



***Cal* OES**

**GOVERNOR'S OFFICE
OF EMERGENCY SERVICES**

**Fiscal Year 2018
Emergency Management Performance Grant
Program**

***California Supplement to the
Federal Notice of Funding Opportunity***

October 2018

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Director's Message

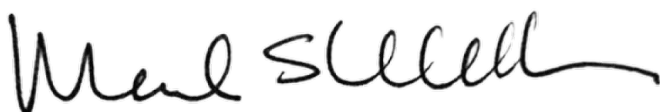
In California, the Emergency Management Performance Grant (EMPG) Program has been leveraged by state, local, and tribal emergency management agencies to acquire the resources necessary to ensure a well-organized and rapid response to disasters. As a result, the State, Local, and Tribal capabilities established utilizing EMPG Program funds have built the advanced capacities that are necessary for ensuring our collective optimum readiness in the complex all hazards environment of California.

The EMPG Program provides direct fiduciary support for California's Standardized Emergency Management System (SEMS) and the series of activities which continue to maintain its tiered system of emergency management support. In fact, California's SEMS and its Incident Command System ultimately became the cornerstone for the National Incident Management System; this is a prime example of how California's experience and leadership in emergency management activities ultimately benefit the entire Nation.

As California's emergency management professionals, it's up to us to stay integral in our emergency management role if we are to remain robust, resilient, and forward-leaning to combat the ever-expanding list of hazards that we face.

To that end, I announce the California Governor's Office of Emergency Services (Cal OES) *Fiscal Year 2018 Emergency Management Performance Grant Program California Supplement to the Federal Notice of Funding Opportunity.*

Sincerely,



MARK S. GHILARDUCCI
Director

Federal Notice of Funding Opportunity Announcement	<p>In May 2018, the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) issued the Fiscal Year (FY) 2018 Emergency Management Performance Grant Program (EMPG), Notice of Funding Opportunity (NOFO) found on the Cal OES and FEMA websites and is available for download at https://www.fema.gov/media-library-data/1526578379064-1a52c022786d147e1509a186a2764889/FY_2018_EMPG_REGULAR_NOFO_5_11_2018_FINAL_508.pdf. Subrecipients must follow the programmatic requirements set forth in the NOFO, and the applicable provisions of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards located in Title 2, Code of Federal Regulations (C.F.R.), Part 200.</p>
Information Bulletins	<p>DHS issues Information Bulletins (IBs) to provide updates, clarification, and new requirements throughout the life of the grant. IBs may be obtained at: https://www.fema.gov/grants/grant-programs-directorate-information-bulletins.</p>
Purpose of the California Supplement	<p>The FY 2018 EMPG California Supplement to the NOFO (State Supplement) is intended to complement, rather than replace, the NOFO published by DHS. It is recommended that Applicants thoroughly read the NOFO before referring to the State Supplement. The State Supplement will emphasize differences between the FY 2017 and FY 2018 EMPG, and highlight additional California policies and requirements applicable to the FY 2018 EMPG.</p>
Key Changes to the FY 2018 Emergency Management Performance Grant	<ul style="list-style-type: none">• The Federal Funding Accountability and Transparency Act (FFATA) Financial Disclosure is now incorporated as an attachment to be included with the required application documents. It is no longer a part of the Financial Management Forms Workbook (FMFW).• Subrecipients will receive a Notification of Award Approval letter. Subrecipients will be required to accept the award letter by signing and returning the original to their Program Representative within 20 days.• The FY 2018 EMPG NOFO identified that there is no minimum exercise requirement for the State Administrative Agency (SAA). In order to meet exercise requirements that address the capability gaps in the priority areas of logistics, housing, and catastrophic planning, Subrecipients are required to complete a minimum of three exercises. The exercises must be completed by the end of the subaward performance period.

Grant Management Memoranda	Cal OES issues Grant Management Memorandum (GMMs) which provide additional information and requirements regarding EMPG funds. GMMs can be located at: https://www.caloes.ca.gov/cal-oes-divisions/grants-management/homeland-security-prop-1b-grant-programs/memos .
Eligible Subrecipients	Eligible Applicants, referred to as Subrecipients, include Counties/Operational Areas (OAs) and Tribes located in California.
Tribal Allocations	<p>The NOFO strongly encourages Cal OES to provide access to EMPG funds directly to Tribes in California. To implement this requirement, a special Request for Proposal will be issued to California’s federally-recognized Tribes and Indian organizations, as described in the Cal OES Tribal Consultation Policy. http://www.caloes.ca.gov/cal-oes-divisions/tribal-coordination</p> <p>All Subrecipients are encouraged to coordinate with Tribal governments to ensure that Tribal needs are considered in their grant applications.</p>
Subrecipient Allocations	FY 2018 EMPG Subrecipient allocations are included in Attachment A.
NIMS Implementation	Prior to allocation of any federal preparedness awards in FY 2018, Subrecipients must ensure and maintain adoption and implementation of the National Incident Management System (NIMS). Additional information can be found at https://www.fema.gov/national-incident-management-system .
Supplanting	Grant funds must be used to supplement existing funds, not replace (supplant) funds that have been appropriated for the same purpose. Subrecipients may be required to provide supporting documentation that certifies a reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds. Supplanting will result in the disallowance of the activity(s) associated with this improper use of the federal grant funds.
Public/Private Organizations	Subrecipients may contract with any other public or private organizations to perform eligible activities on approved EMPG projects.
Debarred/ Suspended Parties	Subrecipients must not make or permit any award (subgrant, subaward or contract) at any tier, to any party, that is debarred, suspended, or otherwise excluded from, or ineligible for, participation in federal assistance programs.

**Debarred/
Suspended
Parties Cont.**

Subrecipients must obtain documentation of eligibility prior to making any subaward or contract funded by EMPG funds, and must be prepared to present supporting documentation to monitors/auditors.

Before entering into a Grant Subaward, the Subrecipient must notify Cal OES if it knows if any of the principals under the subaward fall under one or more of the four criteria listed at 2 C.F.R. § 180.335. The rule also applies to Subrecipients who pass-through funding to other local entities.

If at any time after accepting a subaward, Subrecipients learn that any of its principals fall under one or more of the criteria listed at 2 C.F.R. § 180.335, immediate written notice must be provided to Cal OES and all grant activities halted until further instructions are received from Cal OES. The rule also applies to subawards passed through by Subrecipients to local entities.

FY 2018 Program Priorities

DHS/FEMA annually publishes the National Preparedness Report (NPR) to report National progress in building, sustaining, and delivering the core capabilities outlined in the goal of a secure and resilient Nation. This analysis provides a National perspective on critical preparedness trends for whole community partners to use to inform program priorities, allocate resources, and communicate with stakeholders about issues of concern.

EMPG Subrecipients are encouraged to consider national areas for improvement identified in the National Preparedness Goal (NPG), which include the following core capabilities:

- Cybersecurity
- Infrastructure Systems
- Economic Recovery
- Housing
- Supply Chain Integrity and Security
- Natural and Cultural Resources

DHS FEMA does not prescribe a minimum funding amount for these priorities. However, Subrecipients are required to support local, regional, state, and national efforts in achieving the desired outcomes of these priorities.

Public Alert and Warning

It is the priority of Cal OES to develop and enhance sheltering and evacuation plans for alerting and warning the public of an emergency. As stated in the FY 2018 NOFO, EMPG funds may be used to develop or enhance emergency management planning activities including developing and enhancing sheltering and evacuation plans for alerts/warning, crisis communications, pre-positioning of equipment for areas potentially impacted by mass evacuations, and re-entry.

Cal OES encourages Subrecipients to consider how use of this funding may ensure that their jurisdiction's alert and warning activities are consistent with the guidelines developed Pursuant to Senate Bill 833 of the 2018 Legislative Session.

Match Requirement

The FY 2018 EMPG requires a dollar-for-dollar match. This can be cash or third party in-kind contributions. Refer to 2 C.F.R. § 200.29 and § 200.306 for specific details. Utilizing the FMFW Match tab, Subrecipients will indicate the appropriate Solution Area and Solution Area Subcategory that accurately represents the specific activity(s) and cost(s) used to meet the match requirement under the FY 2018 EMPG subaward.

Management and Administration

The Management and Administration (M&A) allowance for Subrecipients is set at a maximum of 5% for the FY 2018 EMPG.

Indirect Costs

Indirect costs are allowable under the FY 2018 EMPG Grant Award. Subrecipients who claim indirect costs may do so provided they use one of the following two methods:

1. 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.
2. Subrecipients who have never received a negotiated indirect cost rate 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 as described in 2 C.F.R. Part 200, § 200.68, and Subpart E.

Indirect costs are *in addition to* the M&A allowance, and must be included in the Grant Award application as a “Project” and reflected in the FMFW on the Indirect cost category ledger if being claimed under the award. Indirect costs may be claimed no more than once annually, and only at the end of the fiscal year. Costs must be broken out by fiscal year if there is a rate change. Indirect costs must be based on claimed direct costs, excluding equipment expenditures.

Equipment Typing/ Identification and Use

Subrecipients who allocate FY 2018 EMPG funds for equipment are required to type and identify the capability associated with that equipment. Also, per FEMA policy, the purchase of weapons and weapon accessories is not allowed with EMPG funds.

Allowable EMPG equipment is listed on the Authorized Equipment List (AEL) website at <https://www.fema.gov/authorized-equipment-list>.

Expenditures for general purpose equipment are allowable if they align to and support one or more core capabilities identified in the NPG, and in addition, are sharable through the Emergency Management Assistance Compact and allowable under 6 U.S. C. § 609. Refer to the FY 2018 NOFO for examples of allowable general purpose equipment.

Equipment Maintenance/Sustainment	Use of EMPG funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable as described in FEMA IB 336 and 379.
Small Unmanned Aircraft Systems	All requests to purchase Small Unmanned Aircraft Systems (SUAS) with FEMA grant funding must comply with IB 426 and include a description of the policies and procedures in place to safeguard individuals' privacy, civil rights, and civil liberties of the jurisdiction that will purchase, take title to or otherwise use the SUAS equipment.
Emergency Operations Plans	Subrecipients should maintain a current Emergency Operation Plan that is aligned with guidelines set out in Comprehensive Preparedness Guide 101 version 2.0.
Access and Functional Needs Population	Subrecipients conducting major planning projects (including, but not limited to Evacuation, Mass Care and Shelter, Disaster Recovery, etc.) should address access and functional needs, including the needs of children, within their planning documents in order to maintain EMPG eligibility.
Conflict of Interest	Subrecipients must disclose to their Program Representative, in writing, any real or potential conflict of interest as defined by the Federal, State, Local, or Tribal statutes or regulations, which may arise during the administration of the EMPG subaward within five days of learning of the conflict of interest.

**“On Behalf
Of”**

Cal OES may, in conjunction with local approval authorities, designate funds “on behalf of” local entities who choose to decline or fail to utilize their subaward in a timely manner.

**Regional
Approach**

Subrecipients must take a regional approach and consider the needs of local units of government in the projects and activities included in their FY 2018 EMPG application.

Financial Management Forms Workbook

The FY 2018 Cal OES FMFW can be accessed at <http://www.caloes.ca.gov/cal-oes-divisions/grants-management/criminal-justice-emergency-management-victim-services-grant-programs/emergency-management-performance-grant> and includes:

Grant Subaward Face Sheet – Use the Grant Subaward Face Sheet to apply for grant programs. The Grant Subaward Face Sheet must be signed and printed in portrait format.

Authorized Agent Contact Information – Provides the contact information of any additional Authorized Agents (AA) and staff related to grant activities. It is recommended more than one person be designated as the AA so if one AA is not available, a second AA can sign requests.

Project Ledger – The Project Ledger is used in the application process to submit funding information and is used for submitting Cash Requests, Grant Subaward Modifications, and to assist with completion of the Biannual Strategy Implementation Report (BSIR).

Planning Ledger – Provides detailed information on grant-funded Planning activities with a final product identified.

Organization Ledger – Provides detailed information on grant-funded Organizational activities.

Equipment Ledger – It is an EMPG requirement that detailed information be provided under the equipment description for all grant-funded equipment. AEL numbers must be included for all items of equipment. Always refer to the AEL for a list of allowable equipment and conditions, if any.

Training Ledger – Provides detailed information on grant-funded Training activities. All training activities must receive Cal OES approval prior to starting the event, including a Training Feedback number. The form to obtain a Training Feedback number may be found at the following link:
<https://w3.calema.ca.gov/WebPage/trainreq.nsf/TrainRequest?OpenForm>

Exercise Ledger – Provides detailed information on grant-funded Exercises.

M&A Ledger – Provides information on grant-funded M&A activities.

Financial Management Forms Workbook Cont.

Indirect Costs Ledger – Provides information on Indirect Costs.

Consultant-Contractor Ledger – Provides detailed information on grant-funded consultants.

Personnel Ledger – Provides detailed information on grant-funded Personnel activities.

Authorized Agent Page – The AA Page must be submitted with the application, all Cash Requests, and Grant Subaward Modifications. The AA must include the appropriate signature, expenditure period, and date.

Subrecipient Grants Management Assessment

Per 2 C.F.R. § 200.331, Cal OES is required to evaluate the risk of noncompliance with federal statutes, regulations, and grant terms and conditions posed by each Subrecipient of pass-through funding. The Subrecipient Grants Management Assessment, found as Attachment B, contains questions related to your organization’s experience in the management of federal grant awards. It is used to determine and provide an appropriate level of technical assistance, training, and grant oversight to Subrecipients during the subaward. The questionnaire must be completed and returned with your grant application. A PDF fillable version of the form may be found at: <http://www.caloes.ca.gov/cal-oes-divisions/grants-management/criminal-justice-emergency-management-victim-services-grant-programs/emergency-management-performance-grant>.

Narrative Attachments

Indirect Cost Rate Agreement – If claiming indirect costs at a federally-approved rate, please provide a copy of your approved Indirect Cost Rate Agreement.

FFATA Financial Disclosure – Use the FFATA Financial Disclosure, referenced as Attachment C, to provide information required by the Federal Funding Accountability and Transparency Act of 2006. If your organization is not subject to the FFATA Financial Disclosure requirements, check the "Not Subject to FFATA Financial Disclosure" box at the bottom of the page.

Grant Assurances

The Grant Assurances list the requirements to which the Subrecipients will be held accountable. All Applicants will be required to submit a signed, **original** of the FY 2018 Grant Assurances as part of their FY 2018 EMPG application. The required Grant Assurances can be found only in PDF format on the Cal OES website.

NOTE: Self-created Grant Assurances will not be accepted.

**Governing
Body
Resolution**

The Governing Body Resolution (GBR) appoints AAs (identified by the individual's name or by a position title) to act on behalf of the governing body and the Applicant by executing any actions necessary for each application and subaward. All Applicants are required to submit a copy of their FY 2018 GBR with their application. A sample Resolution is found as Attachment D.

**Authorized
Agent
Information**

For each person or position appointed by the governing body, identify the individual in the AA and Contact Information page of the FMFW.

Application Submission

Subrecipients must submit an electronic copy of their completed FMFW to their Program Representative for review. After the application is approved, a completed hardcopy of the FMFW, along with all other application components must be mailed, with original signatures, by the application due date. During the application process, if it is determined all allocated funds cannot be expended by the end of the performance period, inform your Program Representative as soon as possible. The completed application should be received by Cal OES by no later than November 16, 2018. The FY 2018 EMPG Timeline is referenced as Attachment E.

HAND-DELIVERED APPLICATIONS WILL NOT BE ACCEPTED

Late or Incomplete Application

Late or incomplete applications may be denied. If an application is incomplete, the Program Representative may request additional information. Requests for late submission of applications must be made in writing to the Program Representative prior to the application due date. Cal OES has sole discretion to accept or reject a late or incomplete grant application. All application documents requiring an original signature must be mailed in hardcopy.

EMPG Contact Information

All Subrecipient application materials, questions, comments, and correspondence should be directed to:

California Governor's Office of Emergency Services
ATTN: Grants Management (Building E)
Emergency Management Performance Grants Unit
3650 Schriever Avenue
Mather, CA 95655

Alissa Adams, Chief	(916) 845-8415
Patti Delaney	(916) 845-8469
Christine So	(916) 845-8383
Yer Yang	(916) 845-8468

The Program Representative Regional Assignments Map is available under "Regional Assignments" at: <http://www.caloes.ca.gov/cal-oes-divisions/grants-management/criminal-justice-emergency-management-victim-services-grant-programs/emergency-management-performance-grant>.

Subaward Approval

The Subrecipient will receive written notice of the State's approval of its Grant Subaward. Subrecipient reimbursements will not be made until all required application components have been approved by Cal OES. Grant Subaward letters must be signed and the original must be returned to Cal OES within 20 days. Subrecipients should retain a copy of the signed form for their records.

Payment Request Process

EMPG is a reimbursement grant; no cash advances are permitted. To request a cash reimbursement of FY 2018 EMPG funds, Subrecipients must first complete a payment request using the Cal OES FMFW, returning it to the appropriate Program Representative. Subrecipients who fail to follow the workbook instructions may experience delays in processing the payment request.

Payments can only be made if the Subrecipient has submitted a completed and approved application.

Exercise costs will not be reimbursed until an After Action Report (AAR) has been posted and access to the AAR has been granted to your Program Representative.

Modifications

Post award budget, scope, and time modifications must be requested using the Cal OES FMFW V 1.18 signed by the Subrecipient's AA, and submitted to the Program Representative.

The Subrecipient may implement grant modification activities, and incur associated expenses, only after receiving written final approval of the modification from Cal OES.

Training Requirements

Training activities supported with EMPG Program funds should align to NPG core capabilities identified in each Subrecipients Training and Exercise Plan. Subrecipients must obtain a Training Feedback Number from Cal OES before beginning any Training activities. This includes project components like travel to, materials for, or attendance in training courses. Training Feedback Numbers must be obtained no later than 30 days before the first day of the training or related activities. Subrecipients must complete a Training Request Form and submit it electronically to Cal OES.

For more information on this or other training-related inquiries, contact the Cal OES Training Branch at (916) 845-8752 or their website at: <http://www.caloes.ca.gov/Cal-OES-Divisions/California-Specialized-Training-Institute>.

All EMPG-funded personnel, including M&A staff, must complete one of the two following sets of training courses. Proof of completion of the training requirements must be kept on file by the Subrecipient and be made available for review upon request. When seeking approval of non-DHS/FEMA developed courses, course materials must be submitted with the approval requests. Conditional approvals are not offered.

**Training
Requirements
Cont.**

EMPG TRAINING – OPTION 1

IS 100 (any version), Introduction to Incident Command System (ICS)

IS 200 (any version), ICS for Single Resources and Initial Action Incident

IS 700 (any version), National Incident Management System, An Introduction

IS 800 (any version), National Response Framework, An Introduction

IS 120.a Introduction to Exercises

IS 230.d Fundamentals of Emergency Management

IS 235.b Emergency Planning

IS 240.b Leadership and Influence

IS 241.b Decision Making and Problem Solving

IS 242.b Effective Communication

IS 244.b Developing and Managing Volunteers

EMPG TRAINING – OPTION 2

IS 100 (any version), Introduction to the Incident Command System (ICS)

IS 700 (any version), National Incident Management System (NIMS), An Introduction

IS 800 (any version), National Response Framework, An Introduction

IS 230.d Fundamentals of Emergency Management

E/L0101, Foundations of Emergency Management

E/L0102, Science of Disaster

E/L0103, Planning Emergency Operations

E/L0104, Exercise Design

Training Requirements Cont.

E/L0105, Public Information and Warning

For EMPG-funded personnel who choose Option 2, please report the employee's full name, name of the training, and the date the training was completed in your performance report.

In the event that any of the listed courses have been updated and the required version is no longer available, it is acceptable to take the updated course in place of the listed course (i.e., since IS-120.a has been replaced with IS-120.C, the latter may be used in the place of the original course.) The courses listed above are the minimum accepted versions for FY 2018 EMPG.

Exercises, Improvement Plans and After Action Reporting

Subrecipients should engage stakeholders to identify long-term training and exercise priorities. These priorities should address capability targets and gaps identified through the annual Threat and Hazard Identification and Risk Assessment and Stakeholder Preparedness Review process, real-world events, previous exercises, and national areas for improvement identified in the NPR.

Subrecipients must report on all exercises conducted with EMPG grant funds. An After Action Report (AAR) and Improvement Plan (IP) or Summary Report (for Seminars & Workshops) must be completed and submitted to Cal OES within 90 days after the exercise/seminars/workshops are conducted. It is acceptable to submit an *Exercise Summary Report for Seminars and Workshops* in lieu of a full AAR/IP.

AAR/IPs and Summary Reports should be emailed to:

- Exercise@caloes.ca.gov
- hseep@fema.dhs.gov
- Your Program Representative

All EMPG-funded personnel, including M&A staff, must participate in three exercises of any type between July 1, 2018 and June 30, 2019. Extensions to the grant do not apply to this requirement or its deadline. There is no specific requirement for level of participation in the exercises and the exercises can be of any type.

For exercise-related issues and/or questions, please email the Cal OES Exercise Team at exercise@caloes.ca.gov.

Noncompetitive Procurements To be eligible for reimbursement, noncompetitive procurements exceeding the simplified acquisition threshold require Cal OES prior written approval. This method of procurement must be approved by your local Purchasing Agent prior to submitting a request for Cal OES approval. A copy of the Purchasing Agent’s approval must be included with submission. Cal OES may request additional documentation that supports the procurement effort.

Procurement Thresholds Effective June 20, 2018, the micro-purchase threshold was increased from \$3,500 to \$10,000 and the simplified acquisition threshold was increased from \$150,000 to \$250,000. These increases apply to all Subrecipient procurements executed on or after June 20, 2018. Refer to IB 434 for additional information.

Environmental Planning and Historic Preservation DHS/FEMA is required to ensure all activities and programs that are funded by the agency comply with federal Environmental Planning and Historic Preservation (EHP) regulations. Subrecipients proposing projects or activities (including, but not limited to, training, exercises, the installation of equipment, and construction or renovation projects) which have the potential to impact the environment must participate in the EHP review process. EHP Screening Memos must include detailed project information and explain the goals and objectives of the proposed project, and include supporting documentation. DHS/FEMA may also require the Subrecipient provide a confidential California Historical Resources Information System (CHRIS) report in addition to the EHP Screening Form. Determination on the necessity of a CHRIS report is based upon information disclosed on the EHP Screening Form. Your Program Representative will provide you with additional instructions should this report be required. EHP requests should be submitted to Cal OES as early as possible. All projects/activities triggering EHP must receive DHS/FEMA written approval prior to commencement of the funded activity.

The EHP Screening Form is at: <http://www.caloes.ca.gov/cal-oes-divisions/grants-management/criminal-justice-emergency-management-victim-services-grant-programs/emergency-management-performance-grant>.

Updated information on Grants Program Directorate (GPD) EHP FEMA Policy #108-023-1 can be accessed at: <http://www.fema.gov/grant-programs-directorate-policy>.

Construction and Renovation

When applying for construction funds, including communications towers, at the time of application, Subrecipients must submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits, and a notice of federal interest. Additionally, Subrecipients are required to submit a SF-424C Budget and Budget Detail that cites the project costs. Communications tower construction requests also require evidence the Federal Communications Commission’s Section 106 review process has been completed.

Written approval for construction must be provided by DHS/FEMA prior to the use of any EMPG funds for construction or renovation.

Inventory Control and Property Management

FY 2018 EMPG Subrecipients must use standardized resource management concepts for resource typing and credentialing, in addition to maintaining an inventory by which to facilitate the effective identification, dispatch, deployment, tracking and recovery of resources.

Subrecipients must have an effective inventory management system, to include:

- Property records that document description, serial number or other ID, title information, acquisition date, cost, location, use and condition, and ultimate disposition;
- Conducting a physical inventory at least every two years;
- A control system to prevent loss, damage, and theft of grant purchased equipment and supplies; and
- Adequate maintenance procedures must be developed to keep the property in good condition.

Equipment Disposition

When original or replacement equipment acquired under the EMPG is no longer needed for program activities, the Subrecipient must contact the Program Representative to request disposition instructions.

Performance Reporting

Subrecipients must complete a BSIR each Winter and Summer using the DHS/FEMA Grants Reporting Tool (GRT) for the duration of the subaward performance period or until all grant activities are completed and the subaward is formally closed by Cal OES. Failure to submit a BSIR could result in subaward reduction, termination, or suspension.

To obtain access to the online GRT, please log on the DHS/FEMA website at <https://www.reporting.odp.dhs.gov>. To create a new

Performance Reporting Cont.

account, please follow the instructions that read, “If you need to register for an account, please click here.” The Subrecipient will be required to ensure up-to-date project information is entered. For additional assistance with the GRT, please contact your Program Representative.

Extension Requests

Extensions to the initial performance period identified in the subaward will only be considered through formal, written requests to your Program Representative. Upon receipt of the extension request, Cal OES will:

1. Verify compliance with performance reporting requirements by confirming the Subrecipient has submitted all necessary performance reports;
2. Confirm the Subrecipient has provided sufficient justification for the request; and
3. If applicable, confirm the Subrecipient has demonstrated sufficient progress in past situations where an extension was authorized by Cal OES.

Extension requests will be granted only due to compelling legal, policy, or operational challenges, and will only be considered for the following reasons:

1. Contractual commitments with vendors that prevent completion of the project within the performance period;
2. The project must undergo a complex environmental review which cannot be completed within this timeframe;
3. Projects are long-term by design and therefore, acceleration would compromise core programmatic goals, and
4. Where other special circumstances exist.

To be considered, extension requests must be received no later than 60 days prior to the end of the Subrecipient’s performance period, and must contain specific and compelling justifications as to why an extension is required. All extension requests must address the following:

1. Grant program, fiscal year, and award number;
2. Reason for delay;
3. Current status of the activity/activities;
4. Approved performance period termination date and new project completion date;
5. Amount of funds drawn down to date;
6. Remaining available funds, both federal and non-federal;
7. Budget outlining how remaining federal and non-federal funds

Extension Requests Cont.

- will be expended;
8. Plan for completion, including milestones and timeframes for each milestone and the position/person responsible for implementing the plan for completion; and
 9. Certification that the activity/activities will be completed within the extended performance period without any modification to the original Statement of Work.

General questions regarding extension requirements should be directed to your Program Representative. For additional information, please see IB 379 at: <https://www.fema.gov/pdf/government/grant/bulletins/info379.pdf>. Extension requests for personnel and salaries do not meet the requirements of IB 379 and will not be granted. Subrecipients are expected to complete all grant funded personnel activity by the end of the subaward performance period.

Progress Reports on Grant Extensions

All Subrecipients that receive Cal OES approval to extend their FY 2018 grant subaward performance period may be required to submit progress reports indicating completed and future project milestones on all extended projects. Progress reports must be submitted electronically to the Program Representative. Deadlines for the submission of progress reports will be established at the time of extension approval.

Monitoring

Cal OES Grants Monitoring actively monitors Subrecipients, both through desk and on-site field reviews. Monitoring is based on the cost principals and administrative requirements addressed in Local, State, and Federal controlling authority, in addition to applicable financial guidelines. Reviews may include, but are not limited to:

- Entries recorded on the FMFW categories;
- Eligibility of and support for expenditures, typically covering two to three years of data;
- Comparing actual Subrecipient activities to those approved in the grant application and subsequent modifications, including the review of timesheets as appropriate;
- Ensuring advances have been disbursed in accordance with applicable guidelines;
- Confirming compliance with:
 - Grant Assurances, and
 - Information provided on performance reports and payment requests.

NOTE: It is the responsibility of all Subrecipients that pass through funds to monitor and audit the grant activities of their subawards.

Monitoring Cont.

This requirement includes, but is not limited to, on-site verification of grant activities, as required. Many Subrecipients receive “findings” which necessitate a Corrective Action Plan (CAP) on their part. Those Subrecipients who fail to submit a CAP as required shall have a “hold” placed on any future reimbursements until the “finding” is resolved.

Failure to Submit Required Reports

Periodic reporting is required by the grant. Subrecipients who miss a single reporting deadline may receive a letter addressed to their Board of Supervisors informing them of the failure to report. County OAs and Tribes who fail to report twice in a row may have subsequent awards reduced by 10% until timely reporting is reestablished.

Suspension/ Termination

Cal OES may suspend or terminate grant funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failure to submit required reports.
- Failure to expend funds in a timely manner consistent with the grant milestones, guidance and assurances.
- Failure to comply with the requirements or statutory progress toward the goals or objectives of federal or state law.
- Failure to make satisfactory progress toward the goals or objectives set forth in the Subrecipient application.
- Failure to follow grant agreement requirements or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- False certification in the application or document.
- Failure to adequately manage, monitor or direct the grant funding activities of their Subrecipients.

Before taking action, Cal OES will provide the Subrecipient reasonable notice of intent to impose corrective measures and will make every effort to informally resolve the problem.

Closeout

Cal OES will close-out Subrecipient awards when it determines all applicable administrative actions and all required work of the federal award have been completed. Subawards will be closed after:

- Receiving any applicable Subrecipient Performance Report indicating all approved work has been completed, and all funds have been distributed;
- All funds have been requested and reimbursed, or

Closeout Cont.

- disencumbered;
- Completing a review to confirm the accuracy of reported information;
- Reconciling actual costs to subawards, modifications and payments; and
- Verifying the Subrecipient has submitted a final BSIR showing all grant funds have been expended.

Records Retention

The records retention period is three years from the date of the subrecipient's final BSIR submittal showing all grant funds have been expended. The Cal OES Grant Closeout Letter will notify the Subrecipient of the start of the records retention period for all programmatic and financial grant-related records. If the SAA award remains open after the Subrecipient's Submission of the final BSIR, Cal OES will complete any additional BSIR reporting required under the award on behalf of the Subrecipient. Closed grants may still be monitored and audited. Failure to maintain all grant records for the required retention period could result in a reduction of grant funds, and an invoice to return costs associated with the unsupported activities.

Attachment A – FY 2018 EMPG Allocations | 2018

Emergency Management Performance Grant (EMPG)				
Operational Area	Population	Base Amount	Per Capita Total	Total Award
ALAMEDA	1,660,202	\$125,000	\$335,021	\$460,021
ALPINE	1,154	\$125,000	\$233	\$125,233
AMADOR	38,094	\$125,000	\$7,687	\$132,687
BUTTE	227,621	\$125,000	\$45,933	\$170,933
CALAVERAS	45,157	\$125,000	\$9,112	\$134,112
COLUSA	22,098	\$125,000	\$4,459	\$129,459
CONTRA COSTA	1,149,363	\$125,000	\$231,936	\$356,936
DEL NORTE	27,221	\$125,000	\$5,493	\$130,493
EL DORADO	188,399	\$125,000	\$38,018	\$163,018
FRESNO	1,007,229	\$125,000	\$203,254	\$328,254
GLENN	28,796	\$125,000	\$5,811	\$130,811
HUMBOLDT	136,002	\$125,000	\$27,445	\$152,445
IMPERIAL	190,624	\$125,000	\$38,467	\$163,467
INYO	18,577	\$125,000	\$3,749	\$128,749
KERN	905,801	\$125,000	\$182,786	\$307,786
KINGS	151,662	\$125,000	\$30,605	\$155,605
LAKE	65,081	\$125,000	\$13,133	\$138,133
LASSEN	30,911	\$125,000	\$6,238	\$131,238
LOS ANGELES	10,283,729	\$125,000	\$2,075,209	\$2,200,209
MADERA	158,894	\$125,000	\$32,064	\$157,064
MARIN	263,886	\$125,000	\$53,251	\$178,251
MARIPOSA	18,129	\$125,000	\$3,658	\$128,658
MENDOCINO	89,299	\$125,000	\$18,020	\$143,020
MERCED	279,977	\$125,000	\$56,498	\$181,498
MODOC	9,612	\$125,000	\$1,940	\$126,940
MONO	13,822	\$125,000	\$2,789	\$127,789
MONTEREY	443,281	\$125,000	\$89,452	\$214,452
NAPA	141,294	\$125,000	\$28,512	\$153,512
NEVADA	99,155	\$125,000	\$20,009	\$145,009
ORANGE	3,221,103	\$125,000	\$650,004	\$775,004
PLACER	389,532	\$125,000	\$78,606	\$203,606
PLUMAS	19,773	\$125,000	\$3,990	\$128,990
RIVERSIDE	2,415,955	\$125,000	\$487,529	\$612,529
SACRAMENTO	1,529,501	\$125,000	\$308,646	\$433,646
SAN BENITO	57,088	\$125,000	\$11,520	\$136,520
SAN BERNARDINO	2,174,938	\$125,000	\$438,892	\$563,892
SAN DIEGO	3,337,456	\$125,000	\$673,483	\$798,483
SAN FRANCISCO	883,963	\$125,000	\$178,380	\$303,380
SAN JOAQUIN	758,744	\$125,000	\$153,111	\$278,111

Attachment A – FY 2018 EMPG Allocations | 2018

SAN LUIS OBISPO	280,101	\$125,000	\$56,523	\$181,523
SAN MATEO	774,155	\$125,000	\$156,221	\$281,221
SANTA BARBARA	453,457	\$125,000	\$91,506	\$216,506
SANTA CLARA	1,956,598	\$125,000	\$394,832	\$519,832
SANTA CRUZ	276,864	\$125,000	\$55,870	\$180,870
SHASTA	178,271	\$125,000	\$35,974	\$160,974
SIERRA	3,207	\$125,000	\$647	\$125,647
SISKIYOU	44,612	\$125,000	\$9,003	\$134,003
SOLANO	439,793	\$125,000	\$88,748	\$213,748
SONOMA	503,332	\$125,000	\$101,570	\$226,570
STANISLAUS	555,624	\$125,000	\$112,122	\$237,122
SUTTER	97,238	\$125,000	\$19,622	\$144,622
TEHAMA	64,039	\$125,000	\$12,923	\$137,923
TRINITY	13,635	\$125,000	\$2,752	\$127,752
TULARE	475,834	\$125,000	\$96,021	\$221,021
TUOLUMNE	54,740	\$125,000	\$11,046	\$136,046
VENTURA	859,073	\$125,000	\$173,357	\$298,357
YOLO	221,270	\$125,000	\$44,651	\$169,651
YUBA	74,727	\$125,000	\$15,080	\$140,080
TRIBAL NATIONS	362,801	\$125,000	\$73,212	\$198,212
TOTAL	40,172,494	\$7,375,000	\$8,106,623	\$15,481,623

**CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES
SUBRECIPIENT GRANTS MANAGEMENT ASSESSMENT**

Subrecipient:	DUNS #:	FIPS #:
Grant Disaster/Program Title:		
Performance Period:	to	Subaward Amount Requested:
Type of Non-Federal Entity (Check Box)	<input type="checkbox"/> State Gov. <input type="checkbox"/> Local Gov. <input type="checkbox"/> JPA <input type="checkbox"/> Non-Profit <input type="checkbox"/> Tribe	

Per Title 2 CFR § 200.331, Cal OES is required to evaluate the risk of noncompliance with federal statutes, regulations and grant terms and conditions posed by each subrecipient of pass-through funding. This assessment is made in order to determine and provide an appropriate level of technical assistance, training, and grant oversight to subrecipients for the award referenced above.

The following are questions related to your organization's experience in the management of federal grant awards. This questionnaire must be completed and returned with your grant application materials.

For purposes of completing this questionnaire, *grant manager* is the individual who has primary responsibility for day-to-day administration of the grant, *bookkeeper/accounting staff* means the individual who has responsibility for reviewing and determining expenditures to be charged to the grant award, and *organization* refers to the subrecipient applying for the award, and/or the governmental implementing agency, as applicable.

Assessment Factors	Response
1. How many years of experience does your current grant manager have managing grants?	
2. How many years of experience does your current bookkeeper/accounting staff have managing grants?	
3. How many grants does your organization currently receive?	
4. What is the approximate total dollar amount of all grants you receive?	
5. Are individual staff members assigned to work on multiple grants?	
6. Do you use timesheets to track the time staff spend working on activities/projects?	
7. How often does your organization have a financial audit?	
8. Has your organization received any audit findings in the last three years?	
9. Do you have a written plan to charge costs to grants?	
10. Do you have written procurement policies?	
11. Do you get multiple quotes or bids when buying items or services?	
12. How many years do you maintain receipts, deposits, cancelled checks, invoices, etc.?	
13. Do you have procedures to monitor grant funds passed through to other entities?	

Certification: <i>This is to certify that, to the best of our knowledge and belief, the data furnished above is accurate, complete and current.</i>	
Signature: (Authorized Agent)	Date:
Print Name:	Print Title:

Subrecipient Grants Management Assessment (New 7/2017)

The attached form in PDF fillable format is available for download at:
<https://www.caloes.ca.gov/cl-oes-divisions/grants-management/homeland-security-prop-1b-grant-programs/homeland-security-grants-program>

Attachment C – FFATA Financial Disclosure | 2018

Federal Funding Accountability and Transparency Act (FFATA) Financial Disclosure

Public Law (PL) 109-282 Federal Funding Accountability and Transparency Act of 2006, amended by Section 6202(a) of the Government Funding Transparency Act of 2008 (PL 110-252), which is outlined in FEMA GPD information Bulletin No. 350.

If the Subrecipient in the preceding year received 80 percent or more of its annual gross revenues in federal Awards; **and** \$25,000,000 or more in annual gross revenues from federal awards, **and** the public does not have access to information about the compensation of the senior executives of the entity, **then the Subrecipient is subject to the FFATA Financial Disclosure requirements, and will need to fill out this form.**

Executive Name	Title	Annual Salary	Annual Dollar Value of Benefits	Total Compensation

Not Subject to FFATA Financial Disclosure

Printed Name and Title

Signature of Authorized Agent

Date

Attachment D – Sample Governing Body Resolution | 2018

BE IT RESOLVED BY THE _____
(Governing Body)
OF THE _____ THAT
(Name of Applicant)
_____, OR
(Name or Title of Authorized Agent)
_____, OR
(Name or Title of Authorized Agent)
_____,
(Name of 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 subgranted through the State of California for the following Grant Award:

(List Grant Year and Program)

Passed and approved this _____ day of _____, 20 _____

Certification

I, _____, duly appointed and
(Name)

(Title) Of the _____
(Governing Body)

do hereby certify that the above is a true and correct copy of a resolution passed and approved by the

_____ day of _____, 20 _____

(Official Position)

(Signature) _____
(Date)

Attachment E – FY 2018 EMPG Timeline | 2018

DHS Announcement of FY 2018 EMPG NOFO	May 21, 2018
Cal OES Application due to DHS	June 20, 2018
Subrecipient performance period begins	July 1, 2018
FY 2018 EMPG California Supplement release	September 2018*
Subrecipient Workshops	October 2018*
Multi Year-Training and Exercise Plans due	September 30, 2018
Subrecipient Final Applications due to Cal OES	November 16, 2018*
Submission of the FY 2018 EMPG Performance Report for the period of 7/1/18 – 9/30/18	October 16, 2018
All FY 2018 EMPG EHP-related documents must be received by Program Representative	December 31, 2018
Submission of the FY 2018 EMPG Performance Report for the period of 7/1/18 – 12/31/18	January 16, 2019
Submission of the FY 2018 EMPG Performance Report for the period of 7/1/18 – 3/31/19	April 16, 2019
Subrecipient performance period ends	June 30, 2019
Submission of the FY 2018 EMPG Performance Report for the period of 7/1/18 – 6/30/19	July 20, 2019
Final Request for Reimbursement due	Within 20 calendar days of the subaward expiration date
Cal OES's performance period ends	September 30, 2019

* These dates are approximate and based on anticipated date of DHS award to California

Attachment F – FY 2018 EMPG Program Checklist | 2018

Subrecipient: _____ **FIPS#:** _____

Program Representative: _____

Financial Management Forms Workbook:

- _____ Grant Subaward Face Sheet
- _____ Authorized Agent and Contact
- _____ Project Descriptions
- _____ Project Ledger
- _____ Planning Ledger
- _____ Organization Ledger
- _____ Equipment Ledger
- _____ Training Ledger
- _____ Exercise Ledger
- _____ Management and Administration Ledger
- _____ Indirect Cost Ledger
- _____ Consultant-Contractor Ledger
- _____ Personnel Ledger
- _____ Match Ledger
- _____ Indirect Cost Rate Summary
- _____ Authorized Agent Sheet

Required Documents:

- _____ Environmental Planning and Historic Preservation (EHP) Screening Form
- _____ FFATA Financial Disclosure
- _____ Governing Body Resolution
- _____ Subrecipient Grants Management Assessment form
- _____ 2018 EMPG Grant Assurances
- _____ Indirect Cost Rate Agreement (If Applicable)