



***Cal* OES**

**GOVERNOR'S OFFICE  
OF EMERGENCY SERVICES**

**Fiscal Year 2017  
Homeland Security Grant Program**

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

*September 2017*

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## **Director's Message**

I am pleased to present the *FY 2017 Homeland Security Grant Program California Supplement to the Federal Notice of Funding Opportunity*.

Now more than ever, communities face a complex threat environment where individuals are becoming radicalized and are willing to carry out attacks. We have experienced unprecedented levels of increased violence against law enforcement in the past year. As our threats evolve, so should we. Therefore, the safeguarding of the communities and infrastructure of our State from threats of terrorism has become absolutely critical.

Our strategic efforts across California of leveraging effective partnerships with our federal partners at the U.S. Department of Homeland Security, Federal Emergency Management Agency, in conjunction with local jurisdictions, tribes, and nonprofit organizations will succeed in the development of a powerful workforce. I continue to promote values that include Integrity, Service, Respect, and Resiliency from within Cal OES to better serve our HSGP partners. I believe in maximizing our resource capabilities and technical expertise in order to serve as the ultimate, interoperable force multiplier for any community impacted by threats of terrorism.

HSGP continues to build on our partnerships throughout the State, and it is our task, together, to ensure our efforts provide the necessary resources to aid Californians. We will continue to strengthen our capabilities through assessing capability gaps and addressing immediate and long-term homeland security needs, in an effort to improve our ability to protect our State from the variety of threats it may face.

I look forward to our continued cooperation, collaboration, and joint counterterrorism endeavors towards a prepared and secure California in a "One Team-One Fight" effort.

Sincerely,



MARK S. GHILARDUCCI  
Director

**Federal Notice of Funding Opportunity Announcement**

In June 2017, the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) issued the *Fiscal Year (FY) 2017 Homeland Security Grant Program (HSGP), Notice of Funding Opportunity (NOFO)* available for download at <https://www.fema.gov/media-library/assets/documents/131992>. 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 at 2 Code of Federal Regulations (CFR), Part 200.

**Information Bulletins**

DHS issues Information Bulletins (IB) to provide updates, clarification, and new requirements throughout the life of the grant. IBs may be obtained at: <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins>.

**Purpose of the California Supplement**

The *Fiscal Year 2017 Homeland Security Grant Program California Supplement to the Federal Notice of Funding Opportunity* (Supplement) is intended to complement, rather than replace, the Guidance published by DHS. The Supplement will emphasize differences between the FY 2016 and FY 2017 HSGP, and highlight additional California policies and requirements applicable to the FY 2017 HSGP.

**Key Changes to the FY 2017 Homeland Security Grant Program**

- Requests for operational overtime are due at time of application, or not less than 90 days prior to anticipated events<sup>1</sup>
- Subrecipients must report expenditures and request funds at least semi-annually throughout the performance period<sup>2</sup>

**Grants Management Memoranda**

Cal OES issues Grants Management Memoranda (GMMs) that provide additional information regarding HSGP funds. GMMs can be located at: <http://www.caloes.ca.gov/cal-oes-divisions/grants-management/homeland-security-prop-1b-grant-programs/memos>.

**Eligible Subrecipients**

Eligible Applicants, referred to as Subrecipients, differ for each program. Generally, eligible HSGP Subrecipients include:

- Operational Areas (OA)
- Native American Tribes
- Urban Areas Security Initiative (UASI) Jurisdictions
- State Agencies (SA), Departments, Commissions, Boards, etc., who have or can obtain, appropriate state Department of Finance budget authority for awarded funds.

<sup>1</sup> California Supplement to the Federal Notice of Funding Opportunity, page 7

<sup>2</sup> *Ibid*, page 20

**Native American Allocations** The FY 2017 NOFO strongly encourages Cal OES to provide access to HSGP funds directly to Native American Tribes in California. To implement this requirement, a special Request for Proposal (RFP) will be issued to California’s 109 federally-recognized tribes and Indian organizations as described in the Cal OES Consultation Policy.

All Subrecipients are encouraged to coordinate with tribal governments to ensure that tribal needs are considered in their grant applications.

**Subrecipient Allocations** FY 2017 HSGP Subrecipient allocations are included in Appendix A. All HSGP-funded work must be completed within the established FY 2017 HSGP performance period.

**NIMS Implementation** Prior to allocation of any federal preparedness awards in FY 2017, Subrecipients must ensure and maintain adoption and implementation of the National Incident Management System (NIMS). Additional information can be found at [http://www.fema.gov/pdf/emergency/nims/nims\\_alert\\_cred\\_guideline.pdf](http://www.fema.gov/pdf/emergency/nims/nims_alert_cred_guideline.pdf).

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

**Cal OES Contact Information** All Subrecipient application materials, related questions, comments and correspondence should be directed to:

California Governor’s Office of Emergency Services  
 ATTN: Grants Management, Homeland Security Grants  
 3650 Schriever Avenue  
 Mather, CA 95655

Homeland Security Grants Unit (HSGU): (916) 845-8643; Fax: (916) 636-3880

**HSGU Program  
Representatives**

Darlene Arambula at [darlene.arambula@caloes.ca.gov](mailto:darlene.arambula@caloes.ca.gov) or (916) 845-8427  
Justin Duke at [justin.duke@caloes.ca.gov](mailto:justin.duke@caloes.ca.gov) or (916) 845-8296  
Maybel Garing-Espilla at [maybel.garing-espilla@caloes.ca.gov](mailto:maybel.garing-espilla@caloes.ca.gov) or (916) 845-8429  
Antoinette Johnson at [antoinette.johnson@caloes.ca.gov](mailto:antoinette.johnson@caloes.ca.gov) or (916) 845-8260  
Jim Lane at [jim.lane@caloes.ca.gov](mailto:jim.lane@caloes.ca.gov) or (916) 845-8428  
Joseph Purvis at [joseph.purvis@caloes.ca.gov](mailto:joseph.purvis@caloes.ca.gov) or (916) 845-8400  
Tim Reed at [tim.reed@caloes.ca.gov](mailto:tim.reed@caloes.ca.gov) or (916) 845-8662  
Olivia Skierka at [olivia.skierka@caloes.ca.gov](mailto:olivia.skierka@caloes.ca.gov) or (916) 845-8744.

Area assignments of Cal OES representatives are shown on the HSGU regional map at:

<http://www.caloes.ca.gov/cal-oes-divisions/grants-management/homeland-security-prop-1b-grant-programs/homeland-security-grants-program>

### **FY 2017 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.

HSGP Subrecipients are encouraged to consider national areas for improvement identified in the NPR, which include the following core capabilities:

- Cybersecurity;
- Infrastructure Systems;
- Economic Recovery;
- Housing; and
- Natural and Cultural Resources.

Additionally, the DHS requires Grant Subrecipients prioritize their investments that address capability targets and gaps identified through the annual Threat and Hazard Identification and Risk Assessment (THIRA) process. The assessments set capability targets, and measure current abilities to meet those targets.

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

### **25% Law Enforcement**

As in past grant years, a minimum of 25% of FY 2017 HSGP funds must be dedicated to Law Enforcement Terrorism Prevention Activities (LETPA). In order to leverage funds for LETPA, activities outlined in the National Prevention Framework, and National Protection Framework are eligible for use of LETPA-focused funds. All other terrorism prevention activities proposed for funding under LETPA must be formally pre-approved by FEMA.<sup>3</sup> Refer to IB 412.

### **5% M&A**

The Management and Administration (M&A) allowance for Subrecipients is set at a maximum of 5% for the FY 2017 HSGP.<sup>4</sup>

### **Indirect Costs**

Indirect costs are allowable under the FY 2017 HSGP grant award. Subrecipients who claim indirect costs may do so provided they use one of the following two methods:

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<sup>3</sup> US Department of Homeland Security (DHS), Fiscal Year (FY) 2017 Homeland Security Grant Program (HSGP) Notice of Funding Opportunity (NOFO), page 6

<sup>4</sup> *Ibid.*, page 17



**Indirect Costs  
(Cont.)**

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 (MTDC) as described in 2 CFR 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 Financial Management Forms Workbook (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.

**Organization  
Costs –  
Overtime**

Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to homeland security and specifically requested by a federal agency. Allowable costs are limited to overtime associated with federally requested participation in eligible activities, including anti-terrorism task forces, Joint Terrorism Task Forces, Area Maritime Security Committees (as required by the *Maritime Transportation Security Act of 2002*), DHS Border Enforcement Security Task Forces, and Integrated Border Enforcement Teams<sup>5</sup>.

Operational overtime for law enforcement activities related to combating transnational crime organizations in support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism is allowable.

Operational overtime costs are allowable for increased security measures at critical infrastructure sites or other high-risk locations and to enhance public safety during mass gatherings and high-profile events, as determined by the Subrecipient through

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<sup>5</sup> *Ibid*, page 59

### Organization Costs - Overtime (Cont.)

intelligence threat analysis if associated with detecting, deterring, disrupting, and preventing acts of terrorism and other catastrophic events.

Requests for Operational Overtime costs must be submitted to Cal OES at the time of application, or not less than 90 days prior to anticipated events; costs must be formally *pre-approved in writing* by FEMA.<sup>6</sup>

### Personnel Cap

FY 2017 State Homeland Security Program (SHSP) and UASI funds have a personnel cap of 50%.<sup>7</sup> A Subrecipient may request that this requirement be waived. Requests for waivers to the personnel cap must be submitted to the Cal OES Program Representative in writing on official letterhead, with the following information:

- Documentation explaining why the cap should be waived;
- Conditions under which the request is being submitted; and
- A budget and method of calculation of personnel costs both in percentages of the grant award and in total dollar amount. To avoid supplanting issues, the request must also include a three-year staffing history for the requesting entity, to include position title, funding source, budgeted funding for the positions and percentage of award calculations.

Approval to exceed the personnel cap must be received at the time of application.

### Controlled Equipment

DHS/FEMA updated IB 407 with IB 407a, issued January 19, 2017, which places restrictions on the use of grant funds to purchase specified controlled equipment.<sup>8</sup> These restrictions are applicable beginning with controlled equipment purchases under the FY 2016 HSGP award.

Requests for authorization to purchase controlled equipment must be submitted to Cal OES using FEMA Form 087-0-0-1, available at <https://www.fema.gov/media-library/assets/documents/115708>. Requests should be submitted at the time of application, or can be submitted at any time during the award performance period as long as the request is submitted and approved *prior to* the acquisition of the controlled equipment.

In addition to the information provided on FEMA Form 087-0-0-1, the submission must include a copy of the Subrecipient's governing body approval to procure the equipment. Requests to purchase small, unmanned aircraft systems must also include copies of the policies and procedures that safeguard individuals' privacy, civil rights, and civil liberties of the jurisdiction. Refer to IB 414.

In order to purchase controlled equipment, Subrecipients are required to have several written policies and protocols in place *prior to acquisition* as outlined in

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<sup>6</sup> *Ibid.*, pages 17, 59, 64

<sup>7</sup> *Ibid.*, pages, 16, 58

<sup>8</sup> *Ibid.*, pages 14, 65-65, 68

### **Controlled Equipment (Cont.)**

IB 407a and listed in Sections D, G, and H of FEMA Form 087-0-0-1. In addition, training on use of the controlled equipment must occur *prior to use of the equipment*.

Subrecipients that do not have one or more of the required written policies, procedures or protocols in place at the time of the request must indicate the required item(s) “will be implemented prior to acquisition” on the FEMA form.

A follow-up self-certification that the items have been completed and/or implemented will be required prior to acquisition of the equipment.

Controlled equipment must be identified as such on the Equipment Inventory Ledger in the Cal OES FMFW.

Controlled equipment must remain in the possession of the original grant Subrecipient and may not be transferred without written permission from FEMA.

For additional details, refer to FEMA IB 407a: [https://www.fema.gov/media-library-data/1485452831667-ab397ce1d370652ec49c25a280419af4/IB\\_407a\\_Controlled\\_Equipment\\_FY2017\\_Update\\_GPD\\_FINAL\\_508.pdf](https://www.fema.gov/media-library-data/1485452831667-ab397ce1d370652ec49c25a280419af4/IB_407a_Controlled_Equipment_FY2017_Update_GPD_FINAL_508.pdf).

NOTE: Until such time as DHS issues guidance subsequent to IB 407a, these criteria remain. Cal OES will communicate any future changes to this guidance via a GMM.

### **Equipment Typing/ Identification and Use**

Subrecipients that allocate FY 2017 HSGP 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 HSGP funds. Special rules apply to pharmaceutical purchases, medical countermeasures, and critical emergency supplies.<sup>9</sup>

Allowable HSGP equipment is listed on the Authorized Equipment List (AEL) website at <http://beta.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 National Preparedness Goal of a secure and resilient Nation, and in addition, are sharable through the Emergency Management Assistance Compact (EMAC) and allowable under 6 U.S. C. § 609. Refer to the FY 2017 NOFO for examples of allowable general purpose equipment.<sup>10</sup>

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<sup>9</sup> *Ibid.*, pages 18, 62, 65

<sup>10</sup> *Ibid.*, pages 29-30

**Equipment  
Maintenance/  
Sustainment**

Use of HSGP funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable as described in FEMA IB 379.<sup>11</sup>

**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 THIRA and SPR process, real-world events, previous exercises, and national areas for improvement identified in the NPR.

Subrecipients must document these priorities and schedule of exercise events with a Multi-Year Training and Exercise Plan (TEP) and update it annually.

Subrecipients are required to e-mail their schedule of training and exercise events to Cal OES Program Representative, Justin Duke at [justin.duke@caloes.ca.gov](mailto:justin.duke@caloes.ca.gov) no later than September 30<sup>th</sup>.

Subrecipients must report on all exercises conducted with HSGP 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.

Please ensure all AAR/IP or Summary Report documents are encrypted (password-protected) and the password and a copy of the AAR/IP or Summary Report is emailed to Cal OES Program Representative Justin Duke at [justin.duke@caloes.ca.gov](mailto:justin.duke@caloes.ca.gov) and to [hseep@fema.dhs.gov](mailto:hseep@fema.dhs.gov) via separate emails.

Subrecipients scheduled to participate in Capstone California (CC) exercise activities should include the details in their FY 2017 application. Cal OES program staff will review applications for adequate exercise funding for Subrecipients scheduled to participate in CC activities within the FY 2017 HSGP grant performance period.

For exercise-related issues and/or questions, please e-mail the Cal OES Exercise Team at [exercise@caloes.ca.gov](mailto:exercise@caloes.ca.gov).

**Emergency  
Operations  
Plans**

Subrecipients must update their Emergency Operations Plans (EOP) at least once every two years to remain compliant with the Comprehensive Preparedness Guide 101 version 2.0. Subrecipients will utilize the Unified Reporting Tool to report their compliance with this reporting requirement.<sup>12</sup>

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<sup>11</sup> *Ibid.*, pages 17, 63

<sup>12</sup> *Ibid.*, pages 26, 43, 57

**Special 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 HSGP eligibility.

**Conflict of  
Interest**

Subrecipients must disclose to their grant 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 HSGP subaward within five days of learning of the conflict of interest.

**FY 2017  
Investments**

The State has prioritized the following investment strategies for the FY 2017 award. Please note that Investment Justification (IJ) #1 is to be used to report on Regional Threat Assessment Center activities only.

- IJ #1: Information Sharing and Analysis, Collaboration Capabilities, and Public Safety Response
- IJ #2: Protect Critical Infrastructure and Key Resources
- IJ #3: Enhance Cybersecurity
- IJ #4: Strengthen Communications Capabilities Through Planning, Governance, Technology and Equipment
- IJ #5: Enhance Medical and Public Health Preparedness
- IJ #6: Preventing Violent Extremism Through Multi-Jurisdictional/Inter-Jurisdictional Collaboration and Coordination
- IJ #7: Enhance Community Resilience, Including Partnerships With Volunteers and Community Based Organizations and Programs
- IJ #8: Strengthen Food and Agriculture Security
- IJ #9: Enhance Multi-Jurisdictional/Inter-Jurisdictional All Hazards Incident Planning, Response & Recovery Capabilities
- IJ #10: Homeland Security Exercise, Evaluation and Training Programs

**State Initiative  
Funding**

While both the SHSP and UASI federal allocations reflected an overall reduction as announced in the federal NOFO, Cal OES is supplementing the FY 2017 federal allocations with State retention dollars in order to keep funding consistent with FY 2016 levels. Adjustments to the FY 2017 SHSP allocations are reflective of population changes only.

**“On Behalf Of”**

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

**Regional  
Approach**

Subrecipients must take a regional approach and consider the needs of local units of government and applicable volunteer organizations in the projects and activities included in their FY 2017 HSGP application.

**Non- DHS/FEMA  
Training**

When seeking approval of non-DHS/FEMA developed courses, course materials must be submitted with the approval requests. Conditional approvals are not offered.

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>

**Tactical  
Interoperable  
Communication  
Plan**

Due to significant legislation impacting public safety communications, Cal OES is reminding all Subrecipients to update their Tactical Interoperable Communications Plan (TICP) and make it available upon request. Updating a TICP is an eligible activity under the FY 2017 HSGP.

**FFATA  
Financial  
Disclosure**

On November 23, 2010, the DHS and FEMA issued IB 350 to clarify requirements under the Federal Funding Accountability and Transparency Act (FFATA).

As the State Administrative Agency (SAA), Cal OES is required to report subaward information for federal subawards of \$25,000 or more made on or after October 1, 2010, as well as compensation for highly paid individuals. Specifically, the name and total compensation of the five most highly compensated individuals. Please see GMM 2012-01 for more information.

### **Financial Management Forms Workbook**

The FY 2017 Cal OES FMFW can be accessed at <http://www.caloes.ca.gov/cal-oes-divisions/grants-management/grants-processing-programs/homeland-security-grants-processing> and includes:

**Face Sheet** – Use the Cover Sheet to apply for grant programs. The application Face Sheet must be signed **in blue ink**.

**Authorized Body of 5 Sheet** – Use the Authorized Body of 5 Sheet to list the Authorized Body of 5, Authorized Agents, and Points of Contact.

**FFATA Financial Disclosure Sheet** – Use the FFATA Financial Disclosure Sheet to list the name and compensation of the top five paid individuals, where applicable.

**Project Ledger** – The project ledger is used in the application process to submit funding information and is used in the post-award phase for submitting Cash Reimbursements, Grant Subaward Modifications, Cash Advances, and to assist with completion of the Biannual Strategy Implementation Report (BSIR).

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

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

**Equipment Inventory Ledger** – It is an HSGP requirement that detailed information be provided under the equipment description on 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** – Provide detailed information on grant-funded Training activities.

**Exercise Ledger** – Provide detailed information on grant-funded Exercise activities.

**M&A Ledger** – Provide detailed information on grant-funded M&A activities.



**Financial Management Forms Workbook (Cont.)**

**Indirect Ledger** – If claiming indirect costs under the subaward, provide detailed information on the total estimated indirect costs and the indirect cost rate at which you will be claiming. If you have a federally-approved rate, provide information on the direct cost base on which the rate is calculated, e.g., Salary and Wages, Salary, Wages and Benefits, Total Direct Costs, MTDC, the de minimis rate of 10% of MTDC (10% MTDC), or another base (Other).

**Consultant Ledger** – Provide detailed information on grant-funded consultants.

**Personnel Ledger** – Provide detailed information on grant-funded Personnel activities.

**Authorized Agent Sheet** – The Authorized Agent Sheet (AA) must be submitted with the application, and with all Cash Reimbursements, Grant Subaward Modifications, and Cash Advances. The AA must include the appropriate signature, expenditure period, and date. Only complete and accurate information recorded on the AA will be accepted.

**Subrecipient Grants Management Assessment**

Per Title 2 CFR Part 200, §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 Subrecipient 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 award. The questionnaire must be completed and returned with each grant application. A PDF fillable version of the form may be found at: <http://www.caloes.ca.gov/cal-oes-divisions/grants-management/homeland-security-prop-1b-grant-programs/homeland-security-grants-program> .

**Narrative Attachments**

**Explanation of 25% Law Enforcement** – Describe how the Subrecipient will meet the minimum federal requirement for funding LETPA.

**M&A Cap** – Describe how the Subrecipient will not exceed the federally mandated 5% cap on M&A.

**Personnel Cap** – Describe how the Subrecipient will not exceed the federally mandated 50% personnel cap.

**EOP** – Please describe your EOP and any progress in meeting the requirements identified in the FY 2017 NOFO.

### Narrative Attachments (Cont.)

**Training with AAR/Exercise Detail** – Pursuant to the federal NOFO, all training conducted using HSGP funds must be in support of the development or maintenance of an identified team or capability. Additionally, all training should address a performance gap identified through an AAR/IP, or build a capability that will be evaluated through an exercise. Subrecipients must explain in a narrative the type of training, the capability, and the gap identified, and then provide access to the AAR or its details for the upcoming exercise.

**Intelligence Analysts Certificates** – Pursuant to the federal NOFO, Cal OES must have certificates for completion of training for fusion center analytical personnel. Provide copies of certificates for each intelligence analyst.

**Equipment Typing Narrative** – All equipment procured under this grant must be in support of the development or maintenance of an identified team or capability. Please describe what typed capability the equipment purchased with this grant supports.

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

**Fusion Center Operational Overtime Allowability Request** – If including a project for fusion center operational overtime, an Allowability Request (AR) form must be submitted at the time of application. The AR must include dates of the anticipated operational overtime, a description of the activity, the nature of the issue (critical infrastructure protection, maritime, border security, etc.) and the total cost anticipated, including a breakdown of the costs (personnel involved, number of hours, etc.). The AR form may be accessed at the following link:

<http://caloes.ca.gov/for-governments-tribal/grants-funding/homeland-security-prop-1b-grant-programs/homeland-security-grants-program>

### 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 2017 Grant Assurances as part of their FY 2017 HSGP application. The required Grant Assurances can be found only in PDF format on the Cal OES website and will be available within 14 days of Cal OES receiving the federal award.

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

### **Training**

All grant training activities must receive Cal OES approval prior to starting the training event. Cal OES shall afford Subrecipients the opportunity to develop a “placeholder” for future training conferences when an agenda has not been established at the time Subrecipient applications are due. Please work with your Cal OES Program Representative and the Training Branch to identify a possible “placeholder” for these types of training activities. Citizen Corps Whole Community Councils and Community CERT programs must register new programs, or information for an existing program must be updated annually on line in order to be considered by a state or local jurisdiction for inclusion in their IJs when applying for HSGP funds.

### **Operational Areas Only**

**Approval Authority Body** –OA’s must appoint an Anti-Terrorism Approval Body (Approval Authority) to have final approval of the OA’s application for HSGP funds. Each member of the Approval Authority must provide written agreement with the OA’s application for HSGP funds. The Approval Authority shall consist of the following representatives, and additional voting members may be added by a simple majority vote of the following standing members:

- County Public Health Officer or designee responsible for Emergency Medical Services
- County Fire Chief or Chief of Fire Authority
- Municipal Fire Chief (selected by the OA Fire Chiefs)
- County Sheriff
- Chief of Police (selected by the OA Police Chiefs)

NOTE: A list of the Approval Authority Body members and their associated contact information, as well as a written agreement from each member, must be submitted with the FY 2017 HSGP application. Contact your Cal OES Program Representative for more information.

**Governing Body Resolution (GBR)** – The GBR appoints Authorized Agents (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 2017 GBR with their application. A sample Resolution is found in Attachment C.

**Authorized Agent Information Form** – For each person or position appointed by the governing body, submit the following information to Cal OES, along with the Resolution, on the Applicant’s letterhead:

- Name
- Title
- County Public Health Officer or designee responsible for Emergency Medical Services

### **Operational Areas Only (Cont.)**

- County Fire Chief or Chief of Fire Authority
- Municipal Fire Chief (selected by the OA Fire Chiefs)
- County Sheriff
- Chief of Police (selected by the OA Police Chiefs)

NOTE: A list of the Approval Authority Body members and their associated contact information, as well as a written agreement from each member, must be submitted with the FY 2017 HSGP application. Contact your Cal OES Program Representative for more information.

### **Urban Areas Only**

**Urban Area Working Groups (UAWGs)** – Membership in the UAWG must provide either direct or indirect representation for all relevant jurisdictions and response disciplines (including law enforcement, fire service, EMS, and emergency management) that comprise the defined Urban Area. It also must be inclusive of local Citizen Corps Council and Tribal representatives. Each UASI must include the geographical boundaries and footprint of their UASI designation. The UAWG should also ensure the integration of local emergency management, public health, and health care systems into a coordinated, sustained local capability to respond effectively to a mass casualty incident. Additional group composition criteria is found in the federal NOFO.<sup>13</sup>

### **Fusion Centers Only**

Fusion Centers are required to follow all *Reporting and Administrative Metrics for California Fusion Centers* as set forth in the Governor’s Homeland Security Advisor/Cal OES Director’s letter dated March 16, 2016. These operational and administrative metrics set forth an integrated and coordinated approach for regular and proactive information and intelligence sharing between all fusion centers in the California State Threat Assessment System.

### **State Agencies and Tribes Only**

**Project Narrative** – In addition to the FMFW Project Descriptions, state agencies and tribes must complete a Project Narrative Form (included as Attachment E).

**Signature Authority** – Applications must be signed by the highest-level person, or their designee. If a designee is signing, the highest-level person must execute and submit a Signature Authority Form with the Application (included in Attachment D).

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<sup>13</sup> *Ibid.*, page 47-50

**Application Submittal**

The completed FMFW V 1.17 must be mailed in hardcopy with original signatures, and must also be emailed as an attachment to the Cal OES Program Representative.

All application documents requiring an original signature must be mailed in hardcopy.

**HAND-DELIVERED APPLICATIONS WILL NOT BE ACCEPTED**

**Late or Incomplete Application**

All application materials are due as stated in Attachment B. Late or incomplete applications may be denied. If an application is incomplete, the Cal OES Program Representative may request additional information. Requests for late submission of applications must be made in writing to the Cal OES Program Representative prior to the application due date. Cal OES has sole discretion to accept or reject a late or incomplete grant application.

**Award Approval**

The Subrecipient will receive written notice of the State’s approval of its award not later than 45 days after Cal OES receives the federal grant award. Subrecipient reimbursements will not be made until all required application components have been approved by Cal OES.

**Payment Request Process**

To request an advance or cash reimbursement payment of FY 2017 HSGP funds, Subrecipients must first complete a payment request using the Cal OES FMFW, returning it to the appropriate Cal OES HSGU 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 AAR has been posted and access to the AAR has been granted to Cal OES Program Representative Justin Duke.**

Mr. Duke can be reached at (916) 845-8296 or [justin.duke@caloes.ca.gov](mailto:justin.duke@caloes.ca.gov).

**Semi-Annual Drawdown Requirements**

All Subrecipients must report expenditures and request funds at least semi-annually throughout the performance period. Exceptions will be considered on a case-by-case basis and must be specifically authorized in writing *in advance* by Cal OES.

Semi-annual drawdowns must occur no later than March 31 and October 31 of each calendar year *following final approval of the subaward application*, with the exception of the final cash request, which must be submitted within 20 days of the end of the performance period.

**Advances and Interest Earned on Advances**

Advance payment means a payment that is requested before Subrecipients have disbursed the funds for program purposes. Subrecipients may be paid an advance, provided they maintain a willingness and ability to maintain procedures to minimize the time elapsing between the receipt of funds and their disbursement.

Federal rules require advances to be deposited in interest-bearing accounts. Interest earned amounts up to \$500 per year may be retained by Subrecipients for administrative expense; any additional interest earned on federal advance payments must be returned annually to Cal OES.

**Post Award Modifications**

Post award budget, scope and time modifications must be requested using the Cal OES FMFW V 1.17, signed by the Subrecipient's Authorized Agent, and submitted to the Cal OES 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. Failure to submit a modification request, and receive written approval prior to expenditure, could result in a reduction or disallowance of that portion of the grant.

### **Noncompetitive Procurement**

To be eligible for reimbursement, noncompetitive procurements exceeding the *simplified acquisition threshold* (which is established by the Federal Acquisition Regulation at 48 CFR Subpart 2.1 and is currently set at \$150,000) 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.

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; advance approval is required.

### **Performance Bond**

Many Subrecipients were unable to procure large equipment items due to vendor delivery scheduled to occur after the federal reporting period had expired. To assist with this issue, DHS allowed Subrecipients to obtain a “performance bond” wherein Subrecipients procured the item(s) in question, paid the money up front, and obtained a performance bond to ensure delivery of the item within 90 days of the Subrecipient’s performance period.

Subrecipients must obtain a performance bond for any equipment item over \$250,000 or any vehicle, aircraft or watercraft, financed with homeland security dollars. **Subrecipients must provide a copy of all performance bonds to their HSGP Program Representative not later than the time of reimbursement.**

### **Environmental and Historic Preservation**

DHS/FEMA is required to ensure that all activities and programs that are funded by the agency comply with federal Environmental 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) that have the potential to impact the environment must participate in the EHP review process.

Subrecipients are required to submit EHP Screening Memos to their Program Representative prior to initiating a project that has *any potential* to impact the environment. EHP Screening Memos must include detailed project information and explain the goals and objectives of the proposed project, and include supporting documentation.

FEMA may require a Subrecipient to provide a confidential California Historical Resources Information System (CHRIS) report in addition to the

**Environmental and Historic Preservation (Cont.)**

EHP Screening Memo. Determination on the necessity of a CHRIS report is based upon information disclosed on the Screening Memo. Your Cal OES

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, but no later than nine months prior to the end of the performance period, or no less than one year prior to the end of the performance period for the construction of communications towers.

All HSGP projects/activities triggering EHP must receive DHS *written* approval prior to commencement of the funded project/activity.<sup>14</sup>

**Construction and Renovation**

Project construction using SHSP and UASI funds may not exceed the greater of \$1,000,000 or fifteen percent (15%) of the Grant Subaward. (For the purposes of the limitations on funding levels, communications towers are not considered construction.)

***Written approval for construction must be provided by DHS/FEMA prior to the use of any HSGP funds for construction or 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 that the Federal Communications Commission's Section 106 review process has been completed.<sup>15</sup>

**Inventory Control and Property Management**

FY 2017 HSGP 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, source of funding, title information, acquisition date, cost, location, use and condition, and ultimate disposition;
- Conducting a physical inventory at least every two years;

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<sup>14</sup> *Ibid*, pages 14, 15, 28, 66

<sup>15</sup> *Ibid.*, page 66





### **Extension Requests (Cont.)**

2. The project must undergo a complex environmental review that 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.

Extension requests for *personnel and salaries* do not meet the requirements of FEMA IB 379 and will not be granted. Subrecipients are expected to complete all grant funded personnel activity by the end of the award performance period. For additional information, please see IB 379.

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. Any submissions received after the deadline will be considered at the discretion of the Cal OES Director. 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 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;
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 Cal OES Program Representative. For additional information, please see IB 379 at: <https://www.fema.gov/pdf/government/grant/bulletins/info379.pdf>

### **Progress Reports on Grant Extensions**

All Subrecipients that receive Cal OES approval to extend their FY 2017 grant performance period must submit progress reports indicating completed and future project milestones on all extended projects. Progress reports must be submitted electronically to the Cal OES Program Representative. Deadlines for the submission of progress reports will be established at the time of extension approval.

### **Monitoring**

The 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 2-3 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 that advances have been disbursed in accordance with applicable guidelines.
- Confirming compliance with:
  - Grant Assurances; and
  - Information provided on performance reports and payment requests.

Many Subrecipients receive “findings” that 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.

NOTE: It is the responsibility of all Subrecipients that pass through funds, to monitor and audit the grant activities of their subawards. This requirement includes, but is not limited to, on-site verification of grant activities, as required.

### **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 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.

### **Suspension/ Termination (Cont.)**

- 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 that all applicable administrative actions and all required work of the federal award have been completed.

Subrecipient subawards will be closed after:

- Receiving a Subrecipient Performance Report indicating that all approved work has been completed, and all funds have been distributed;
- Receiving the Subrecipient's Final Reimbursement Request;
- Completing a review to confirm the accuracy of reported information;
- Reconciling actual costs to subawards, modifications and payments.
- Verifying the Subrecipient has submitted a final BSIR showing all grant funds have been expended.

If the closeout review and reconciliation indicates that the Subrecipient:

- Is owed additional funds, then Cal OES will send the final payment automatically to the Subrecipient.
- Did not use all funds received through an Advance, then Cal OES will issue an Invoice for the unused funds.
- Did not use all funds obligated, then Cal OES will send a deobligation letter in the amount of the unused funds.

### **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.

<b>State Homeland Security Program (SHSP)</b>					
<b>Operational Area</b>	<b>Population</b>	<b>Base Amount</b>	<b>25% LE</b>	<b>SHSP</b>	<b>Total Award (25% LE + SHSP)</b>
<b>ALAMEDA</b>	1,645,359	75,000	429,769	1,289,307	1,719,076
<b>ALPINE</b>	1,151	75,000	19,038	57,112	76,150
<b>AMADOR</b>	38,382	75,000	28,338	85,014	113,352
<b>BUTTE</b>	226,404	75,000	75,307	225,920	301,227
<b>CALAVERAS</b>	45,168	75,000	30,033	90,100	120,133
<b>COLUSA</b>	22,043	75,000	24,256	72,770	97,026
<b>CONTRA COSTA</b>	1,139,513	75,000	303,406	910,219	1,213,625
<b>DEL NORTE</b>	27,124	75,000	25,526	76,577	102,103
<b>EL DORADO</b>	185,062	75,000	64,979	194,939	259,918
<b>FRESNO</b>	995,975	75,000	267,550	802,649	1,070,199
<b>GLENN</b>	28,731	75,000	25,927	77,782	103,709
<b>HUMBOLDT</b>	136,953	75,000	52,962	158,884	211,846
<b>IMPERIAL</b>	188,334	75,000	65,797	197,390	263,187
<b>INYO</b>	18,619	75,000	23,401	70,203	93,604
<b>KERN</b>	895,112	75,000	242,354	727,060	969,414
<b>KINGS</b>	149,537	75,000	56,105	168,315	224,420
<b>LAKE</b>	64,945	75,000	34,974	104,920	139,894
<b>LASSEN</b>	30,918	75,000	26,473	79,421	105,894
<b>LOS ANGELES</b>	10,241,278	75,000	2,577,073	7,731,221	10,308,294
<b>MADERA</b>	156,492	75,000	57,842	173,528	231,370
<b>MARIN</b>	263,604	75,000	84,600	253,798	338,398
<b>MARIPOSA</b>	18,148	75,000	23,283	69,851	93,134
<b>MENDOCINO</b>	89,134	75,000	41,016	123,048	164,064
<b>MERCED</b>	274,665	75,000	87,363	262,088	349,451
<b>MODOC</b>	9,580	75,000	21,143	63,430	84,573
<b>MONO</b>	13,713	75,000	22,176	66,526	88,702
<b>MONTEREY</b>	442,365	75,000	129,255	387,765	517,020
<b>NAPA</b>	142,408	75,000	54,324	162,973	217,297
<b>NEVADA</b>	98,828	75,000	43,438	130,313	173,751
<b>ORANGE</b>	3,194,024	75,000	816,633	2,449,901	3,266,534
<b>PLACER</b>	382,837	75,000	114,385	343,154	457,539
<b>PLUMAS</b>	19,819	75,000	23,701	71,103	94,804
<b>RIVERSIDE</b>	2,384,783	75,000	614,481	1,843,443	2,457,924
<b>SACRAMENTO</b>	1,514,770	75,000	397,147	1,191,442	1,588,589
<b>SAN BENITO</b>	56,854	75,000	32,952	98,858	131,810
<b>SAN BERNARDINO</b>	2,160,256	75,000	558,393	1,675,179	2,233,572
<b>SAN DIEGO</b>	3,316,192	75,000	847,152	2,541,455	3,388,607
<b>SAN FRANCISCO</b>	874,228	75,000	237,137	711,409	948,546
<b>SAN JOAQUIN</b>	746,868	75,000	205,321	615,965	821,286
<b>SAN LUIS OBISPO</b>	280,101	75,000	88,721	266,162	354,883
<b>SAN MATEO</b>	770,203	75,000	211,151	633,452	844,603
<b>SANTA BARBARA</b>	450,663	75,000	131,328	393,984	525,312
<b>SANTA CLARA</b>	1,938,180	75,000	502,917	1,508,752	2,011,669
<b>SANTA CRUZ</b>	276,603	75,000	87,847	263,540	351,387

<b>SHASTA</b>	178,605	75,000	63,366	190,100	253,466
<b>SIERRA</b>	3,207	75,000	19,551	58,653	78,204
<b>SISKIYOU</b>	44,688	75,000	29,913	89,740	119,653
<b>SOLANO</b>	436,023	75,000	127,671	383,012	510,683
<b>SONOMA</b>	505,120	75,000	144,932	434,794	579,726
<b>STANISLAUS</b>	548,057	75,000	155,657	466,973	622,630
<b>SUTTER</b>	96,956	75,000	42,970	128,910	171,880
<b>TEHAMA</b>	63,995	75,000	34,736	104,209	138,945
<b>TRINITY</b>	13,628	75,000	22,154	66,463	88,617
<b>TULARE</b>	471,842	75,000	136,619	409,855	546,474
<b>TUOLUMNE</b>	54,707	75,000	32,416	97,248	129,664
<b>VENTURA</b>	857,386	75,000	232,929	698,789	931,718
<b>YOLO</b>	218,896	75,000	73,431	220,294	293,725
<b>YUBA</b>	74,577	75,000	37,380	112,139	149,519
<b>Total</b>	<b>39,523,613</b>	<b>4,350,000</b>	<b>10,960,699</b>	<b>32,882,101</b>	<b>43,842,800</b>

### Regional Threat Assessment Center (RTAC)

Region	Total Award
<b>SAN FRANCISCO BAY AREA</b>	1,000,000
<b>SACRAMENTO/CENTRAL VALLEY AREA</b>	1,000,000
<b>GREATER LOS ANGELES AREA</b>	1,000,000
<b>SAN DIEGO AREA</b>	1,000,000
<b>Total</b>	<b>4,000,000</b>

### Urban Areas Security Initiative (UASI)

\*A minimum of 25% of UASI funding must be utilized for Law Enforcement purposes

Urban Area	Federal Allocation to State	Allocation to UASI	State Initiatives
<b>ANAHEIM/SANTA ANA AREA</b>	5,180,000	4,344,000	836,000
<b>BAY AREA</b>	27,536,000	22,428,800	5,107,200
<b>LOS ANGELES/LONG BEACH AREA</b>	68,110,000	54,888,000	13,222,000
<b>RIVERSIDE AREA</b>	2,837,000	2,369,600	467,400
<b>SACRAMENTO</b>	2,837,000	2,369,600	467,400
<b>SAN DIEGO AREA</b>	16,158,000	13,326,400	2,831,600
<b>Total</b>	<b>122,658,000</b>	<b>99,726,400</b>	<b>22,931,600</b>

## Attachment B – FY 2017 HSGP Timeline | 2017

DHS Announcement of 2017 HSGP	June 2, 2017
SAA Application Due to DHS	June 22, 2017
DHS Award to California	September 6, 2017
2017 HSGP California Supplement Release	September 2017
Subrecipient Workshops	September 2017
Subrecipient Awards (45 days from DHS award)	October 21, 2017
Subrecipient Final Applications Due to Cal OES	November 1, 2017
Subrecipient Performance Period Begins	September 1, 2017
Subrecipient Performance Period Ends	May 31, 2020
Final Requests for Reimbursement Due	June 20, 2020
SAA Performance Period Ends	August 31, 2020

# Attachment C – Sample Governing Body Resolution | 2017

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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 or Title of Authorized Agent)

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

\_\_\_\_\_ Of the \_\_\_\_\_  
(Title) (Governing Body)

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

\_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

\_\_\_\_\_  
(Official Position)

\_\_\_\_\_  
(Signature) (Date)

\_\_\_\_\_



Attachment D – Signature Authority Form | 2017

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AS THE \_\_\_\_\_  
(Secretary/Director/President/Chancellor/Chairperson)

OF THE \_\_\_\_\_  
(Name of the Organization)

I hereby authorize the following individual(s) to execute for and on behalf of the named organization, any actions necessary for the purpose of obtaining federal financial assistance provided by the federal Department of Homeland Security and subgranted through the California Governor's Office of Emergency Services.

\_\_\_\_\_, OR

\_\_\_\_\_, OR

\_\_\_\_\_ ,

Signed and approved this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
(Signature)

\_\_\_\_\_

**FOR USE BY STATE AGENCIES / TRIBES**

**Applicant** (agency/organization) \_\_\_\_\_

*NOTE: Complete a separate Project Description for each proposed project.*

**Project Title:** \_\_\_\_\_

**Indicate the State Investment Strategies Supported by the Project:**

- IJ #1: Information Sharing and Analysis, Collaboration Capabilities, and Public Safety Response
- IJ #2: Protect Critical Infrastructure and Key Resources
- IJ #3: Enhance Cybersecurity
- IJ #4: Strengthen Communications Capabilities Through Planning, Governance, Technology and Equipment
- IJ #5: Enhance Medical and Public Health Preparedness
- IJ #6: Preventing Violent Extremism Through Multi-Jurisdictional/Inter-Jurisdictional Collaboration and Coordination
- IJ #7: Enhance Community Resilience, Including Partnerships With Volunteers and Community Based Organizations and Programs
- IJ #8: Strengthen Food and Agriculture Security
- IJ #9: Enhance Multi-Jurisdictional/Inter-Jurisdictional All Hazards Incident Planning, Response & Recovery Capabilities
- IJ #10: Homeland Security Exercise, Evaluation and Training Programs

**Provide a detailed description of the proposed project and how it supports the Investment Justification ((IJ) indicated above.**

**For construction and renovation projects, provide the following additional information:**

- A description and location of the facility;
- A description of the vulnerability assessment and the date the assessment was conducted (the assessment does not have to be submitted with the application);
- A description of how the proposed project will address the vulnerabilities identified in the assessment;
- A description of the consequences if the project is not funded under HSGP FY 2017

Please check the appropriate box:

- Our agency/organization currently has spending authority for the requested funds.
- Our agency/organization does not currently have spending authority for the requested funds.  
See below for explanation:

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## Attachment F – Public Records Act Notification | 2017

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California Public Records Act - 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 the FY 2017 HSGP application. If you believe that any of the information you are putting on the application is exempt from the Public Records Act, please attach a statement that indicates 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.

\_\_\_\_\_ I believe there is information in the application that is exempt from the Public Records Act and have attached a document to support it.

Signed and approved this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

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(Name of the Organization)

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(Signature)

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# Attachment G – Subrecipient Grants Management Assessment | 2017

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

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

<b>Subrecipient:</b>	<b>DUNS #:</b>	<b>FIPS #:</b>
<b>Grant Disaster/Program Title:</b>		
<b>Performance Period:</b>	<b>to</b>	<b>Subaward Amount Requested:</b>
<b>Type of Non-Federal Entity (Check Box)</b>	<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:** *This is to certify that, to the best of our knowledge and belief, the data furnished above is accurate, complete and current.*

<b>Signature: (Authorized Agent)</b>	<b>Date:</b>
<b>Print Name:</b>	<b>Print Title:</b>

# Attachment H – FY 2017 Application Checklist | 2017

Subrecipient: \_\_\_\_\_ FIPS#: \_\_\_\_\_

Cal OES Program Representative: \_\_\_\_\_

## OPERATIONAL/URBAN AREAS:

- \_\_\_\_\_ Financial Management Forms Workbook
- \_\_\_\_\_ Face Sheet
- \_\_\_\_\_ Authorized Body of 5 Sheet
- \_\_\_\_\_ FFATA Financial Disclosure Sheet
- \_\_\_\_\_ Project Descriptions
- \_\_\_\_\_ Project Ledger
- \_\_\_\_\_ Equipment Inventory Ledger
- \_\_\_\_\_ Controlled Equipment Self-Certification Form, if applicable
- \_\_\_\_\_ Organization Ledger
- \_\_\_\_\_ Training Ledger
- \_\_\_\_\_ Planning Ledger
- \_\_\_\_\_ Exercise Ledger
- \_\_\_\_\_ Personnel Ledger
- \_\_\_\_\_ Consultant Ledger
- \_\_\_\_\_ Management and Administration Ledger
- \_\_\_\_\_ Indirect Cost Ledger
- \_\_\_\_\_ Authorized Agent Sheet
- \_\_\_\_\_ Subrecipient Grants Management Assessment

### Narrative Attachments:

- \_\_\_\_\_ 25% Law Enforcement – Minimum
- \_\_\_\_\_ 5% M&A Cap
- \_\_\_\_\_ 50% Personnel Cap
- \_\_\_\_\_ Training w/AAR/Exercise Detail
- \_\_\_\_\_ Describe your EOP
- \_\_\_\_\_ Intelligence Analysts Certificates
- \_\_\_\_\_ Equipment Typing
- \_\_\_\_\_ Indirect Cost Rate Negotiation Agreement
- \_\_\_\_\_ Allowability Request (Operational Overtime)

### Approval Authority:

- \_\_\_\_\_ Contact Information for each member
- \_\_\_\_\_ Written Agreement from each member
- \_\_\_\_\_ Governing Body Resolution (Certified)
- \_\_\_\_\_ Authorized Agent(s) Information Form
- \_\_\_\_\_ Grant Assurances (Signed Originals)
- \_\_\_\_\_ Public Records Act Notification (Signed)

## STATE AGENCIES / TRIBES:

- \_\_\_\_\_ Financial Management Forms Workbook
- \_\_\_\_\_ Face Sheet
- \_\_\_\_\_ Authorized Body of 5 Sheet
- \_\_\_\_\_ FFATA Financial Disclosure Sheet
- \_\_\_\_\_ Project Descriptions
- \_\_\_\_\_ Project Ledger
- \_\_\_\_\_ Equipment Inventory Ledger
- \_\_\_\_\_ Controlled Equipment Self-Certification Form, if applicable
- \_\_\_\_\_ Organization Ledger
- \_\_\_\_\_ Training Ledger
- \_\_\_\_\_ Planning Ledger
- \_\_\_\_\_ Exercise Ledger
- \_\_\_\_\_ Personnel Ledger
- \_\_\_\_\_ Consultant Ledger
- \_\_\_\_\_ Management and Administration Ledger
- \_\_\_\_\_ Indirect Cost Ledger
- \_\_\_\_\_ Authorized Agent Sheet
- \_\_\_\_\_ Subrecipient Grants Management Assessment

### Narrative Attachments:

- \_\_\_\_\_ 25% Law Enforcement – Minimum
- \_\_\_\_\_ 5% M&A Cap
- \_\_\_\_\_ 50% Personnel Cap
- \_\_\_\_\_ Training w/AAR/Exercise Detail
- \_\_\_\_\_ Describe your EOP
- \_\_\_\_\_ Equipment Typing
- \_\_\_\_\_ Indirect Cost Rate Negotiation Agreement
- \_\_\_\_\_ Project Narrative Form

### Approval Authority:

- \_\_\_\_\_ Signature Authority – Authorized Agent
- \_\_\_\_\_ Authorized Agent(s) Information Form
- \_\_\_\_\_ Grant Assurances (Signed Originals)
- \_\_\_\_\_ Public Records Act Notification (Signed)