recommendations based on the exercise objectives as associated with the capabilities and tasks. The Improvement Plan (IP) identifies specific corrective actions, assigns them to responsible parties, and establishes targets for their completion. Counties should use KDEM AAR template to report outcome of a hazmat exercise

CONDUCT FOLLOW UP ACTIVITIES – The County would track and implement corrective actions identified in the AAR/IP. They would also identify an individual to be responsible for this corrective action program

APPENDIX - D

COST SHARING OR MATCHING

The 20% match may either be cash (hard match), in-kind (soft match), or a combination of both. The matching share must be unobligated money; funds or costs used for matching purposes under any other federal grant or cooperative agreement cannot be used for matching purposes since they are already federal dollars. In-kind matches must be verifiable. Activities and/or expenditures counted as match towards the planning grant must be used for approved planning activities. Conversely, activities and/or expenditures counted as matching towards the training grant must be used for approved training activities.

If a LEPC uses contractual services in the proposal, the LEPC must include the full contractual amount in your application (request for funds), unless the LEPC plans to use hard cash for your match. Otherwise, the LEPC will have to come up with hard cash for any remaining amount. Please note that the HMEP Grant Program does not pay for backfill or overtime for responders, salaries for LEPC members, equipment for operational use, expenses not related to HMEP projects, etc. Indirect costs are allowed only if you have a federally approved indirect cost rate and you attach a copy of the rate approval document (a fully executed, negotiated agreement).

In-kind contributions are non-cash contributions in the form of goods or services that can be given a cash value. All in-kind matches must be reasonable, allowable, and allocable to the project. Match documentation must include detail description of activities, date, time, etc. Examples may include the number of hours spent on the project when salaries are used as match, or the number of hours of usage when equipment is used as match. Please refer to 2CFR200 for details. Use Fair Market Value for match using equipment or building rental costs. Unpaid services provided to a grantee or subgrantee by individuals will be valued at rates consistent with those ordinarily paid for similar work in the subgrantee's organization. If the subgrantee does not have employees performing similar work, the rates will be consistent with those ordinarily paid by other employers for similar work in the same labor market. In either case, a reasonable amount for fringe benefits may be included in the valuation. The cost sharing requirements as stated in 2 CFR 200.306 is listed below.

§200.306 Cost sharing or matching.

(a) Under Federal research proposals, voluntary committed cost sharing is not expected. It cannot be used as a factor during the merit review of applications or proposals, but may be considered if it is both in accordance with Federal awarding agency regulations and specified in a notice of funding opportunity. Criteria for considering voluntary committed cost sharing and any other program policy factors that may be used to determine who may receive a Federal award must be explicitly described in the notice of funding opportunity. Furthermore, only mandatory cost sharing or cost sharing specifically committed in the project budget must be included in the organized research base for computing the indirect (F&A) cost rate or reflected in any allocation of indirect costs. See also §§200.414 Indirect (F&A) costs, 200.203 Notices of funding opportunities, and Appendix I to Part 200—Full Text of Notice of Funding Opportunity.

(b) For all Federal awards, any shared costs or matching funds and all contributions, including cash and third party in-kind contributions, must be accepted as part of the non-Federal entity's cost sharing or matching when such contributions meet all of the following criteria:

(1) Are verifiable from the non-Federal entity's records;
(2) Are not included as contributions for any other Federal award;
(3) Are necessary and reasonable for accomplishment of project or program objectives;
(4) Are allowable under Subpart E—Cost Principles of this part;
(5) Are not paid by the Federal government under another Federal award, except where the Federal statute authorizing a program specifically provides that Federal funds made available for such program can be applied to matching or cost sharing requirements of other Federal programs;
(6) Are provided for in the approved budget when required by the Federal awarding agency; and
(7) Conform to other provisions of this part, as applicable.

(c) Unrecovered indirect costs, including indirect costs on cost sharing or matching may be included as part of cost sharing or matching only with the prior approval of the Federal awarding agency. Unrecovered indirect cost means the difference between the amount charged to the Federal award and the amount which could have been to the Federal award under the non-Federal entity's approved negotiated indirect cost rate.

(d) Values for non-Federal entity contributions of services and property must be established in accordance with §200.434 Contributions and donations. If a Federal awarding agency authorizes the non-Federal entity to donate buildings or land for construction/facilities acquisition projects or long-term use, the value of the donated property for cost sharing or matching must be the lesser of paragraphs (d)(1) or (2) of this section.

(1) The value of the remaining life of the property recorded in the non-Federal entity's accounting records at the time of donation.
(2) The current fair market value. However, when there is sufficient justification, the Federal awarding agency may approve the use of the current fair market value of the donated property, even if it exceeds the value described in (1) above at the time of donation.

(e) Volunteer services furnished by third-party professional and technical personnel, consultants, and other skilled and unskilled labor may be counted as cost sharing or matching if the service is an integral and necessary part of an approved project or program. Rates for third-party volunteer services must be consistent with those paid for similar work by the non-Federal entity. In those instances in which the required skills are not found in the non-Federal entity, rates must be consistent with those paid for similar work in the labor market in which the non-Federal entity competes for the kind of services involved. In either case, paid fringe benefits that are reasonable, necessary, allocable, and otherwise allowable may be included in the valuation.

(f) When a third-party organization furnishes the services of an employee, these services must be valued at the employee's regular rate of pay plus an amount of fringe benefits that is reasonable, necessary, allocable, and otherwise allowable, and indirect costs at either the third-party organization's approved federally negotiated indirect cost rate or, a rate in accordance with §200.414 Indirect (F&A) costs, paragraph (d), provided these services employ the same skill(s) for which the employee is normally paid. Where donated services are treated as indirect costs, indirect cost rates will separate the value of the donated services so that reimbursement for the donated services will not be made.

(g) Donated property from third parties may include such items as equipment, office supplies, laboratory supplies, or workshop and classroom supplies. Value assessed to donated property included in the cost sharing or matching share must not exceed the fair market value of the property at the time of the donation.

(h) The method used for determining cost sharing or matching for third-party-donated equipment, buildings and land for which title passes to the non-Federal entity may differ according to the purpose of the Federal award, if paragraph (h)(1) or (2) of this section applies.

(1) If the purpose of the Federal award is to assist the non-Federal entity in the acquisition of equipment, buildings or land, the aggregate value of the donated property may be claimed as cost sharing or matching.

(2) If the purpose of the Federal award is to support activities that require the use of equipment, buildings or land, normally only depreciation charges for equipment and buildings may be made. However, the fair market value of equipment or other capital assets and fair rental charges for land may be allowed, provided that the Federal awarding agency has approved the charges. See also §200.420 Considerations for selected items of cost.

(i) The value of donated property must be determined in accordance with the usual accounting policies of the non-Federal entity, with the following qualifications:

(1) The value of donated land and buildings must not exceed its fair market value at the time of donation to the non-Federal entity as established by an independent appraiser (e.g., certified real property appraiser or General Services Administration representative) and certified by a responsible official of the non-Federal entity as required by the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, (42 U.S.C. 4601-4655) (Uniform Act) except as provided in the implementing regulations at 49 CFR part 24.

(2) The value of donated equipment must not exceed the fair market value of equipment of the same age and condition at the time of donation.

(3) The value of donated space must not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in a privately-owned building in the same locality.

(4) The value of loaned equipment must not exceed its fair rental value.

(j) For third-party in-kind contributions, the fair market value of goods and services must be documented and to the extent feasible supported by the same methods used internally by the non-Federal entity.