



***Cal* OES**

**GOVERNOR'S OFFICE
OF EMERGENCY SERVICES**

Fiscal Year 2017

**EMERGENCY MANAGEMENT
PERFORMANCE GRANT (EMPG) PROGRAM**

***California Supplement to the Federal Program Notice of
Funding Opportunity; or, The State Guidance***

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 and threats that we face.

To that end, I announce the release of the California Governor's Office of Emergency Services (Cal OES) *Fiscal Year 2017 Emergency Management Performance Grant (EMPG) Program – California Supplement to the Federal Program Notice of Funding Opportunity; or The State Guidance*.

Sincerely,



MARK S. GHILARDUCCI
Director

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SUBAWARD-RELATED DOCUMENTS:¹

- FINANCIAL MANAGEMENT FORMS WORKBOOK (FMFW) – (REQUIRED)
- GOVERNING BODY RESOLUTION (GBR), MEETING MINUTES, & ADDENDUM TO GBR – (REQUIRED)
- GRANT ASSURANCES – (REQUIRED)
- SUBRECIPIENT GRANTS MANAGEMENT ASSESSMENT – (REQUIRED)
- FY 2017 EMPG PROGRAM APPLICATION CHECKLIST – (REQUIRED)
- INDIRECT COST RATE NEGOTIATION AGREEMENT – (REQUIRED IF APPLICABLE)
- EXCESS FUNDS STATEMENT FORM – (OPTIONAL)
- HOW TO SUBMIT AN EMPG MODIFICATION REQUEST – (INSTRUCTIONAL)
- HOW TO SUBMIT AN EMPG REIMBURSEMENT REQUEST – (INSTRUCTIONAL)

¹ All documents are located on the Cal OES Website at:
<http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>

Federal Program Guidance	<i>The Department of Homeland Security (DHS) Notice of Funding Opportunity (NOFO) Fiscal Year (FY) 2017 Emergency Management Performance Grant Program (EMPG)</i> was published on June 2, 2017. ²
Information Bulletins	DHS issues Information Bulletins (IBs) that provide updates, clarification, and new requirements throughout the life of the grant. ³
Grants Management Memorandums	The California Governor’s Office of Emergency Services (Cal OES) periodically issues Grants Management Memorandums (GMMs) . GMMs that provide additional information regarding EMPG funds are located on the Cal OES website. ⁴
Purpose of this Subaward & Guidance	The purpose of the EMPG Program is to provide federal funds to states to assist state, local, and tribal governments in preparing for all hazards. Funds provided under the EMPG must be used to support activities that effectively contribute to the Operational Area’s (OA) capability to prevent, prepare for, mitigate against, respond to, and recover from emergencies and disasters, whether natural or man-made. This <i>California Supplement to the Federal Program Notice of Funding Opportunity; or, The State Guidance</i> will provide the OAs with guidance and forms to apply for, perform, and closeout the FY 2017 EMPG subaward. This supplemental guide specifies the performance period, objectives, eligible activities, and other subaward-related information and requirements. This document is to supplement the DHS NOFO FY 2017 EMPG.
Eligible Subaward Recipients	<p>The eligible subaward Subrecipients are the 58 county OAs. The Tribal Guidance will be issued under separate cover.</p> <p>(Subrecipients may contract with any other public or private organizations to perform eligible activities on approved projects.)</p> <p>Note: Cal OES is the ‘Recipient’; the county is the ‘Subrecipient’; and the county’s pass-through entities are ‘Subrecipients.’ For a definition of the term Subrecipient, refer to 2 Code of Federal Regulations (C.F.R.) § 200.93.</p>
Subrecipient/ Pass-Through Entities	Any time grant funds are given to a Subrecipient, such as a political subdivision (city, town, or special district) or federally-recognized tribe, the county/pass-through entity must ensure that the terms and conditions of this subaward are included as part of the Grant Subaward with the Subrecipient.

² The DHS NOFO FY 2017 EMPG may be viewed and downloaded at: https://www.fema.gov/media-library-data/1496322792825-14e183f5162625ef399f7b09aa0630ff/FY_2017_EMPG_NOFO_Final508.pdf

³ IBs may be obtained at: <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins>.

⁴ GMMs are located at <http://www.caloes.ca.gov/cal-oes-divisions/grants-management/homeland-security-prop-1b-grant-programs/memos>

Performance Period

The performance period for FY 2017 EMPG is July 1, 2017, through June 30, 2018. **All subaward activities must be completed and all grant funds expended within this period.** Pending receipt of all valid application materials, Subrecipients may request retroactive reimbursement of Financial Management Forms Workbook (FMFW) approved activities and budgeted items to the start of the performance period listed above; with the exception of Equipment, Critical Emergency Supplies, and noncompetitive procurements (exceeding \$150,000). Equipment, Critical Emergency Supplies, and noncompetitive procurements (exceeding \$150,000) shall occur only after the OA is in award and any applicable federal, as well as state, restrictions associated with these items have been fully met.

Match Requirements

The FY 2017 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's Match tab, Subrecipients will indicate the appropriate Solution Area and Solution Area Subcategory that accurately represents the specific activity(ies) and cost(s) used to meet the match requirement for each FMFW project under the FY 2017 EMPG subaward.

Allocations and Methodology

California will subaward a total of \$15,481,623 to OAs. The local allocations were determined using a \$125,000 base award, with remaining funds distributed using per capita figures in the Department of Finance's yearly report called:

*E-1: City/County Population Estimates with Annual Percent Change*⁵

Excess Funds

While developing an application, if it is determined that all allocated funds cannot be expended by the end of the performance period and the need to return funds to Cal OES exists, then it will be necessary to complete the **Excess Funds Statement Form**.⁶ These funds may then be reallocated to other OAs who have identified one-time projects they would like to undertake; if funding is available and the project is selected for funding by Cal OES.

Indirect Costs

Indirect costs are allowable under the FY 2017 EMPG subaward. If indirect costs will be claimed under the FY 2017 EMPG, they must be identified in the FMFW during the time of application, as part of the Applicant's FY 2017 EMPG Initial Application submission to Cal OES. 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. § 200.68 and Subpart E.

⁵ This report can be accessed at the following website: <http://www.dof.ca.gov/Forecasting/Demographics/Estimates/E-1/>

⁶ This form is located at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>, under EMPG Forms.

**Indirect Costs
(Continued)**

Indirect costs are *in addition to* the Management and Administration (M&A) allowance, and must be included in the subaward application as a “Project” and reflected in the FMFW on the Indirect Cost Category Ledger if being claimed under the subaward.

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, less any excluded and/or distorting expenditures.

**Conflict of
Interest**

Subrecipients must disclose to their Cal OES EMPG Program Specialist, in writing, any real or potential conflict of interest as defined by the federal; state; local; or tribal statutes, or regulations, or their own existing policies, which may arise during the administration of the EMPG subaward within five days of learning of the conflict of interest.

**Subaward
Timelines/Key
Dates**

July 1, 2017	Subrecipient Performance Period Begins
August 7, 8, 10, 14, 15, 18, 2017	EMPG Application Workshops
September 30, 2017	Multi Year-Training & Exercise Plans due to be submitted
October 2, 2017	The OA's completed/vetted applications should be received by Cal OES EMPG Program Specialist by this date or as soon as possible
October 16, 2017	Submission of the FY 2017 EMPG Performance Report for the Period of 7/1/2017 – 9/30/2017
December 31, 2017	All FY 2017 EMPG Subrecipient Environmental and Historic Preservation (EHP) -related documents must be received by your Cal OES EMPG Program Specialist
January 16, 2018	Performance Report due to your Cal OES EMPG Program Specialist for 7/1/2017– 12/31/2017
April 16, 2018	Performance Report due to your Cal OES EMPG Program Specialist for 7/1/2017 – 3/31/2018
June 30, 2018	Subrecipient performance period ends. All subaward activities must be completed and all grant funds expended
July 16, 2018	Final Performance Report due to EMPG Program Specialist for 7/1/2017 – 6/30/2018
July 16, 2018	Final Reimbursement Request due to your Cal OES EMPG Program Specialist
September 30, 2018	Cal OES's Federal Performance Period Ends

What's New?

- **The EMPG-specific FMFW has been revised and updated for the FY 2017 EMPG.**
 - **How activities and costs used to satisfy the EMPG Match Requirement are identified on the FMFW's Match tab**
 - Subrecipients will now select the Solution Area and Solution Area Subcategory that are reflective of the activities and costs expended by the Subrecipient that are being used to satisfy the EMPG dollar-for-dollar match requirement.
 - **Reporting on the Percent of Federal Funds Used in the Purchase of EMPG equipment**
 - On the FMFW's Equipment tab, Subrecipients will report the percentage of federal participation on the project costs for the federal award under which the project was acquired as described in 2 C.F.R. § 200.313(d)(1) – Equipment (Management Requirements).
 - **A Hold Trigger entitled “Sole Source Procurement (Over 150k) Hold”** has been established and is to be utilized whenever a project involving a noncompetitive procurement exceeding \$150,000 is identified in the FMFW.
- **Meeting Minutes must be provided, along with the Governing Body Resolution (GBR),** as a requisite component of the EMPG Application Documents, as well as whenever a GBR is required to be submitted to Cal OES under the EMPG Program.
- **The Subrecipient Grants Management Assessment form is a required component of the FY 2017 EMPG Application process.** This questionnaire must be completed and provided with your application and will be utilized by Cal OES to satisfy the assessment requirement associated with each Subrecipient of pass-through funding as described in 2 C.F.R. § 200.331.
- **Restrictions on the use of EMPG grant funds for specified controlled equipment have been rescinded by DHS;** Federal Emergency Management Agency (FEMA)/Grant Programs Directorate (GPD) have provided updated guidance to subrecipients of FEMA preparedness grants, including the EMPG Program, regarding the implementation of “Executive Order (EO) 13809 Restoring State, Tribal, and Local Law Enforcement's Access to Life-Saving Equipment and Resources,” signed on August 28, 2017. Refer to IB 426.⁷
- **The acquisition of Critical Emergency Supplies, at any dollar amount, requires prior written approval from Cal OES.**
- **There is now an alternative set of training courses that EMPG Program-funded personnel can elect to complete in order to satisfy the EMPG Training requirement;** the nine courses (including prerequisites), as well as further details are listed on pages 15–18 of this Guidance.
- **Clarifying guidance on FY 2017 EMPG Program Training Requirements for EMPG Program-funded personnel** – FEMA GPD now requires that specific versions of the Professional Development Series (PDS) or Basic Academy Prerequisites and Courses be completed in order to fulfill the training component required under the EMPG Program. Refer to IB 424.⁸ See pages 15–18 of this Guidance.

⁷ FEMA IB No. 426: https://www.fema.gov/media-library-data/1509981634187-ff65775f330fb464d5711c3278f80194/ControlledEquipmentRecission_IB_Final_11-1-17.pdf

⁸ FEMA IB No. 424: https://www.fema.gov/media-library-data/1508435948993-1f7f9d225e1320254d1281be1aa915fd/FY17_HSGP.pdf

EMPG Program Emphasis

The FY 2017 EMPG Program will focus on the building, sustainment, and delivery of all hazards emergency management capabilities in the following areas:

- Planning
- Organization
- Equipment Acquisitions
- Training
- Exercises
- Emergency Operations Center (EOC) Construction and Renovation
- Maintenance and Sustainment

The FY 2017 EMPG Program plays an important role in the implementation of the **National Preparedness System (NPS)**⁹ by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the National Preparedness Goal (NPG).

The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY 2017 EMPG Program supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs.

In employing a systems-based approach to National Preparedness, no single component part can be the sole responsibility of one individual or group. For that reason, ensuring collaboration and coordination exists throughout California's tiered system of (state, local, and tribal) emergency management support is absolutely paramount.

In California, an enormous number of local, state, tribal, federal, and private agencies are involved in disaster response and recovery. It is essential to maintain seamless coordination with these agencies prior to and during disasters. Certainly, many of the core coordinating structures and working groups have already been formed. However, progress can still be made in how these coordinating structures and working groups operate.

Achieving full integration and interconnectedness between the public and private sector, among different levels of government, among multiple jurisdictions, and among departments and agencies within a single jurisdiction requires robust collaboration. Great progress has been made in interagency collaboration and coordination efforts to date, but further progress can, and must, be made to support the NPG.

To that end, in conjunction with FEMA's priorities, the State has identified **Interagency Coordination** as an area of suggested emphasis and priority to be considered by EMPG Subrecipients whenever they are leveraging FY 2017 EMPG Program funds provided by Cal OES to establish, maintain, and enhance the capabilities that are necessary to ensure that the broad network of state, local, and tribal emergency management agencies in California are well-organized and optimally ready for a unified and rapid response to the full spectrum of all hazards and threats faced in California.

⁹ The NPS can be located at: <http://www.fema.gov/national-preparedness-system>

Applicant Responsibilities

The Applicants' responsibilities are to:

1. Submit a finalized FMFW application, both electronic copy and hard copy, to their Cal OES EMPG Program Specialist as soon as possible, but preferably **no later than October 2, 2017**; along with all other required application components.

Note: An electronic copy of the proposed FMFW and other required application documents shall be submitted for Cal OES EMPG Program Specialist review and vetting **prior** to submission of signed hard copy original. The electronic copy of the FMFW and other required application documents should be submitted for Cal OES review and vetting as soon as possible, but preferably no later than, fourteen (14) calendar days before the finalized Application due date. Submission of the hardcopy originals is only to occur after the Cal OES EMPG Program Specialist's electronic copy review has concluded and the Subrecipient is directed to submit the signed hardcopy.
2. Comply with all terms and conditions contained in the Grant Assurances submitted with the FY 2017 EMPG application. In addition, if the OA subawards funds to other entities, their Grant Subaward contracts must also include these same terms and conditions; along with any local requirements.
3. Prepare and submit timely Performance Reports for the duration of the performance period.
4. Maintain financial management systems that support subaward activities in accordance with 2 C.F.R. § 200.302.
5. Submit revision requests to Cal OES and obtain approval **prior** to incurring any associated expenditures; if changes are required after the initial subaward. Further details are included in this guidance under "Subaward Modifications."
6. Deobligate unexpended subaward funds to Cal OES after all work has been completed and reimbursements have been disbursed.
7. Maintain property, programmatic, and financial records in accordance with the 2 C.F.R. Part 200 record retention requirements.
8. Comply with the audit requirements in 2 C.F.R. Part 200 Subpart F—Audit Requirements.
9. Complete all EMPG requirements associated with federal and state objectives; including but not limited to, staff training and exercises.
10. Submit all subaward-related paperwork including: Performance Reports, Reimbursement Requests, Modification Requests, and Amendments by the identified due dates.
11. Comply with 2 C.F.R. Part 200 and FEMA GPD Policies.
12. Comply with both the DHS NOFO FY 2017 EMPG and the related FY 2017 Cal OES State Supplement to the NOFO, as applicable.

Application Documents

The application must include the following components:¹⁰

1. FMFW
2. GBR & Meeting Minutes
3. Addendum to GBR
4. Grant Assurances
5. Subrecipient Grants Management Assessment
6. FY 2017 EMPG Application Checklist
7. Indirect Cost Rate Negotiation Agreement; if applicable*

*If claiming indirect costs at a federally-approved rate, then you must provide a copy of your approved indirect cost rate Negotiation Agreement – see Indirect Costs on pages 2–3 of this Guidance.

Optional Application Components

Excess Funds Statement Form - While developing an application, any excess funds should be identified and returned to Cal OES so that the funds may be reallocated to other OAs. In this case, it will be necessary to complete and submit the Excess Funds Statement Form to your Cal OES EMPG Program Specialist by the application due date.

Governing Body Resolution & Meeting Minutes

The GBR appoints agents authorized to execute any actions necessary under this subaward. Universal GBRs can be used for up to three years as long as the majority of the original approving Board members (three out of five) are still currently on the Board. If past GBRs are going to be utilized for present applications, then the OA will still need to submit a copy with their application. Universal GBRs are strongly encouraged; this refers to a GBR that does not identify a specific subaward amount, specific subaward years, and does not identify a specific grant program by name. In addition, under Cal OES's FY 2017 EMPG Program, **Meeting Minutes must be submitted along with the GBR whenever a GBR is required to be provided by the OA.**

Addendum to Governing Body Resolution

For each person or position appointed by the governing body, submit the following information to Cal OES, along with the GBR, **on the Applicant's letterhead**:

- Name
- Title
- Jurisdiction
- E-Mail Address
- Street Address, City, & Zip Code
- Phone and Fax Number(s)

Note: Changes identifying the Authorized Agent can be made if and when necessary. If the GBR identifies the Authorized Agent by name, a new GBR, Meeting Minutes, and corresponding Addendum to the GBR are needed when any changes are made. If the GBR identified the Authorized Agents by position and/or title, changes can be made by only submitting a new Addendum to the GBR. Cal OES will not accept signatures of an Authorized Agent's designee.

Official Written Correspondence

For the EMPG Program, all official written correspondence from Cal OES will be mailed to the payment mailing address, identified on the Grant Subaward Face Sheet, and addressed to the Authorized Agent who signed the Grant Subaward Face Sheet.

¹⁰ Application documents are located on the Cal OES Website on the EMPG page at:
<http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>.

Grant Assurances

The Grant Assurances contain the requirements to which the OA will be held accountable. OAs are required to file new Grant Assurances with the FY 2017 EMPG application. **Failure to comply with any of the Grant Assurances may result in suspension, termination, or reduction of grant funds.**

The State may suspend or terminate subaward funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to expend funds in a timely manner consistent with the subaward milestones, guidance, and assurances
- Failing to comply with the requirements or statutory objectives of federal or state law
- Failing to make satisfactory progress toward the goals or objectives set forth in the subaward application
- Failing to follow subaward 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
- Failing to submit required reports on time
- Providing false certification in the application or other report or document
- Failing to adequately manage, monitor, or direct the subaward funding activities of their Subrecipients
- Failing to submit a Reimbursement Request

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

Subrecipient Grants Management Assessment

Per 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. The Subrecipient Grants Management Assessment form 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/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>.

National Incident Management System Adoption

In accordance with the Homeland Security Presidential Directive-5, Management of Domestic Incidents, the adoption and implementation of the National Incident Management System (NIMS) is a requirement to receive federal preparedness assistance, through grants, contracts, and other activities. This certifies that the OA will complete the NIMS Implementation Tool, is working on their metrics, and has adopted and implemented NIMS.

For further details and/or assistance regarding NIMS-related matters contact:

Cindy Shipley at cynthia.shipley@caloes.ca.gov, (916) 845-8753
Clifford Viernes at clifford.viernes@caloes.ca.gov, (916) 845-8779

Application Due Date The application should be **received** by Cal OES by no later than 5:00pm on **October 2, 2017**.*

*The completed application packet should be submitted as soon as possible after being vetted by your Cal OES EMPG Program Specialist; however, preferably by no later than **October 2, 2017**.

Application Submittal

The completed original hardcopy of the FMFW and all other application components must be mailed with original signatures, with enough time to be received by Cal OES's Grants Management Section by the application due date. Signatures should be in ink. OAs will also submit an electronic copy of the completed FMFW to their Cal OES EMPG Program Specialist. All application materials should be submitted as soon as possible; however, they should be **received** by Cal OES Grants Management Section by no later than **October 2, 2017, at 5:00pm**.

Note: To streamline the process, electronically submit the completed FMFW to your Cal OES EMPG Program Specialist **prior** to submitting a signed hardcopy, in order to identify any corrections or adjustments that may need to be addressed. The electronic copy of the FMFW should be submitted for Cal OES review by no later than fourteen (14) calendar days before the finalized Application due date. Work closely with your **Cal OES EMPG Program Specialist¹¹** to ensure that all application documents are complete and accurate. Further, Cal OES EMPG Program Specialists (Grants Management Staff) are available to assist in any EMPG-related matters. If the application is received with errors or is incomplete, this will cause a delay in receiving your Notification of Application Approval letter in a timely manner. Subrecipients must receive the Notification of Application Approval letter prior to drawing down any grant funds.

EMPG Program Specialists

Grants Management Staff:

Inland Region – Patti Delaney: patti.delaney@caloes.ca.gov, (916) 845-8469

Coastal Region – Cheryl McCorkle: cheryl.mccorkle@caloes.ca.gov, (916) 845-8415

Southern Region – Christine So: christine.so@caloes.ca.gov, (916) 845-8383

Tribal Nations – James Griffith: james.griffith@caloes.ca.gov, (916) 845-8289

Mailing Address

Cal OES

Attn: EMPG Program Specialist's Name (First and Last)

Emergency Management Grants Unit (EMGU)

3650 Schriever Avenue

Mather, CA 95655

Approval of Application

Cal OES will notify the OA, in writing, of the approved application, subaward amount, and performance period. Subrecipient reimbursements will not be made until all required application components have been approved by the State.

¹¹ EMGU contact information: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx> under the heading of Regional Assignments.

Applicable Laws & Regulations

OAs must ensure that local and internal departments are aware of the following laws, regulations, and guidance documents that apply to this subaward:

- Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended
- 2 C.F.R. Part 200
- California Emergency Services Act, Chapter 7 of Division 1 of Title 2 of the Government Code – which provides the legal basis for Emergency Management activities in California
- Government Code Section 8607 describes the Standardized Emergency Management System
- *California Supplement to the Federal Program Notice of Funding Opportunity; or, The State Guidance*, provided by Cal OES
- *The Department of Homeland Security (DHS) Notice of Funding Opportunity (NOFO) Fiscal Year (FY) 2017 Emergency Management Performance Grant Program (EMPG)*
- FEMA GPD Policies

Environmental Planning and Historic Preservation Compliance

FEMA is legally required to consider the potential impacts of all grant-funded projects on environmental resources and historic properties. For the EMPG Program and other preparedness grant programs, this is accomplished through FEMA's EHP review. Subrecipients proposing projects or activities (including, but not limited to training, exercises, installation projects, etc.) with the potential to impact natural or biological resources, or historic properties, or involving installation, or that involve EOC construction and renovation cannot be initiated until FEMA has completed the required EHP compliance review.

Subrecipients that implement projects prior to receiving EHP approval from FEMA risk de-obligation of funds. Subrecipients who are proposing communication tower projects are encouraged to complete their Federal Communications Commission (FCC) EHP process prior to preparing their EHP review materials for the GPD, and to include their FCC EHP materials with their submission to GPD.

EMPG Program projects that involve the installation of equipment; ground-disturbing activities; new construction, including communication towers; or modification/renovation of existing buildings or structures must undergo a FEMA EHP review.

FEMA may require a Subrecipient to 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 Cal OES EMPG Program Specialist will provide you with additional instructions should this report be required.

Furthermore, for those proposed construction or renovation projects that are part of larger projects funded from a non-FEMA source (such as an EOC that is part of a larger proposed public safety complex), a FEMA EHP review must be completed before the larger project is initiated.

Environmental Planning and Historic Preservation Compliance (Continued)

For these types of projects, Subrecipients must complete the FEMA EHP Screening Form (OMB Number 1660-0115/FEMA Form 024-0-1)¹² and submit it, with all supporting documentation, to Cal OES.

Note: Subrecipients should submit the FEMA EHP Screening Form for each applicable project as soon as possible. However, to ensure that ample time exists to allow for the FEMA EHP review and approval process, as well as the subsequent execution of the subaward-funded project, all Subrecipient EHP-related documents must be received by your Cal OES EMPG Program Specialist by no later than **December 31, 2017**. Exceptions to this due date will be at the discretion of Cal OES, based on exceptional circumstances and/or compelling justification.

Refer to FEMA GPD EHP Policy Guidance FP-108-023-1 (located at: <https://www.fema.gov/media-library/assets/documents/85376>) and IB 404 (located at: <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins>) for further details on EHP requirements. The EHP Screening Form can be downloaded at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>.

Forward completed EHP documents **electronically** to the appropriate Cal OES EMPG Program Specialist.

The following activities would not require the submission of the FEMA EHP Screening Form: planning and development of policies or processes; management and administrative or personnel actions; classroom-based training; tabletop and functional exercises; and acquisition of mobile and portable equipment (not involving installation).

Projects initiated without proper EHP review will not be funded. Projects that were initiated or completed before an EHP review was concluded, using EMPG Program funds, will be deobligated. To avoid unnecessary delays in starting a project, Subrecipients are encouraged to pay close attention to the reporting requirements for an EHP review.

Controlled Equipment Rescission

As outlined in IB 426, “Guidance to Recipients and Subrecipients of FEMA Preparedness Grants Regarding Implementation of Executive Order 13809 Restoring State, Tribal, and Local Law Enforcement’s Access to Life-Saving Equipment and Resources,”¹³ DHS/FEMA has rescinded IB 407, “Use of Grant Funds for Controlled Equipment” and IB 407a, “Use of Grant Funds for Controlled Equipment: Update for Fiscal Year 2017.” As a result, certain restrictions placed on the use of grant funds to purchase specified Controlled Equipment, as identified in these IBs, have been removed. In accordance with IB 426, all EMPG-eligible items that were on the Controlled Equipment List, in IBs 407 and 407a, are now allowable provided that the acquisition of these items is consistent with the terms of the subaward, including the DHS NOFO FY 2017 EMPG.

For additional details, consult your Cal OES EMPG Program Specialist and refer to FEMA IB No. 426: https://www.fema.gov/media-library-data/1509981634187-ff65775f330fb464d5711c3278f80194/ControlledEquipmentRescission_IB_Final_11-1-17.pdf

¹² The FEMA EHP Screening Form can be located at:

<http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>.

¹³ FEMA IB No. 426: [https://www.fema.gov/media-library-data/1509981634187-](https://www.fema.gov/media-library-data/1509981634187-ff65775f330fb464d5711c3278f80194/ControlledEquipmentRescission_IB_Final_11-1-17.pdf)

[ff65775f330fb464d5711c3278f80194/ControlledEquipmentRescission_IB_Final_11-1-17.pdf](https://www.fema.gov/media-library-data/1509981634187-ff65775f330fb464d5711c3278f80194/ControlledEquipmentRescission_IB_Final_11-1-17.pdf)

Extension Requests

Extensions to the initial performance period identified in the subaward will only be considered through formal, written requests to your EMPG Program Specialist. Upon receipt of extension requests, Cal OES will: (1) verify compliance with performance reporting requirements by confirming that the Subrecipient has submitted all necessary performance reports; (2) confirm that the Subrecipient has provided sufficient justification for the request; and (3) if applicable, confirm that the Subrecipient has demonstrated sufficient progress in past situations where an extension was authorized by Cal OES.

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.

Additionally, performance period extension requests should be limited to one month in duration. Only under extenuating and extremely compelling circumstances will two-month extensions be considered. Extension requests beyond two months will not be considered.

Critical Emergency Supplies

Special rules apply to Critical Emergency Supplies. **The acquisition of Critical Emergency Supplies at any dollar amount requires prior written approval** from Cal OES. Critical Emergency Supplies includes items such as Shelf Stable Food Products; Basic Medical Supplies; or Emergency Water Rations. In addition, the following Food and Water items from the FEMA Authorized Equipment List's Chemical, Biological, Radiological, Nuclear, and Explosives Logistical Support Equipment category require prior written approval: Rations, Initial Deployment; Rations, Unit-Feeding; Water, Potable, Packaged.

To request an approval for the acquisition of Logistical Support Equipment-related Food & Water and/or Critical Emergency Supplies, the Subrecipient must submit the following to Cal OES, on the Subrecipient's letterhead and with an **Authorized Agent's signature**:

1. An effective Distribution Strategy
2. The Sustainment Costs for such an effort
3. A viable Inventory Management Plan (i.e. logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to a lack of planning)

The Subrecipient must wait for an approval letter from Cal OES **prior to the procurement of the restricted items**. If the planned grant expenditure is \$100,000 or more, FEMA's approval of a five-year, viable inventory management plan is required. If the expenditures total less than \$100,000 then Cal OES may approve the plan.

Federally Mandated Objective Information

Validating Capabilities, Priority Objective, and Performance Measures¹⁴

To address the EMPG priorities, an objective has been identified and given a set of performance measures and associated reporting requirements to determine how effective Subrecipients are in utilizing EMPG Program funding to prepare for all hazards, and advance a whole community approach. With these measures, Subrecipients must evaluate their progress toward achieving the stated objectives in the quarterly EMPG Performance Report and in compliance with all reporting requirements.

¹⁴ The Federally Mandated Objectives can be located in The DHS NOFO FY 2017 EMPG, Appendix A-FY 2017 EMPG Program Priorities, pages 27-32 at: https://www.fema.gov/media-library-data/1496322792825-14e183f5162625ef399f7b09aa0630ff/FY_2017_EMPG_NOFO_Final508.pdf

**Validating
Capabilities
Objective:
Multi-Year
Training and
Exercise Plan**

Subrecipient Requirements:

- All Subrecipients are required to develop a Multi-Year Training and Exercise Plan (TEP) that incorporates linkages to the NPG core capabilities and update it annually.
- The TEP shall encompass the period of January 1, 2018 – December 31, 2019.
- TEPs must be submitted to Cal OES, by email, by no later than **September 30, 2017**. Submit TEPs to both of the following at Cal OES:
 - Your EMPG Program Specialist (Grants Management Staff).
 - TEP Point of Contact (POC) – Elaine Viray – exercise@caloes.ca.gov.

Measurement Method:

- Submission to Cal OES of an updated TEP.

Reporting:

- Subrecipients must report in the EMPG Performance Report their compliance with submitting an updated TEP to Cal OES.

Subrecipients are required to share with Cal OES a TEP that includes an exercise plan and schedule, and a plan for training personnel. **Information related to TEPs can be obtained by consulting Cal OES’s Exercise Division POC.**

**Validating
Capabilities
Objective:
Exercise**

1. All EMPG Program-funded personnel **shall participate in no less than three exercises in a 12-month period**. This 12-month period shall be the subaward performance period of July 1, 2017 – June 30, 2018, regardless of time extensions. EMPG Program-funded personnel are any personnel paid at any percentage with EMPG funding, including M&A staff. There is no specific requirement for level of “participation” in the exercises; so, observation and attendance satisfies the objective. The exercises can be of any type (e.g., discussion-based or operations-based) within the performance period (see <https://www.fema.gov/media-library/assets/documents/32326>).
2. An After Action Report/Improvement Plan (AAR/IP) must be completed by the host of each EMPG-funded exercise and submitted to hseep@fema.dhs.gov, and a copy sent to your Cal OES EMPG Program Specialist within 90 days after the completion of an exercise.
3. A summary of all collected corrective action items and the tracking of their implementation shall be reported as part of the EMPG quarterly reporting.

**Validating
Capabilities
Objective:
Exercise
(Continued)**

Additional information and guidance related to AAR/IPs and the National Exercise Program Base Plan can be found on the Homeland Security Exercise and Evaluation Program (HSEEP) website at <https://www.fema.gov/media-library/assets/documents/32326>.

Note: It is acceptable to submit an Exercise Summary Report for Seminars and Workshops in lieu of a full, HSEEP AAR/IP. Email the copies of the AAR/IPs to your Cal OES EMPG Program Specialist.

EMPG-funded exercise activities must be consistent with HSEEP doctrine and its set of guiding principles for exercise programs. **Exercise Division staff are available for assistance with any exercise-related questions or matters.** For exercise-related issues and/or questions, email the Cal OES Exercise Team at exercise@caloes.ca.gov.

Measurement Method:

- Percent of exercises participated by the OA's EMPG-funded personnel.
- Submission of an AAR/IP completed by the host of the EMPG-funded exercises.

Reporting:

- Subrecipients must report quarterly in the EMPG performance report, the percent completed of the exercise requirements for the EMPG-funded personnel.
- Subrecipients must submit AAR/IPs for each EMPG-funded exercise, if the exercise is hosted by the Subrecipients. AAR/IPs will be completed by the host of the exercise; participants do not have to individually complete an AAR/IP.

**Validating
Capabilities
Objective:
Training**

Training activities supported with EMPG Program funds should strategically align to the NPG core capability identified in the TEP.

To ensure the development of a professional emergency management workforce, all EMPG Program-funded personnel shall complete *either* **EMPG Training – Option 1** *or* **EMPG Training – Option 2** requirements, and record proof of completion.

Reported data must include the employee's full name, name of the training, and the date the training was completed.

EMPG Program-funded personnel are any personnel paid at any percentage with EMPG funding; this includes M&A staff funded by EMPG Program funds.

Validating
Capabilities
Objective:
Training
(Continued)

All EMPG Program-funded personnel shall complete all of the following EMPG training requirements (either Option 1 or Option 2) by no later than June 30, 2018 (unless the Subrecipient's subaward performance period is extended):

EMPG TRAINING – OPTION 1

For Option 1, all EMPG Program-funded personnel shall complete the following 11 trainings listed below:

National Incident Management System (NIMS) Training, Independent Study (IS):

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

FEMA Professional Development Series (PDS):

IS 120.a Introduction to Exercises

IS 230.d Fundamentals of Emergency Management

IS 235.c 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

The aforementioned listed courses are available on-line and at no cost from the FEMA Emergency Management Institute (EMI) at the following links:

<http://training.fema.gov/IS/NIMS.aspx>

& <http://training.fema.gov/is/searchis.aspx?search=PDS>

OR

EMPG TRAINING – OPTION 2

For Option 2, all EMPG Program-funded personnel shall complete the following nine trainings listed below:

National Emergency Management Basic Academy:

E/L0101, Foundations of Emergency Management – 10 days (80 hours)

E/L0102, Science of Disaster – 3 days (approximately 24 hours)

E/L0103, Planning Emergency Operations – 2 days (16 hours)

E/L0104, Exercise Design – 2 days (16 hours)

E/L0105, Public Information and Warning – 2 days (16 hours)

EMI Basic Academy Online Prerequisites:

IS 100 (any version), Introduction to the Incident Command System (ICS) (3 hours)

IS 700 (any version), National Incident Management System (NIMS), An Introduction (3 hours)

IS 800 (any version), National Response Framework, An Introduction (3 hours)

IS 230.d Fundamentals of Emergency Management (10 hours)

**Validating
Capabilities
Objective:
Training
(Continued)**

For EMPG-funded personnel who choose EMPG Training – Option 2, the Subrecipient will report their progress towards completing the required training in their EMPG Quarterly Performance Report, under Part IX: Other Significant EMPG-Funded Accomplishments. Reported data must include the employee’s full name, name of the training, and the date the training was completed.

Note: For both EMPG Training Options 1 and 2, past completion of any prior versions of the following NIMS training courses – IS 100, IS 200, IS 700, and IS 800 – are considered acceptable towards meeting the FY 2017 EMPG Training Requirement. Thus, the NIMS training courses of IS 100, IS 200, IS 700, and IS 800 only have to be taken once, by EMPG-funded personnel, in order to fulfill the FY 2017 EMPG Training Requirement.

Conversely, for the PDS and Basic Academy online courses, **ONLY** the satisfactory completion of the iteration-specific courses (listed on page 16 of this Guidance) will qualify towards satisfying the FY 2017 EMPG Training Requirement. To that end, for all FY 2017 EMPG-funded personnel, their past completion of previous iterations of the PDS and Basic Academy online courses (other than those iteration-specific versions listed on page 16 of this Guidance) can **no longer** be utilized towards meeting the EMPG Training Requirement; as was permitted under past EMPG grant cycles (i.e., FY 2011– FY 2016).

However, in the event that EMI revises any of the aforementioned PDS and Basic Academy online courses (as listed hereinabove on page 16) during the FY 2017 EMPG Performance Period, and an EMPG-funded personnel has not yet completed that specific version of the course (as identified on pages 16 of this Guidance), then the most current iteration of the online IS course must be completed, by said EMPG-funded personnel, in order to remain compliant and fully satisfy the FY 2017 EMPG Training Requirement.

For example: If during the FY 2017 EMPG performance period (spanning July 1, 2017– June 30, 2018), EMI updates IS 230.d to IS 230.e, any FY 2017 EMPG-funded personnel who had not yet completed IS 230.d (by the time that EMI updated the course to IS 230.e) would now be required to complete IS 230.e instead—in order to satisfy the FY 2017 EMPG Training Requirement. This is specifically because the previous iteration of the course, IS 230.d, will no longer be available to be taken online given it was replaced by the newer iteration of IS 230.e.

For further clarification regarding the FY 2017 EMPG Training Requirement, consult with your Cal OES EMPG Program Specialist, as well as refer to IB 424.¹⁵

Measurement Method:

EMPG TRAINING – OPTION 1 (NIMS Training & PDS):

- Percent of EMPG Program-funded personnel completing the previously identified 11 required training courses.

EMPG TRAINING – OPTION 2 (EMI Basic Academy & Online Prerequisites):

- Percent of EMPG Program-funded personnel completing the previously identified nine required training courses.

¹⁵ FEMA IB No. 424: https://www.fema.gov/media-library-data/1508435948993-1f7f9d225e1320254d1281be1aa915fd/FY17_HSGP.pdf

**Validating
Capabilities
Objective:
Training
(Continued)**

Reporting:

- Submission of a list of EMPG Program-funded personnel along with the name of the training and dates completed is to be included in the EMPG Program Quarterly Performance Reports.

Recorded proof of completion of training requirements, such as certificates of completion, must exist and be kept on file by the Subrecipient and be made available for review upon request.

**Training
Feedback
Number**

In order for EMPG Program funds to be utilized for training-related purposes, Subrecipients must first obtain a Training Feedback Number. Training Feedback Numbers must be obtained no later than thirty (30) days prior to the training event. To be considered for a Training Feedback Number, Subrecipients must complete a Training Request Form and submit it electronically to Cal OES.

Training Request Forms can be obtained at the following link: <https://w3.calema.ca.gov/WebPage/trainreq.nsf/TrainRequest?OpenForm>.

For Training Request Form or Training Feedback Number assistance contact:

Melanie Lusi at melanie.lusi@caloes.ca.gov, or (916) 845-8745.

Subcontracts

In accordance with 2 C.F.R. § 200.326 Contract Provisions, any time funds are given to a contractor the Subrecipient's contracts must contain the applicable provisions described in Appendix II to 2 C.F.R. Part 200—Contract Provisions for Non-Federal Entity Contracts Under Federal Awards. The OA must monitor and ensure that the contractors are adhering to all applicable federal and state laws. The OA must not make or permit any award (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, such as the EMPG. Subrecipients must obtain documentation of eligibility prior to any subaward of EMPG funds and be prepared to present supporting documentation to monitors/auditors.

**Noncompetitive
(Sole Source)
Procurement**

To be eligible for reimbursement, noncompetitive procurements exceeding \$150,000 (the current *simplified acquisition threshold*) require Cal OES *prior* written approval. Noncompetitive procurement includes, but is not limited to, procurements involving a sole source or inadequate competition. The \$150,000 *simplified acquisition threshold* is established by the Federal Acquisition Regulation at 48 C.F.R. Subpart 2.1 and is periodically adjusted for inflation.

Note: 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 the Cal OES submission; additional documentation supporting the procurement effort may also be requested for review by Cal OES.

**Noncompetitive
(Sole Source)
Procurement
(Continued)**

Please note that **Cal OES will not reimburse for any sole source contracts for any terrorism-related training, regardless of the cost of the training.** Exceptions to this policy may be approved in limited circumstances, e.g., related to a procurement effort that has resulted in inadequate competition. The Cal OES Request for Noncompetitive Procurement Authorization form is to be used, and advance approval is required.¹⁶

**System for
Award
Management**

The System for Award Management includes information regarding entities debarred, suspended, proposed for debarment, excluded or disqualified under the non-procurement common rule, or otherwise declared ineligible from receiving federal contracts, certain subcontracts, and certain federal assistance and benefits. Contractor disbarment verification can be obtained from the following website: <https://www.sam.gov>.

**Maintenance &
Sustainment**

The use of EMPG funds for maintenance contracts, warranties, repair or replacement costs, upgrades, licenses, and user fees are allowable under all active and future grant awards; unless otherwise noted. With the exception of maintenance plans purchased incidental to (i.e., at the same time and under the same subaward as) the original purchase of the system or equipment, the period covered by a maintenance agreement or warranty plan must not exceed the period of performance of the specific grant funds used to purchase the plan or warranty, and address the requirements identified in FEMA IB 379. Additional guidance is provided in DHS/FEMA Policy FP 205-402-125-1, Maintenance Contracts and Warranty Coverage Funded by Preparedness Grants, located at: <http://www.fema.gov/media-library/assets/documents/32474>.

**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 positions and responsibilities
- Activities and projects unrelated to the completion and implementation of the EMPG Program

Supplanting

Grant funds must be used to supplement existing funds, not replace (supplant) funds that have been appropriated or budgeted for the same purpose through non-federal sources. In the event that supplanting is suspected, the Subrecipient will be required to supply documentation demonstrating or certifying that 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 costs associated with the improper activity(ies) performed using federal grant funds.

**Accessibility of
Records**

The federal DHS, the DHS Office of Inspector General, the Comptroller General of the United States, Cal OES, and any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records which are pertinent to the subaward, in order to make audits, monitoring reviews, examinations, excerpts, and transcripts. The right of access is not limited to the required retention period but shall last as long as the records are retained. Refer to 2 C.F.R. § 200.336 for more information about accessibility of records.

¹⁶ The form can be located at: <http://www.caloes.ca.gov/cal-oes-divisions/grants-management/criminal-justice-emergency-management-victim-services-grant-programs/emergency-management-performance-grant>.

Public Records Act Notification

Grant applications are subject to the California Public Records Act, Government Code Section 6250, *et seq.* Do not put any personally identifiable information or private information on this application. If you believe that any of the information you are putting on the FY 2017 EMPG application is exempt from the Public Records Act, please indicate what portions of the application and the basis for the exemption. Your statement that the information is not subject to the Public Records Act will not guarantee that the information will not be disclosed.

Reimbursement of Eligible Costs

The EMPG is a reimbursement grant and therefore no cash advances are permitted under the EMPG Program. The EMPG funds will be disbursed on a reimbursement basis, using the FMFW. Follow the **FMFW instructions for Reimbursement Requests**¹⁷ and, only upon direction, submit the signed forms to your Cal OES EMPG Program Specialist.

In order to identify any corrections or adjustments that may need to be addressed, all reimbursement requests must be initially submitted electronically, via email, to your Cal OES EMPG Program Specialist for review and vetting. Electronic documents submitted for Cal OES EMPG Program Specialist review and vetting should be submitted as soon as possible, but no later than, seven (7) calendar days prior to any identified due date(s) associated with the reimbursement request.

Submission of originals is only to occur after your Cal OES EMPG Program Specialist's Reimbursement Request Review Process has concluded. **The Subrecipient will be directed by their Cal OES EMPG Program Specialist to submit the signed hardcopy.**

Payment will be made within 30 days after the Grants Management Section receives a valid and complete Reimbursement Request. Copies of all documents adding up to the total of each Reimbursement Request must be retained to make verification by monitors and/or auditors easier. Cal OES may require Subrecipients to provide these documents at any time.

¹⁷ The Reimbursement Request instructions are located at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>, under Tutorials.

Subaward Modifications

Post award budget, scope, and other modifications must be requested using the Cal OES FMFW and be signed by the Subrecipient's Authorized Agent. A hardcopy must be submitted to Cal OES and approved by Cal OES's Grants Management Section, **prior** to initiating any revised scope of work or incurring the associated expenditures.

The OAs may submit modifications to Cal OES **once per quarter** during the performance period. Exceptions to allow more modifications during a quarter will be made at Cal OES discretion and will be based on exceptional circumstances and/or compelling justification. Failure to submit modifications and receive approval prior to expenditure could result in a reduction or disallowance of that part of the subaward.

In order to identify any corrections or adjustments that may need to be addressed, as well as to facilitate the Cal OES subaward Modification Request review and approval process, all Modification Requests must first be submitted electronically, via email, to the Cal OES Program Specialist for review and vetting. Submission of hardcopy originals is only to occur after the Cal OES EMPG Program Specialist's Modification Request review process has concluded and the Subrecipient is directed by the Cal OES EMPG Program Specialist to submit the signed hardcopy.

Instructions on how to submit a Modification Request are available at the link identified in the footnote.¹⁸

Performance Reports

Subrecipients must prepare and submit Performance Reports to the State for the duration of the subaward performance period, or until all grant activities are completed and the subaward is formally closed by Cal OES. The quarterly reports must include the progress made on identified activities, as well as other required information and data. Failure to submit a Performance Report could result in subaward reduction, termination, or suspension.

In order to ensure that mandated performance metrics and other data required under the subaward is reported accurately, all EMPG Performance Reports must first be submitted electronically, via email, to the Cal OES EMPG Program Specialist for review and vetting. Electronic documents submitted for Cal OES review and vetting should be submitted as soon as possible, but no later than, seven (7) calendar days before the identified due date(s) associated with the Performance Report. Submission of hardcopy originals is only to occur after the Cal OES EMPG Program Specialist's review has concluded and the Subrecipient is directed by their Cal OES EMPG Program Specialist to submit the signed hardcopy.

Additionally, Subrecipients must also complete a Biannual Strategy Implementation Report (BSIR) using the DHS/FEMA Grants Reporting Tool (GRT). To obtain access to the online GRT and BSIR, log on to their website at www.reporting.odp.dhs.gov. To create a new account, follow the instructions that read, "If you need to register for an account, please click here." For further GRT assistance, contact:

Dora Gomez at dora.gomez@caloes.ca.gov, (916) 845-8656.

¹⁸ The Modification Request instructions are located at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>, under Tutorials.

Closeout

The State will close a Subrecipient subaward after:

- Receiving a Subrecipient Performance Report indicating that all approved work has been completed, and all funds have been disbursed
- Completing a review to confirm the accuracy of reported information
- Reconciling actual costs to awards, modifications, and payments

If the closeout review and reconciliation indicates that the Subrecipient:

- Is owed additional funds, the State will send the final payment automatically to the Subrecipient
- Did not use all funds received, the State will issue a deobligation amendment, invoice, or letter to recover unused funds
- Did not expend all obligated grant funds, the State will require that a Grant Subaward Amendment be completed to deobligate the unspent funds and revert them back to the State

Records Retention

Specific requirements for record retention can be found in 2 C.F.R. § 200.333. In the Grant Closeout Letter, the State will notify the Subrecipient of the start of the record retention period for all programmatic and financial subaward-related records.

Equipment Disposition

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

Final Subaward Report

Cal OES will review the OA's final Performance Report for compliance with all subaward conditions. The final Performance Report is due to Cal OES by **July 16, 2018**, (unless the Subrecipient's subaward performance period is extended) and will serve as the final subaward report.

Audit Requirements

The OAs, and their Subrecipients, must comply with the audit requirements contained in 2 C.F.R. Part 200 Subpart F—Audit Requirements.

Monitoring Subaward Performance

The State may perform periodic reviews of the OA's subaward performance. The Cal OES Monitoring Team is actively conducting monitoring visits, both desk review and on-site, among Subrecipients. These reviews may include, but are not limited to:

- Comparing actual subaward activities to those approved on the FMFW
- Confirming compliance with:
 - Grant Assurances
 - Information provided on the Performance Reports
- Reviewing and monitoring financial and administrative records

To provide support and guidance, Grants Management staff will be intermittently conducting on-site programmatic and financial reviews of OA's EMPG Program-related activities.