



Cal OES
GOVERNOR'S OFFICE
OF EMERGENCY SERVICES

FY15 Emergency Management Performance Grant (EMPG) Application Workshop

Presented By

The Cal OES Emergency Management Grants Unit

Inland Region Specialist:

Patti Delaney

(916) 845-8469

Patti.Delaney@CalOES.ca.gov

Tribal Nations:

Cheryl McCorkle

(916) 845-8415

Cheryl.McCorkle@CalOES.ca.gov

Coastal Region Specialist:

Michelle Cruz

(916) 845-8383

Michelle.Cruz@CalOES.ca.gov

Unit Chief:

John Thomas

(916) 845-8413

John.Thomas@CalOES.ca.gov

Southern Region Specialist:

Jason Stalder

(916) 845-8289

Jason.Stalder@CalOES.ca.gov



Training Topics Guide

■ Funding Authority

- Overview of DHS FY15 EMPG Program Funding- Notice Of Funding Opportunity (**NOFO**)
- Overview of the Cal OES FY15 EMPG – California Supplement to the NOFO- The **State Guidance**
- Other Authority Documents

■ EMPG Funds and Allocations

- About EMPG Funds
- National Preparedness Goal
- Eligibility and Performance Period
- Match Requirements
- Allocation Methodology
- Tribal Nations Allocations
- Timeline

■ What's new?

- Uniform Administrative Requirements
- CHRIS Reports
- Indirect Costs
- Revised Face Sheet

■ Subaward Requirements

- Program Emphasis
- Allowable Costs
- Unallowable Costs
- Applicant's Responsibility
- Subcontracts
- Record Accessibility

■ Validating Capabilities

- MY-TEP
- Training & Exercise Requirements



Training Topics Guide Continued

■ Application Process

- Application Components
- Application Submission
- Common Application Errors

■ EHP Requirements

- EHP Compliance
- EHP Tips
- CHRIS Reports

■ Reimbursement Requests

- The Reimbursement Request Process
- Common Reimbursement Request Errors

■ Subaward Modifications

- The Subaward Modification Process
- Common Modification Errors

■ FMFW Changes

- Updates to existing Tabs
- New Tabs added



Funding Authority

- 1) FY15 EMPG
NOFO
- 2) FY15 EMPG
State
Guidance
- 3) Other
Authority
Documents



2015 EMPG NOFO

- 2015 EMPG NOFO - DHS FY15 Emergency Management Performance Grant Program – Notice of Funding Opportunity
 - Published by DHS on March 25, 2015
 - Can be found here:
<http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>
- Formerly known as the Funding Opportunity Announcement, or “FOA”
- The NOFO is the base authority for the EMPG Program



FY15 EMPG STATE GUIDANCE

- FY15 State Guidance – Cal OES FY15 Emergency Management Performance Grant Program – California Supplement to the Federal Notice of Funding Opportunity
- 2015 EMPG State Guidance
 - Published by Cal OES on August 14, 2015
 - Can be found here:
<http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>
- The State Guidance is the authority document for California's EMPG Program



Other Federal Authority Documents

- DHS Information Bulletins:

- Provide updates, clarification, and requirements throughout the life of the grant
- Can be found here:

<https://www.fema.gov/grant-programs-directorate-information-bulletins>

- FEMA Grant Programs Directorate Policies

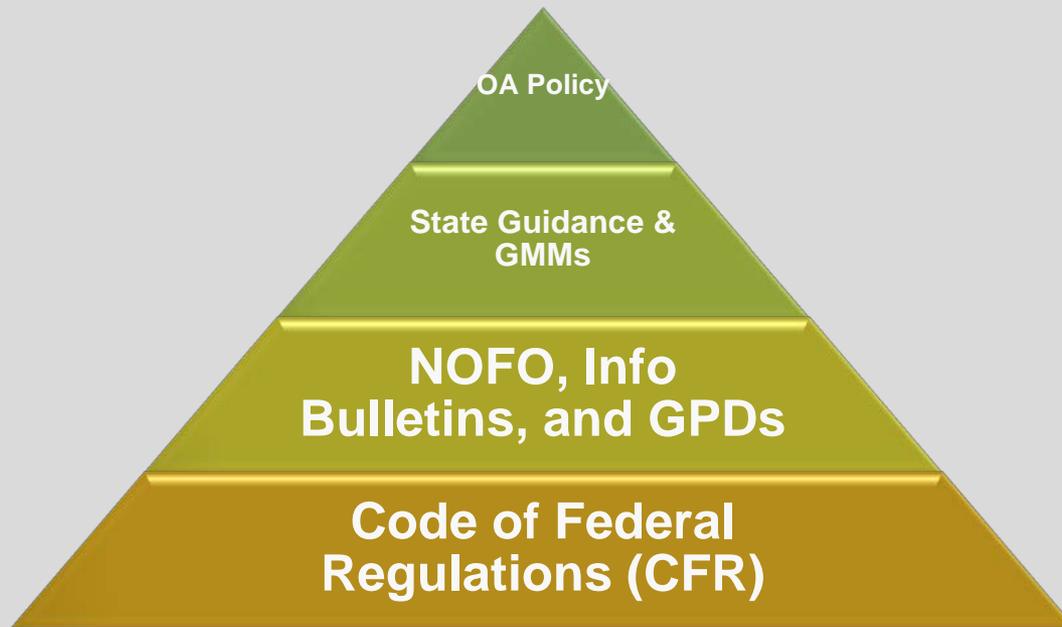
- Identifies Maintenance & Sustainment Policy (FP 205-402-125-1)
- Identifies EHP Policy (FP 108-023-1)
- Can be found here:

<http://www.fema.gov/grant-programs-directorate-policy#>



Other State Authority Documents

- EMPG Specific Grant Management Memorandums (GMM)
 - Issued by Cal OES to provide additional information on EMPG Funds
 - Can be found here:
<http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>



About EMPG Funds

- 1) About EMPG Funds
- 2) National Preparedness Goal
- 3) Eligibility and Performance Period
- 4) Match Requirements
- 5) M&A
- 6) Allocation Methodology
- 7) Tribal Allocations
- 8) Timeline



About EMPG Funds

Funding Purpose

“...to support comprehensive emergency management at the state, tribal, and local levels and to encourage the improvement of mitigation, preparedness, response, and recovery capabilities for all hazards and threats.”

Funding Scope

“...to support activities that contribute to the Operational Area’s capability to prevent, prepare for, mitigate against, respond to, and recover from emergencies, threats, and disasters, whether natural or man-made.”



National Preparedness Goal (NPG)

- EMPG Program funds must support the development or sustainment of Core Capabilities identified in the NPG
- The National Preparedness Goal can be located at:
<http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>
- Subrecipients will identify a best fit NPG Mission Area, NPG Core Capability, and Cal OES Goal that align to each project identified on the Project Descriptions Tab of the FMFW



Eligibility and Performance Period

Eligibility

- All of California's 58 counties (Operational Areas) are eligible
- Counties may contract with public or private organizations – i.e. pass through to subrecipients

Performance Period

- The Performance Period for FY15 is: **July 1, 2015 – June 30, 2016**
- Upon application completion, subrecipients may request retroactive reimbursement of FMFW approved items to the start of the performance period, with the exception of equipment



Match Requirements

- **\$1** for **\$1**, cash or third party in-kind
- **MUST BE:**
 - From activities and costs that are eligible under the EMPG Program
 - From verifiable source documents/records
 - Not included as contributions for any other federally assisted project or program
 - Necessary and reasonable to accomplish EMPG project or program objectives
 - Allowable and conform to applicable Cost Principles for Federal Grants found in 2 CFR § 200.29 and § 200.306
 - In compliance with all Federal requirements and regulations



M&A

- M&A activities are those defined as directly relating to the management and administration of EMPG Program funds.
- OAs may use up to five percent (5%) of the amount received from the state for M&A purposes
- Calculate M&A allowed using:



Allocation Methodology

California's Total:

\$15,481,623

Excess Funds

- \$125,000 Base Award
- Balance distributed per capita, identified by the Dept. of Finance
 - <http://www.dof.ca.gov/research/demographic/reports/estimates/e-1/view.php>
- Allocation amounts can be found on the Cal OES website:
 - <http://www.caloes.ca.gov/GrantsManagementSite/Documents/FY%202015%20EMPG%20Allocations.pdf>
- Un-spendable allocated funds can be returned to Cal OES
- These funds may be reallocated to other OAs for one-time projects, contingent on funding availability
- The form can be found here:
 - <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>

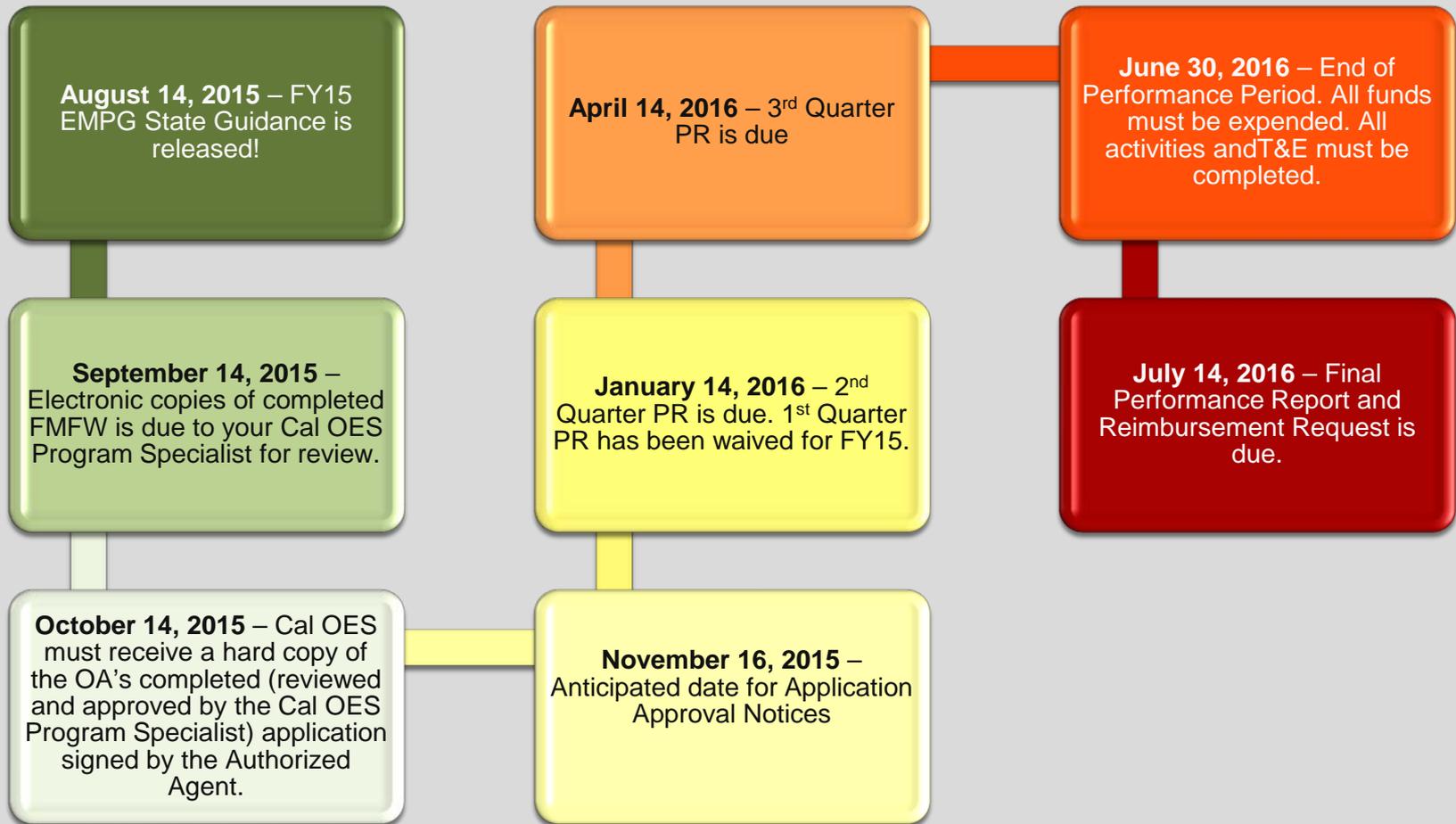


Tribal Nations Allocation

- FY15 EMPG funds are made available to Federally-recognized Native American Tribes on a competitive basis
- Information on this process can be found in the Notice of Interest (NOI) / Request for Proposal (RFP)
- The Tribal Nations application process is separate from the County/OA EMPG Application Process and is completed in coordination with the Cal OES Tribal Coordination Branch's Tribal Liaison



FY15 Timeline & Key Dates



What's new?

- 1) Uniform Administrative Requirements
- 2) CHRIS Reports
- 3) Indirect Costs
- 4) Revised Face Sheet



Uniform Administrative Requirements

- Title 2 C.F.R. Part 200 – The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
 - AKA “**Super Circular**”
 - AKA “**Omni Circular**”
- Supersedes all inconsistent provisions found in other administrative requirements, program manuals, handbooks, and other non-regulatory materials
- See 2 C.F.R. §200.105



Confidential CHRIS Reports

- California Historical Resources Information System (CHRIS) Reports may (likely will) be required for projects subject to Environmental Planning and Historic Preservation (EHP) requirements involving outdoor installation activities
- The CHRIS inventory is maintained by Office of Historic Preservation, and identifies historic resources including buildings, structures and objects throughout CA.
- Confidential CHRIS Reports must be obtained through the Office of Historic Preservation



Confidential CHRIS Reports Continued

- Subrecipients are responsible for all costs related to the CHRIS reports AND any/all other costs associated with EHP reviews
 - Grant funds may be utilized to pay for these costs
 - See Information Bulletin 404 for more details
- Information regarding CHRIS can be obtained here:
http://ohp.parks.ca.gov/?page_id=1068



Indirect Costs

- 2 Allowed methods for calculating:
 - Subrecipients with an indirect cost rate **approved by their cognizant Federal** agency may claim indirect costs based on the established rate. Indirect costs claimed must be calculated using the base approved in the indirect cost Negotiation Agreement. **A copy of the approved Negotiation Agreement is required at the time of application.**
 - Subrecipients who have never received a negotiated indirect cost rate agreement (described in 2 C.F.R. §200.414(f)) and receive less than \$35 million in direct Federal funding per year may claim the 10% De Minimis indirect cost rate based on Modified Total Direct Costs (MTDC) as described in 2 C.F.R. §200.68 and Subpart E.



Modified Total Direct Cost (MTDC)

- Title 2 C.F.R. §200.68 references Modified Total Direct Cost (MTDC).
- The 10% De Minimis Rate is based on MTDC.
- MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward.
- MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward in excess of \$25,000.



Indirect Costs Continued

- You are not obligated to bill/budget for indirect costs
- If indirect costs will be claimed, they **must be identified on the FMFW at the time of application.** **They can't be added later.**
- Indirect Costs are separate from and in addition to the M&A Allowance
- Indirect Costs must be identified as a project in the FMFW on the Indirect Cost Category Ledger
- A copy of the approved Negotiation Agreement must be submitted to claim Indirect Cost Rates based on a rate approved by the cognizant Federal Agency



Revised Cal OES Subaward Face Sheet

- The Subaward Face Sheet has been revised in the FY15 EMPG-specific FMFW

(Cal OES Use Only)								
Cal OES#	FIPS#	VS #	Subaward #					
CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES GRANT SUBAWARD FACE SHEET								
The California Governor's Office of Emergency Services (Cal OES), makes a Grant Subaward of funds set forth to the following:								
1. Subrecipient: _____				1a. DUNS#: _____				
2. Implementing Agency: _____				2a. DUNS#: _____				
3. Implementing Agency Address: _____								
4. Location of Project: _____								
5. Disaster/Program Title: _____								
6. Performance Period: _____ to _____								
7. Indirect Cost Rate: <input type="checkbox"/> N/A; <input type="checkbox"/> 10% de minimis; <input type="checkbox"/> Federally Approved ICR _____ %								
Grant Year	Fund Source	A. State	B. Federal	C. Total	D. Cash Match	E. In-Kind Match	F. Total Match	G. Total Project Cost
Sele - 8	Select -						\$ 0	\$ 0
Sele - 9	Select -						\$ 0	\$ 0
Sele - 10	Select -						\$ 0	\$ 0
Sele - 11	Select -						\$ 0	\$ 0
12. TOTALS		\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	12. G Total Project Cost: \$ 0
13. This Grant Subaward consists of this title page, the application for the grant, which is attached and made a part hereof, and the Assurances/Certifications. I hereby certify I am vested with the authority to enter into this Grant Subaward, and have the approval of the City/County Financial Officer, City Manager, County Administrator, Governing Board Chair, or other Approving Body. The Subrecipient certifies that all funds received pursuant to this agreement will be spent exclusively on the purposes specified in the Grant Subaward. The Subrecipient accepts this Grant Subaward and agrees to administer the grant project in accordance with the Grant Subaward as well as all applicable state and federal laws, audit requirements, federal program guidelines, and Cal OES policy and program guidance. The Subrecipient further agrees that the allocation of funds may be contingent on the enactment of the State Budget.								
14. Official Authorized to Sign for Subrecipient:				15. Federal Employer ID Number: _____				
Name: _____				Title: _____				
Telephone: _____ (area code)				FAX: _____ (area code)				
Email: _____				City: _____ Zip+4: _____				
Payment Mailing Address: _____				Signature: _____ Date: _____				
(FOR Cal OES USE ONLY)								
I hereby certify upon my own personal knowledge that budgeted funds are available for the period and purposes of this expenditure stated above.								
Cal OES Fiscal Officer _____ Date _____				Cal OES Director (or designee) _____ Date _____				



Grant Requirements

- 1) Program Emphasis
- 2) Allowable Costs
- 3) Applicant Responsibilities
- 4) Sub-Contracts
- 5) Record Accessibility
- 6) Training Feedback Numbers



Program Emphasis – Build, Sustain, and Deliver



EMPG Allowable Costs

- **Management & Administration**
 - Up to 5% of award
 - Direct charged costs
- **Indirect Costs**
 - With a Federally approved Indirect Cost Rate Proposal
 - Or via De Minimis Rate
- **Organization**
 - Staffing
 - Day to Day Activities and Operations in Support
- **Equipment** – From the EMPG AEL List
- **Training**
- **Exercises**
- **EOC Construction and Renovation**
 - With prior FEMA & Cal OES approval
 - Necessitates Investment Justification Paperwork
 - Primary EOCs Only
- **Maintenance and Sustainment**
 - Maintenance Contracts
 - Warranties
 - Repair and Replacement
 - Upgrades
 - User Fees
 - Licenses



More specific details can be found in the FY15 NOFO

EMPG Allowable Continued – Maintenance & Sustainment

- Maintenance and Sustainment costs must identify in the Project Description:
 - The AEL Number and Title of the Equipment being maintained or sustained
 - The length/duration of the coverage and type of coverage
 - Whether or not the maintenance package/warranty/etc. is being purchased at the same time as the equipment or if the package is a stand-alone purchase for pre-existing equipment
- Additional information can be found in the Grant Program Directorate (GPD) Maintenance Policy
 - Located here:
[http://www.caloes.ca.gov/GrantsManagementSite/Documents/Grants%20Program%20Directorate%20\(GPD\)%20Maintenance%20Policy.pdf](http://www.caloes.ca.gov/GrantsManagementSite/Documents/Grants%20Program%20Directorate%20(GPD)%20Maintenance%20Policy.pdf)



EMPG Unallowable Costs

- Expenditures for weapons systems and ammunition
- Costs to support the hiring of sworn officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety duties and responsibilities
- Activities and projects unrelated to the completion and implementation of the EMPG Program
- Grant funds used to supplant existing funds



Applicant Responsibilities – Including But Not Limited To

- Training & Exercise (T&E) Requirements for all staff funded in whole or in part
- Timely Submission of:
 - Performance Reports - (Quarterly)
 - Federally mandated BSIR Reports - (Bi-annually)
 - Reimbursement Requests - (Quarterly)
 - Modification Requests - (prior to incurring any associated expenditure)
 - Amendments - (As needed)
- Maintain financial management systems to track grant activities in accordance with 2 C.F.R. §200 and GAAP
- Deobligate unexpended funds after all reimbursement request submissions
- Maintain equipment, program, and financial records in accordance with grant record retention requirements
- Comply with 2 C.F.R. §200 audit requirements

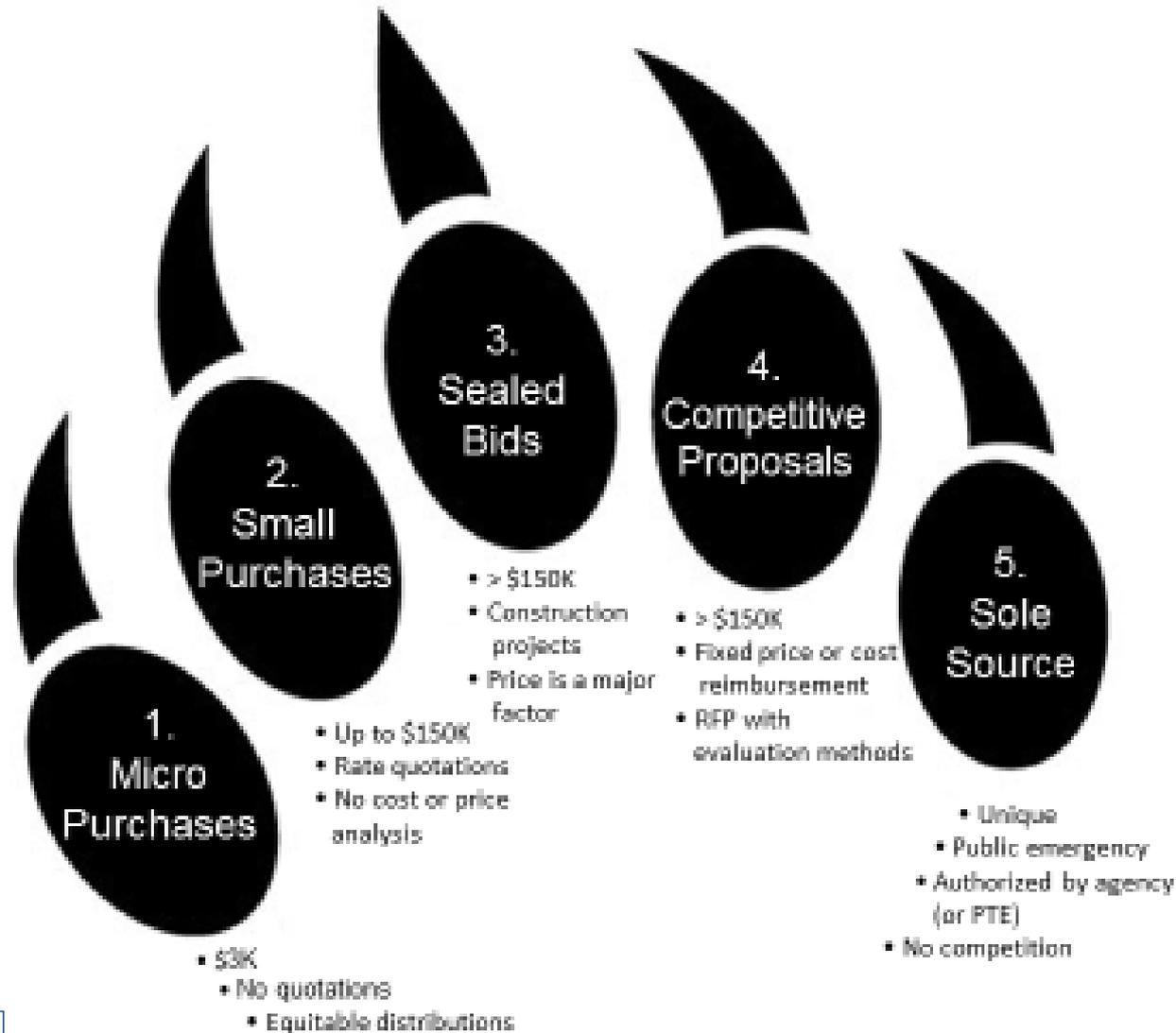


Subcontracts

- Funds given to a contractor (including local jurisdictions) must be monitored by the pass through or contracting entity
- Funds cannot be made to or awarded to any party that is debarred, suspended, or otherwise excluded/ineligible for participation in EMPG
 - Documentation of eligibility must be obtained prior to contracting/awarding EMPG funds
 - Documentation must be retained for Cal OES or federal monitors
- Contractor eligibility information can be found at: www.sam.gov



Procurement “Claw” (Section 200.320)



METHODS OF PROCUREMENT TO BE FOLLOWED

OAs must use the more restrictive Procurement policy between the County Procurement Policy and 2 CFR §200.320



Sole Source Contracts

- Sole source (noncompetitive) procurements exceeding the *simplified acquisition threshold* requires prior written approval from Cal OES.
 - Simplified acquisition threshold is established by the Federal Acquisition Regulation at 48 C.F.R. Subpart 2.1
 - Currently set at \$150,000
- This method of procurement must be approved by your local Purchasing Agent prior to submitting the request to Cal OES.
- A Copy of the Purchasing Agent's approval must be included with the Cal OES submission
 - Additional documentation supporting the procurement effort may also be requested for review by Cal OES



Record Accessibility

- All grant related documents, books, papers, or records must be made available to Cal OES or any authorized representative upon request
- The right of access is not limited to the record retention period
 - **As long as there is a record, right of access exists**
- Refer to 2 C.F.R. §200.313 and 2 C.F.R. §200.316 for more information



TRAINING FEEDBACK NUMBERS

- For training to be EMPG eligible, a Training Feedback Number must be obtained no later than 30 days prior to the training event.
 - Training Request Forms are required to obtain a feedback number
- The forms may be found here:
<https://w3.calema.ca.gov/WebPage/trainreq.nsf/TrainRequest?OpenForm>
- A tutorial on “Obtaining a Training Feedback Number,” can be found here:
<http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>
- For Training Request Form or Training Feedback Number assistance, contact Johnie Garrett: john.garrett@caloes.ca.gov



Validating Capabilities Objective

- 1) MY-TEP
- 2) Training & Exercise Requirements



MY-TEP

- All subrecipients must develop a Multi-Year Training and Exercise Plan (TEP or MY-TEP)
 - Must link to the NPG Core Capabilities
 - Must be updated annually
- At a minimum, the MY-TEP must cover the two-year period of **January 1, 2016 – December 31, 2017**
- MY-TEP must be emailed to the Program Specialist **AND** Cal OES Exercise Division POC no later than **September 30, 2015**
 - Southern Region – Steve Nunez: steve.nunez@caloes.ca.gov
 - Inland Region – Kevin Leisher: kevin.leisher@caloes.ca.gov
 - Coastal Region – Kevin Leisher: kevin.leisher@caloes.ca.gov



TRAINING & EXERCISE REQUIREMENTS

EMPG Funded Personnel Training Requirements

- Must complete **11** Required Trainings by June 30, 2016:
 - IS 100 – Intro to ICS
 - IS 200 – ICS for Single Resources and Initial Action Incident
 - IS 700 – National Incident Management System
 - IS 800 – National Response Framework
 - IS 120 – Intro to Exercises
 - IS 230 – Fundamentals of Emergency Management
 - IS 235 – Emergency Planning
 - IS 240 – Leadership and Influence
 - IS 241 – Decision Making and Problem Solving
 - IS 242 – Effective Communication
 - IS 244 – Developing and Managing Volunteers

EMPG Funded Personnel Exercise Requirements

- Must complete **3** Exercises between July 1, 2015 and June 30, 2016
- Any level of participation is acceptable
- AAR/IP/Executive Summary must be completed for each EMPG-funded exercise and Submitted within 90 days to:
 - hseep@fema.dhs.gov
 - Cal OES Program Specialist
 - All submitted no later than June 30, 2016.



TRAINING & EXERCISE REQUIREMENTS CONTINUED

- Completion of IS-139 (prior to 3/1/12) counts towards completion of IS-120
- Previous versions of the IS courses meet the NIMS training requirement
- All required training courses are available on-line and at no cost through EMI:
 - <http://training.fema.gov/is/nims.asp>
 - <http://training.fema.gov/emiweb/PDS/>
- Failure to complete the federally-required EMPG Trainings and Exercises may result in adverse action including but not limited to deobligation of funds, repayment of disallowed costs, or unfavorable outcomes associated with non-compliance.

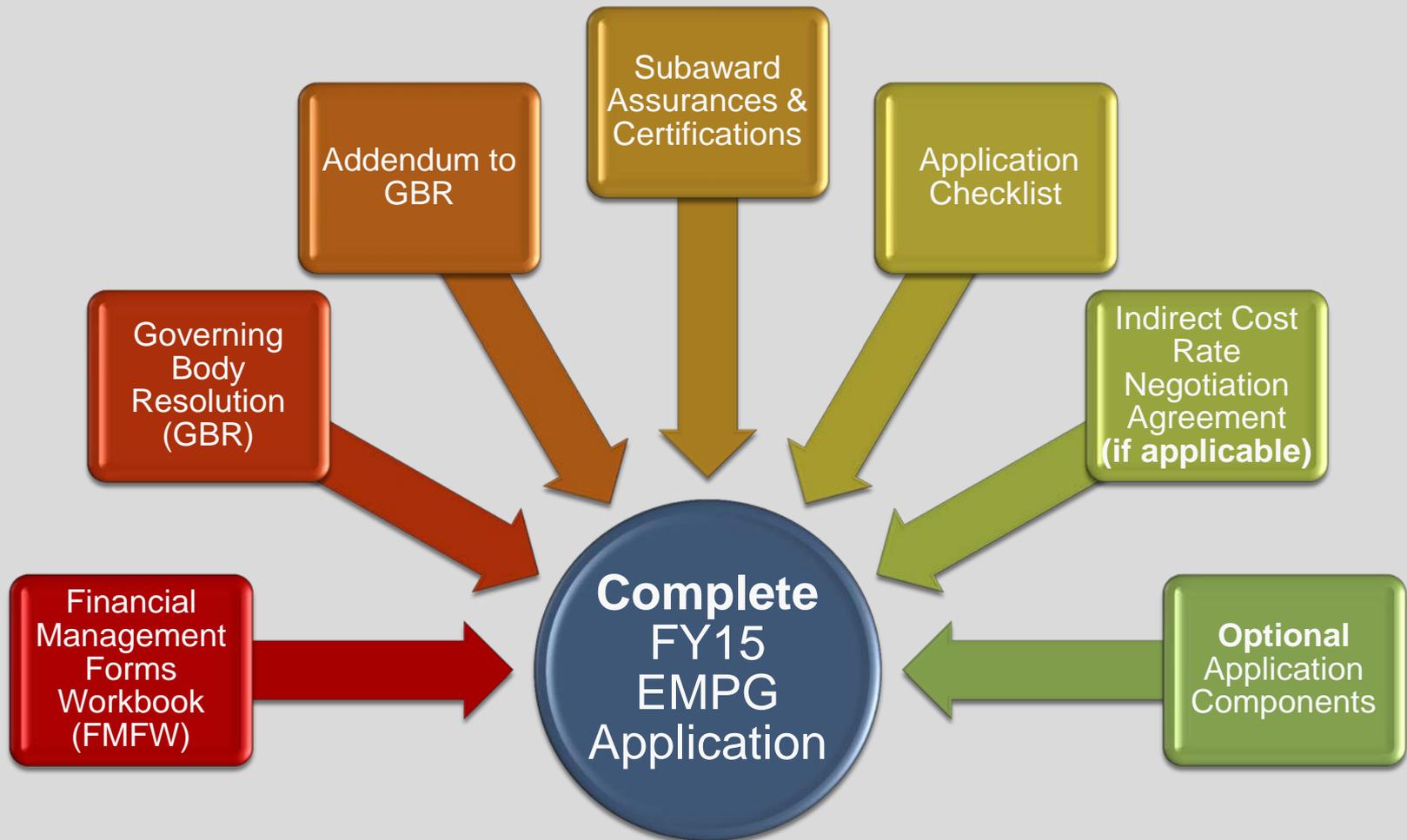


Application Process

- 1) Application Components
- 2) Application Submission
- 3) Common Application Errors



The Five+ Application Components



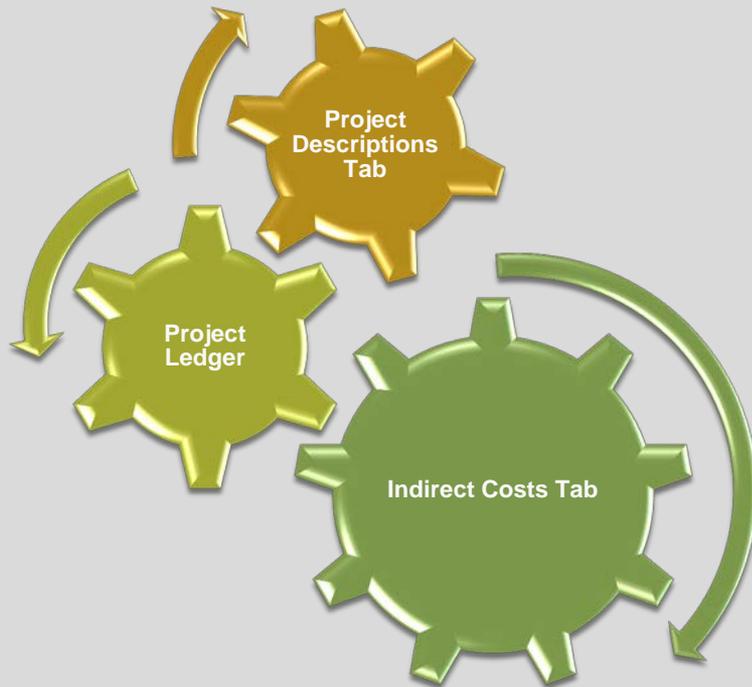
FMFW

- Each tab of the FMFW must be included with the initial application package
 - If a tab will not be used, indicate “N/A” on the tab
- If you need assistance with or have questions about completing the FMFW, please contact your Program Specialist.
- The FMFW can be found here:
<http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>
- All Equipment identified must have an Authorized Equipment List (AEL) Number and Title, which can be found here:
<https://www.fema.gov/media-library/assets/documents/101566>

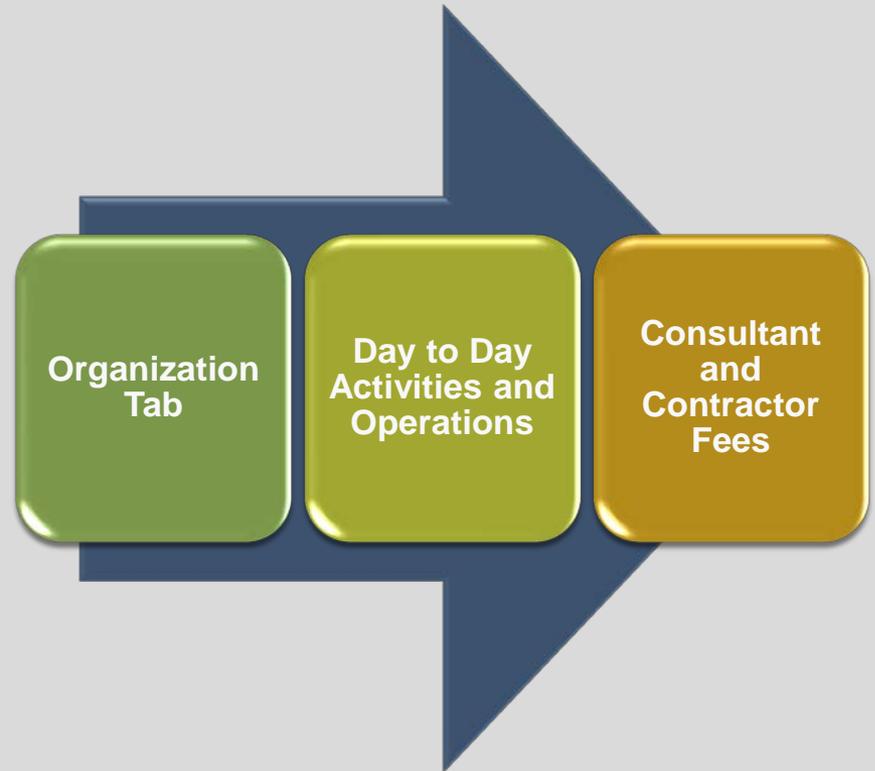


FMFW Continued

Indirect Costs Tab



EHP/CHRIS Report Costs



Governing Body Resolution

- Appoints the **Authorized Agent**
 - Responsible for executing all grant related business
 - Receives all official correspondence (if the signer of the Grant Subaward Face Sheet)
- Universal GBRs are good for 3 years
 - As long as the majority of Board Members remain on the board (3 of 5)
 - Copy must be submitted if not executed for the current year

Universal Language is strongly encouraged



Official Correspondence and the Authorized Agent

- All official correspondence from Cal OES will be addressed to the Authorized Agent or person identified on the Subaward Face Sheet. This includes but is not limited to:
 - Notification of Application Approval
 - Notification of Modification Approval
 - Notification of Amendment Approval
 - Notification of Payment
 - Payment Warrants (check from the SCO)
- Further dissemination is the sole responsibility of the subrecipient

No exceptions will be permitted



Governing Body Resolution

BE IT RESOLVED BY THE _____
(Governing Body)

OF THE _____ THAT
(Name of Applicant)

(Name or Title of Authorized Agent) OR

_____, OR
(Name or Title of Authorized Agent)

(Name or Title of Authorized Agent)

is hereby authorized to execute for and on behalf of the named applicant, a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining federal financial assistance provided by the federal Department of Homeland Security and subawarded through the State of California.

Passed and approved this _____ day of _____, 20__

Certification

I, _____, duly appointed and
(Name)
_____ of the _____
(Title) (Governing Body)

do hereby certify that the above is a true and correct copy of a resolution passed and approved by the _____ of the _____ on the _____ day of _____, 20__
(Governing Body) (Name of Applicant)

(Official Position)

(Signature)

(Date)

List Authorized Agents by name or title. Title is recommended.

Self Certification is not allowed. If the person's name appears in the upper portion as an Authorized Agent, then that person cannot sign the Certification portion of the GBR.

GBR

If the Authorized Agent is identified by name, a new GBR will be needed for changes.

If the Authorized Agent is identified only by title, then when any changes are required only an updated Addendum to the GBR will need to be submitted.



Changes to the Authorized Agent

- If the GBR identifies a **PERSON**, a newly signed GBR will be needed to change the Authorized Agent
 - Requires a signature from the Governing Board
- If the GBR identifies **TITLES**, a new GBR Addendum is needed for changes to the Authorized Agent
 - The GBR Addendum does not require a signature from the Governing Board



Governing Body Resolution Addendum

- Include details for each Authorized Agent identified on the GBR
- Must be submitted on applicant's letterhead
- Must include:
 - Name
 - Title
 - Jurisdiction (OA/ County)
 - Email Address
 - Full Mailing Address
 - Phone and Fax Numbers



Instruction Sheet for the Governing Body Resolution & Addendum to GBR

Purpose The purpose of the Governing Body Resolution (GBR) is to appoint individuals to act on behalf of the governing body and the OA.

Note: Self Certifications are not accepted as a valid Governing Body Resolution. You cannot self certify that you are an authorized agent. Another Board member will need to sign the lower portion of the GBR.

Authorized Agent(s) The Governing Body Resolution allows for the appointment of individuals or positions. **For each person or position appointed by the governing body, you must submit the following information, with the resolution, to Cal OES on the applicant's letterhead:**

<input type="checkbox"/> Name	<input type="checkbox"/> Title
<input type="checkbox"/> Jurisdiction	<input type="checkbox"/> E-Mail Address
<input type="checkbox"/> Street Address (City & Zip Code)	<input type="checkbox"/> Phone & Fax Numbers

Authorized Agent Changes

- If the Governing Body Resolution identified Authorized Agents by position and/or title, changes can be made by submitting new Authorized Agent information to Cal OES, as indicated above.
- If the Governing Body Resolution identified Authorized Agents by name, a new Resolution is needed when any changes are made. The information list above must also be submitted with the new Resolution.



GBR ADDENDUM

Designee signatures are not accepted.

Only the signatures of the person(s)/ position(s) identified in the GBR (currently on file with Cal OES) can be accepted on any EMPG-required document.

Subaward Assurances & Certifications

- Lists the subaward requirements the OA is agreeing to
- A newly signed Subaward Assurances & Certifications form must be submitted for FY15 EMPG
- Failure to comply with any of the assurances or certifications may result in suspension, termination, or reduction of funds
 - Before taking action, the State will provide the subrecipient reasonable notice of intent to impose corrective measures
 - The State will make every effort to resolve any problem informally if possible
- Includes a NIMS Adoption Assurance, in compliance with HSPD-5.
 - Certifies the OA will complete the NIMS Implementation Tool
 - Is working on metrics
 - And has adopted NIMS



Article II - DHS Specific Acknowledgements and Assurances

All recipients must acknowledge and agree—and require any subrecipients, contractors, successors, transferees, and assignees acknowledge and agree—to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.

1. Recipients must cooperate with any compliance review or complaint investigation conducted by DHS.
2. Recipients must give DHS access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations and other applicable laws or program guidance.
3. Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.
4. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
5. If, during the past three years, the recipient has been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status, the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS awarding office and the DHS Office of Civil Rights and Civil Liberties.
6. In the event any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status against the recipient, or the recipient settles a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS Component and/or awarding office.

The United States has the right to seek judicial enforcement of these obligations.


 Initials _____

Failure to comply with these requirements may result in suspension of payments under the Agreement or termination of the Agreement or both and applicant may be ineligible for award of any future State agreements if the department determines that any of the following has occurred: the applicant has made false certification, or violated the certification by failing to carry out the requirements as noted above. (Gov. Code §8350 et seq.)

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective jurisdiction to the assurances and certifications listed above.

<i>Jurisdiction (Printed)</i>	
<i>By (Authorized Signature)</i>	
<i>Printed Name and Title of Person Signing</i>	
<i>Date Executed</i>	

Name and title of the person signing must strictly match what is identified on the Governing Body Resolution (GBR) & GBR Addendum.



SUBAWARD ASSURANCES AND CERTIFICATIONS

The Authorized Agent must sign in the signature block AND initial each page

Application Checklist

- The Application Checklist is designed to HELP
- Accuracy and attention to detail will help to expedite the process
- Please don't just check the boxes.

FY15 Emergency Management Performance Grant Program Application Checklist

Subrecipient Name:				
Cal OES ID #				
Checklist Items	Yes	No	N/A	Comments
I. Grant Subaward Face Sheet				
1. The Subrecipient is complete (Example: County of Sacramento or Sacramento County).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1a. The nine digit Federal DUNS number for the County is provided and is current, per https://www.sam.gov .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. The Implementing Agency information is complete.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2a. The nine digit Federal DUNS number for the Implementing Agency is provided and is current, per https://www.sam.gov .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Implementing Agency Address is complete, including all nine digits of the Zip Code.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. The location of the Project is provided.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. The Program Title is provided.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6. The Performance Period is exactly the same as on the Supplemental Guide. Dates must include Month, Day, and Year (i.e. 7/1/2015 – 6/30/2016).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7. Indirect Cost Rate is identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8. The correct Grant Year is selected and the Fund Source is EMPG.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Indirect Cost Rate Proposal

- If Indirect Costs will be billed to the FY15 EMPG subaward, a copy of the Negotiated Indirect Cost Rate Agreement (ICRA) must be submitted with the application
 - ICRA must be current and valid
 - And be approved by the cognizant Federal entity
- OAs wishing to claim the 10% De Minimis Rate must indicate so on the Subaward Face Sheet
 - Documentation must be retained to substantiate the indirect costs associated with the De Minimis Rate being billed
 - Only for subrecipients who have never received a negotiated indirect cost rate and receive less than \$35 million in direct federal funding per year



Optional Application Components

- Excess Funds Statement Form
 - To be completed if you feel you will not be able to expend all of the funds allocated to your Operational Area
- Additional Project Using Excess Funds Form & Additional Project Using Excess Funds Detailed Budget
 - Both forms must be completed if requesting additional funds (contingent on availability/project selection)
 - Additional funds are for one-time, EMPG eligible projects that can be completed on short notice within the regular grant cycle



Application Submission

- An electronic copy of the FMFW must be submitted to your Cal OES EMPG Program Specialist no later than **September 14, 2015**
- The completed/reviewed original hard copy of the complete application with original signatures
 - Should be submitted **ASAP**
 - Must be **received** by the Cal OES EMPG Program Specialist no later than **October 14, 2015**
- Applications should be mailed to:

Cal OES
Emergency Management Grants Unit
Attn: (Insert Program Specialist's Name)
3650 Schriever Avenue
Mather, CA 95655



Application Submission Process

- The E-copy of the FMFW must be submitted by September 14, 2015
 - The Program Specialist will review and contact with any adjustments
 - All adjustments must be completed prior to submission of the original hard copy
- All signatures must be wet/original
- Wait for your Program Specialist to advise you to submit the hard copy in order to avoid **delays**



Common Application Errors

- Incomplete/missing information
- Wrong signatures
- EHP/SAFECOM not identified
- Inconsistent project names
- Project descriptions are vague and do not accurately/adequately describe the scope of work
- Different types of equipment combined in the same line item



EHP Requirements

- 1) EHP Compliance
- 2) EHP Tips
- 3) CHRIS Reports



EHP Compliance

- FEMA is legally required to consider the potential environmental impacts
- EHP Screening Form
 - Completed by each subrecipient
 - Found here: www.fema.gov/doc/government/grant/bulletins/info329_final_screening_memo.docx
 - As soon as possible
- Forms must be submitted to Cal OES Program Specialist **electronically** with photos/support docs as a single Word document.
- **Required** for:
 - ALL Installation of Equipment
 - Ground disturbing activities
 - New construction, including communication towers
 - Modification/renovation of existing buildings/structures
- Portable, Mobile, and “Plug & Play” Equipment are **EXEMPT**



EHP Tips

- Cal OES may request additional photos/verification to ensure equipment is exempt
- All AEL #s requiring **installation** require an EHP, regardless of whether or not a trigger is indicated
 - **“Installation”** defined - “Placing equipment into position for use by physically connecting it in more or less permanent manner”
 - **“Physical connection”** includes but is not limited to any method of attaching equipment to any structure by means of fasteners (screws, nails, brackets, etc.) that involves removing, replacing, or altering interior or exterior building materials or causing ground disturbance to provide access for electrical wiring, conduit, connections, or any other purpose related to the use of the equipment
- Several EMPG Equipment installations at the same site can be completed on one EHP Screening form



EHP Tips Continued

- The Process can take 6 months or longer
- Earlier submission increases the chance of approval before the end of the grant period
- All EHP-related documents must be received by Cal OES no later than **December 31, 2015**



Confidential CHRIS Reports

- A Confidential California Historic Resources Information System (CHRIS) Report is a report that contains information regarding historic, environmental, and archaeological resources that are located in the vicinity of the proposed EHP project's location
- A Confidential CHRIS Report is required whenever DHS/FEMA review of the EHP screening form determines that the project will not meet any of the DHS/FEMA programmatic allowances as identified in FEMA's Programmatic Agreement with Cal SHPO.



Confidential CHRIS Reports Continued

- May be requested by FEMA
 - You will be notified by your Cal OES Program Specialist when it is necessary
 - Requesting a Confidential CHRIS Report will require an additional form
- Confidential CHRIS Reports approved by OHP will be sent directly to FEMA
- Reports will likely be required for any EHP activity taking place **outside**



Reimbursement Requests

- 1) The Process
- 2) Common Errors



Reimbursement Requests – The Process

- EMPG is a reimbursement grant – no cash advances are permitted
- The FMFW contains instructions
 - If additional help is needed, contact your Program Specialist
- Payments will be made within 30 days after Cal OES receives a valid and complete Reimbursement Request
- Source documents supporting all amounts claimed on the Reimbursement Request must be retained for auditing and monitoring
- Requests may be submitted monthly or quarterly
- Electronic copies must be submitted to and reviewed by your Program Specialist **prior** to submission



Reimbursement Requests – The Process Continued

- A tutorial entitled “Submitting an EMPG Reimbursement Request” can be found here:
<http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>



Common Reimbursement Request Errors

■ **Missing Information**

- Training Feedback Numbers
- Equipment Info
 - SAFECOM
 - Invoice Number
 - Vendor
 - ID Tag Number
 - Condition & Disposition
 - Deployed Location
 - Acquired Date
 - Part of 150K procurement
 - EHP Approval Dates
- Payroll Periods

- Reimbursement Period dates are inconsistent
- Wrong signature
- Missing Tabs
- Tab info conflicts with Project Ledger



Subaward Modifications

- 1) The Process
- 2) Common Errors



Subaward Modification Request – The Process

- Electronic copies must be submitted to and reviewed by your Program Specialist **prior** to submission
- OAs may submit modification requests once per quarter
 - More modifications may be allowed on a case by case basis
- A modification must be completed **prior** to initiating any scope of work or incurring any expenses not previously approved on the FMFW
- The FMFW contains instructions
 - If additional help is needed, contact your Program Specialist



Subaward Modification – The Process Continued

- A Tutorial entitled, “Submitting an EMPG Modification Request” can be found here:
<http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>

**Any changes
to the total dollar amount of any
Project in the FMFW will necessitate
corresponding changes to the BSIR
via the Grants Reporting Tool.**



Common Modification Errors

- Incomplete & inconsistently documented changes
- Match amounts aren't changed or are inconsistent
- ~~Reds~~ and Blues don't balance
- Unauthorized Agent
- New items/scope of work changes on reconciliation
- Adding purchases/expenses that have already been made
- Lack of pictures or info for non-EHP equipment
- Missing Project Descriptions Tab



FMFW Changes

- 1) New Face Sheet
- 2) Match Descriptions
- 3) Project Ledger
- 4) Planning Tab
- 5) Training Tab
- 6) Exercise Tab
- 7) Indirect Cost Tab
- 8) Indirect Cost Summary Tab



PROJECT DESCRIPTIONS

Match Descriptions must now be included in the Project Description

SELECTION			SELECTION			SELECTION			
ROW	ROW	ROW				ROW SIZE 145	AUTO FIT ROWS	NEW MOD REQUEST	NEW MOD ITEM
Project	NPG Mission Area	NPG Core Capabilities	Cal OES Goals	Project Description	Match Description	Need	Project Milestone & Justifications		
Project A							At the 6 month mark, this project will be ___% complete and \$___ funds will be expended. At the 12 month mark, this project will be ___% complete and \$___ funds will be expended. At the 15 month mark, this project will be ___% complete and \$___ funds will be expended.		
Project B							At the 6 month mark, this project will be ___% complete and \$___ funds will be expended. At the 12 month mark, this project will be ___% complete and \$___ funds will be expended. At the 15 month mark, this project will be ___% complete and \$___ funds will be expended.		
Project C							At the 6 month mark, this project will be ___% complete and \$___ funds will be expended. At the 12 month mark, this project will be ___% complete and \$___ funds will be expended. At the 18 month mark, this project will be ___% complete and \$___ funds will be expended.		



CRITICAL EMERGENCY SUPPLIES

- No longer an Equipment AEL
- Holds still apply

Specific											PLANNING											CFDA #
<i>result in delayed application approval, modification requests, or reimbursement requests. Please advise and/or re-submit any altered Financial Management Forms Workbook.</i>													CLEAR	LEDGER TYPE:								
<i>lowed. Attempts to use decimals will prompt error message.</i>													Initial App.									
													REIMB Req.									
SELECTION	ROW	ROW SIZE 15	ROW SIZE AUTO	FORMULA RESET	NEW REIMB/ MOD REQUEST	NEW MOD ITEM	MOD	Approval: Cal OES ONLY	Amount This Request													
Planning Activity	Funding Source	Discipline	Solution Area Sub-Category	Expenditure Category		Final Product	Hold Trigger	Approval Date	Part of a Procurement over 150k	Sole Source Involved	Budgeted Cost	Amount Approved Previous										
			Critical Emergency Supplies	Shelf Stable Ready to Eat Food Packs							-	-	-									
			Critical Emergency Supplies	Basic Medical Supply Kits																		
			Critical Emergency Supplies	Emergency Water Rations																		



The Cal OES Emergency Management Grants Unit

Inland Region Specialist:

Patti Delaney
(916) 845-8469
Patti.Delaney@CalOES.ca.gov

Coastal Region Specialist:

Michelle Cruz
(916) 845-8383
Michelle.Cruz@CalOES.ca.gov

Southern Region Specialist:

Jason Stalder
(916) 845-8289
Jason.Stalder@CalOES.ca.gov

Tribal Nations:

Cheryl McCorkle
(916) 845-8415
Cheryl.McCorkle@CalOES.ca.gov

Unit Chief:

John Thomas
(916) 845-8413
John.Thomas@CalOES.ca.gov

THANK YOU!



Questions?

Thank you for your time! We appreciate all of your hard work, and look forward to helping in any way we can!