



***Cal* OES**

**GOVERNOR'S OFFICE
OF EMERGENCY SERVICES**

**Fiscal Year 2019
Homeland Security Grant Program**

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

September 2019

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Federal Program Announcement

In April 2019, the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) issued the Fiscal Year (FY) 2019 Homeland Security Grant Program (HSGP), [Notice of Funding Opportunity](#) (NOFO) and the [FEMA Preparedness Grants Manual](#). Subrecipients must follow the programmatic requirements set forth in the NOFO, FEMA Preparedness Grants Manual, and the applicable provisions of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards located in [Title 2, Code of Federal Regulations \(C.F.R.\), Part 200](#).

Information Bulletins

DHS issues [Information Bulletins](#) (IBs) to provide updates, clarification, and new requirements throughout the life of the grant.

Purpose of the California Supplement

The [FY 2019 HSGP California Supplement to the NOFO](#) (State Supplement) is intended to complement, rather than replace, the NOFO and the Preparedness Grants Manual published by DHS/FEMA. It is recommended that Applicants thoroughly read the NOFO and the Preparedness Grants Manual before referring to the State Supplement. The State Supplement will emphasize differences between the FY 2018 and FY 2019 HSGP, and highlight additional California policies and requirements applicable to the FY 2019 HSGP.

Key Changes to the FY 2019 HSGP

- DHS/FEMA requires all Subrecipients to complete the [Nationwide Cybersecurity Review](#) (NCSR) by December 31, 2019. The Chief Information Officer (CIO), Chief Information Security Officer (CISO), or equivalent should complete the NCSR. If there is no CIO or CISO, the most senior cybersecurity professional should complete the assessment.
- DHS/FEMA now requires by December 31, 2019 that all states, territories and high-risk urban areas complete a Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) for all 32 core capabilities. Also beginning in 2019, jurisdictions which are required to submit a THIRA are only required to do so every three years. Jurisdictions which are required to submit an SPR will continue to do so annually.
- Subrecipients will be required to complete and include the [Certification Regarding Lobbying Form](#) as part of the application package.

Key Changes to the FY 2019 HSGP (cont.)

- EOC requirements were removed. Subrecipients are no longer required to submit an EOC form for projects related to an EOC. The EOC hold in the FMFW is also removed.

Grant Management Memoranda

Cal OES issues [Grant Management Memoranda](#) (GMMs) which provide additional information and requirements regarding HSGP funds.

Eligible Subrecipients

Eligible Applicants, referred to as Subrecipients, include Counties/Operational Areas (OAs), Urban Areas (UAs), State Agencies (SAs), Departments, Commissions, Boards, who have or can obtain appropriate state Department of Finance budget authority for awarded funds, and federally-recognized tribes located in California.

Tribal Allocations

The NOFO strongly encourages Cal OES to provide access to HSGP funds directly to tribes in California. To implement this requirement, a special Request for Proposal will be issued to California's federally recognized tribes and Indian organizations, as described in the Cal OES [Tribal Consultation Policy](#).

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

Subrecipient Allocations

FY 2019 HSGP Subrecipient allocations are included in Attachment A.

NIMS Implementation

Prior to allocation of any federal preparedness awards in FY 2019, Subrecipients must ensure and maintain adoption and implementation of the [National Incident Management System](#) (NIMS).

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 (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 funds, and must be prepared to present supporting documentation to monitors/auditors.

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

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

**FY 2019
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 required to prioritize grant funding to demonstrate how investments support closing capability gaps or sustaining capabilities identified in the THIRA/SPR process.

DHS/FEMA continually assesses changes to the threat landscape to further the National Preparedness Goal (NPG) of a secure and resilient nation. HSGP Subrecipients are encouraged to consider the following national priority areas:

- Emerging Threats, including Cybersecurity;
- Lifelines (more information in this [fact sheet](#) and [tool kit](#))
 - Safety and Security;
 - Food, Water, Sheltering;
 - Health and Medical;
 - Energy;
 - Communications;
 - Transportation; and
 - Hazardous Material

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

**National
Campaigns
and Programs**

Active Shooter Preparedness – DHS has developed a comprehensive [Active Shooter Preparedness website](#), which strives to enhance national preparedness through a whole-community approach by providing the necessary products, tools, and resources to help all stakeholders prepare for and respond to an active shooter incident. Subrecipients are encouraged to review the referenced active shooter resources and evaluate their preparedness needs.

National Campaigns and Programs (cont.)

Soft Targets and Crowded Places – States, territories, UAs, and public and private sector partners are encouraged to identify security gaps and build capabilities that address security needs of soft targets and crowded places, understanding the unique challenges related to protecting locations which are open to the public.

Community Lifelines – FEMA has introduced a new lifeline construct to enable the operational continuity of government and critical business essential to human health, safety, or economic security during and after a disaster. These lifelines enable a true unity of effort between government, non-governmental organizations, and the private sector, including infrastructure owners and operators. Additional information may be found at the [Community Lifelines Implementation Toolkit website](#).

National Cybersecurity Review

Beginning with FY 2019 HSGP, the [National Cybersecurity Review \(NCSR\)](#) is a required assessment for all Subrecipients of State Homeland Security Program (SHSP) and Urban Areas Security Initiative (UASI) funding to be completed between October and December 2019.

The NCSR is a no-cost, anonymous, and annual self-assessment designed to measure gaps and capabilities of state, local, tribal, territorial, nonprofit, and private sector agencies' cybersecurity programs.

The CIO, CISO, or equivalent should complete the NCSR. If there is no CIO or CISO, the most senior cybersecurity professional should complete the assessment. Additional information may be found in IB 439 and 429a.

Law Enforcement Terrorism Prevention Activities

As in past grant years, a minimum of 25 percent of FY 2019 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. Refer to IB 412 for additional information.

Management and Administration

The Management and Administration (M&A) allowance for Subrecipients is set at a maximum of 5 percent for the FY 2019 HSGP.

Indirect Costs

Indirect costs are allowable under the FY 2019 HSGP Grant Award. Subrecipients who claim indirect costs may do so, provided they use one of the following two methods:

1. Subrecipients with an indirect cost rate approved by their cognizant federal agency may claim indirect costs based on the established rate. Indirect costs claimed must be calculated using the base approved in the indirect cost negotiation agreement. A copy of the approved negotiation agreement is required at the time of application.
2. Subrecipients who have never received a negotiated indirect cost rate and receive *less than* \$35 million in *direct* federal funding per year may claim the 10 percent de minimis indirect cost rate based on Modified Total Direct Costs (MTDC) as described in 2 C.F.R. § 200.68 and Subpart E.

Indirect costs are *in addition to* the M&A allowance, and must be included in the Grant Award application as a “Project” and reflected in the FMFW on the Indirect cost category ledger if being claimed under the award.

Indirect costs must be based on the claimed direct project costs, excluding equipment expenditures and other distorting items. Up to \$25,000 of each subaward may be included as a direct project cost when calculating indirect costs based on MTDC.

Indirect costs must be claimed no more than once annually, and only at the end of the Subrecipient’s fiscal year. An exception to this rule applies if there is a mid-year change to the approved indirect cost rate; in this case, costs incurred to date must be claimed. At that time, a Grant Subaward Modification reflecting the rate change must also be submitted to Cal OES, along with a copy of the new indirect cost rate agreement.

**Organization
Costs -
Overtime**

Operational overtime costs are allowable *for increased security measures at critical infrastructure sites* if associated with detecting, deterring, disrupting, and preventing acts of terrorism and other catastrophic events.

Per page A-17 of the Grants Preparedness Manual, all operational overtime requests must clearly explain how the request meets the criteria of one or more of the categories listed in *Table 2: Authorized Operational Overtime Categories*.

Requests must address the threat environment as it relates to the event or activity requiring operational overtime support and explains how the overtime activity is responsive to the threat. Post-event operational overtime requests will only be considered on a case-by-case basis, where it is demonstrated exigent circumstances prevented submission of a request in advance of the event or activity. Requests for overtime costs must be submitted via the [Request for Operational Overtime Form](#) to Cal OES at the time of application, if the activity will occur within one year of the final application submission. All subsequent requests must be submitted at least 60 days in advance of the activity. **All operational overtime costs must be formally pre-approved in writing by DHS/FEMA.**

Personnel Cap

Pursuant to 6 U.S.C. § 609(b), SHSP and UASI funds may be used for personnel costs, totaling up to 50 percent of each fund source. A Subrecipient may request this requirement be waived by DHS/FEMA, via Cal OES. Requests for personnel cap waivers must be submitted separately for each fund source in writing to the Program Representative 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 (waivers must be calculated separately for SHSP and UASI, outlining salary, fringe benefits, and any M&A costs).

Personnel Cap (cont.)	<p>Subrecipient requests to exceed the personnel cap must be received by Cal OES at the time of application. Subaward modifications impacting the personnel cap will be reviewed on a case-by-case basis, and may require submittal of the above-mentioned information.</p>
Equipment Typing/ Identification and Use	<p>Allowable HSGP equipment is listed on the FEMA Authorized Equipment List (AEL) website.</p> <p>Subrecipients that allocate FY 2019 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 are not allowed with HSGP funds. Special rules apply to pharmaceutical purchases, medical countermeasures, and critical emergency supplies; refer to page A-22 of the Preparedness Grants Manual for additional information.</p> <p>Expenditures for general purpose equipment are allowable if they align to and support one or more core capabilities identified in the NPG, and in addition, are deployable/sharable through the Emergency Management Assistance Compact (EMAC) and allowable under 6 U.S.C. § 609. Refer to the NOFO for examples of allowable general purpose equipment.</p>
Equipment Maintenance/ Sustainment	<p>Use of HSGP funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable as described in FEMA IBs 336 and 379, as well as Grant Programs Directorate (GPD) Policy FP-205-402-125-1.</p>
Small Unmanned Aircraft Systems	<p>All requests to purchase Small Unmanned Aircraft Systems (SUAS) with FEMA grant funding must comply with IB 426 and include copies of the policies and procedures in place to safeguard individuals' privacy, civil rights, and civil liberties of the jurisdiction that will purchase, take title to, or otherwise use the SUAS equipment. Please reference Presidential Memorandum: Promoting Economic Competitiveness While Safeguarding Privacy, Civil Rights, and Civil Liberties in Domestic Use of Unmanned Aircraft Systems for additional information.</p>

Emergency Operations Plans Subrecipients must update their Emergency Operations Plan at least once every two years to remain compliant with the [Comprehensive Preparedness Guide 101 version 2.0](#).

Emergency Communications Projects All Subrecipient emergency communications projects must comply with the [SAFECOM Guidance on Emergency Communications Grants](#) and describe in their FMFW how such activities align with the goals of the [Statewide Communications Interoperability Plan](#).

Subrecipients are encouraged to update their Tactical Interoperable Communications Plan (TICP) and make it available upon request. Updating a TICP is an eligible activity under the FY 2019 HSGP.

Whole Community Preparedness Subrecipients conducting major planning projects (including, but not limited to Evacuation, Mass Care and Shelter, Disaster Recovery, etc.) should integrate program design and delivery practices that ensure representation and services for under-represented diverse populations that may be more impacted by disasters including children, seniors, individuals with disabilities or access and functional needs, individuals with diverse culture and language use, individuals with lower economic capacity, and other underserved populations.

Conflict of Interest To eliminate and reduce the impact of conflicts of interest in the subaward process, Subrecipients must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making subawards. Subrecipients are also required to follow any applicable federal, state, local, and tribal statutes or regulations governing conflicts of interest in the making of subawards.

Subrecipients must disclose to their Program Representative, in writing, any real or potential conflict of interest as defined by the federal, state, local, or tribal statutes or regulations, which may arise during the administration of the HSGP subaward within five days of learning of the conflict of interest.

**FY 2019
Investments**

The State has prioritized the following investment strategies for the FY 2019 subawards:

1. Strengthen Capabilities of the State Threat Assessment System *(Please note this Investment Justification is only to be used to report on Regional Threat Assessment Center activities)*;
2. Protect Critical Infrastructure and Key Resources;
3. Enhance Cybersecurity;
4. Strengthen Emergency Communications Capabilities Through Planning, Governance, Technology, and Equipment;
5. Enhance Medical and Public Health Preparedness;
6. Preventing Violent Extremism Through Multi-Jurisdictional and Inter-Jurisdictional Collaboration and Coordination;
7. Enhance Community Resilience, Including Partnerships With Volunteers and Community Based Organizations and Programs;
8. Strengthen Information Sharing and Collaboration;
9. Enhance Multi-Jurisdictional/Inter-Jurisdictional All Hazards Incident Planning, Response and Recovery Capabilities; and
10. Homeland Security Exercise, Evaluation and Training Programs.

**California
Homeland
Security
Strategy
Goals**

The State has prioritized the following California Homeland Security Strategy Goals for the FY 2019 subawards:

1. Enhance Information Collection, Analysis, and Sharing, in Support of Public Safety Operations Across California;
2. Protect Critical Infrastructure and Key Resources From All Threats and Hazards;
3. Strengthen Security and Preparedness Across Cyberspace;
4. Strengthen Communications Capabilities Through Planning, Governance, Technology, and Equipment;
5. Enhance Community Preparedness;
6. Enhance Multi-Jurisdictional/Inter-Jurisdictional All-Hazards Incident Catastrophic Planning, Response, and Recovery Capabilities;
7. Improve Medical and Health Capabilities;
8. Enhance Incident Recovery Capabilities;
9. Strengthen Food and Agriculture Preparedness;

**California
Homeland
Security
Strategy
Goals (cont.)**

- 10. Prevent Violent Extremism Through Multi-Jurisdictional/Inter-Jurisdictional Collaboration and Coordination; and
- 11. Enhance Homeland Security Exercise, Evaluation, and Training Programs.

**State Initiative
Funding**

For FY 2019, Cal OES shall retain 20 percent of the SHSP and approximately 17 percent of the UASI funding for state initiatives.

“On Behalf Of”

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

**Regional
Approach**

Subrecipients must take a regional approach and consider the needs of local units of government and applicable volunteer organizations in the projects and activities included in their FY 2019 HSGP application.

**Public Alert
and Warning**

Cal OES encourages Subrecipients to consider use of this funding to assist their jurisdiction's alignment with the State of California Alert and Warning Guidelines developed pursuant to Senate Bill 833 of the 2018 Legislative Session.

**Financial
Management
Forms
Workbook**

The FY 2019 Cal OES FMFW includes:

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

Authorized Body of 5 – Provide the contact information of Authorized Agents (AA), delegated via the Governing Body Resolution or Signature Authorization Form, including staff related to grant activities. More than one person is recommended for designation as the AA; in the absence of an AA, an alternate AA can sign requests.

Project Ledger – The project ledger is used in the application process to submit funding information and is used for submitting cash requests, grant subaward modifications, and assists with completion of the Biannual Strategy Implementation Report (BSIR).

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

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

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

Training Ledger – Provides detailed information on grant-funded training activities. All training activities must receive Cal OES approval prior to starting the event, including a Training Feedback number. The [Training Request Form](#) must be submitted and approved to obtain a Training Feedback number.

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

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

Indirect Costs Ledger – Provides information on indirect costs.

Financial Management Forms Workbook (cont.)

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

Authorized Agent Page – The AA Page must be submitted with the application, all cash requests, and Grant Subaward Modifications. The AA Page must include the appropriate signature and date.

Subrecipient Grants Management Assessment

Per 2 C.F.R. § 200.331, Cal OES is required to evaluate the risk of noncompliance with federal statutes, regulations, and grant terms and conditions posed by each Subrecipient of pass-through funding. The [Subrecipient Grants Management Assessment 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.

Application Attachments

Federal Funding Accountability and Transparency Act (FFATA) Financial Disclosure – Use the [FFATA Financial Disclosure Form](#) to provide information required by the Federal Funding Accountability and Transparency Act of 2006.

Certification Regarding Lobbying – Use the [Certification Regarding Lobbying Form](#) to certify lobbying activities, as stipulated by the Byrd Anti-Lobbying Amendment, 31 U.S.C. § 1352.

Intelligence Analysts Certificates – Pursuant to the Preparedness Grants Manual, Cal OES must have certificates for completion of training for fusion center analytical personnel. Please provide copies of certificates for each intelligence analyst, if applicable.

UASI Footprint (UASIs Only) – The Urban Area Working Group establishes the 'footprint' of the Urban Area. A map or list defining the footprint must be included with the application

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

Standard Assurances

The Standard 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 2019 Standard Assurances](#) as part of their FY 2019 HSGP application. The required Standard Assurances can be found only in PDF format on the Cal OES website.

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

Operational Areas Only

Approval Authority Body – OAs 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)

Governing Body Resolution – The Governing Body Resolution (GBR) appoints AAs (identified by the individual's name or by a position title) to act on behalf of the governing body and the Applicant by executing any actions necessary for each application and subaward. All Applicants are required to submit a copy of their FY 2019 GBR with their application.

Authorized Agent Information – For each person or position appointed by the governing body, identify the individual in the Authorized Body of 5 ledger of the FMFW.

All changes in AA and contact information must be provided to Cal OES in writing. If the GBR identifies the AA by name, a new Resolution is needed when changes are made. If the GBR identifies the AA by position and/or title, changes may be made by submitting a request on the entity's letterhead, signed by an existing AA. Cal OES will not accept signatures of an AA's designee.

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, hospitals, public health, and emergency management) that comprise the defined UA. It also must be inclusive of local Citizen Corps Council and tribal representatives. 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 Preparedness Grants Manual.

THIRA – By December 31, 2019, FY 2019 Subrecipients are required to submit a THIRA for all 32 core capabilities. Beginning in 2019, UAs are required to submit a THIRA every three years. An annual capability assessment will still be required.

SPR – The SPR is an annual grant requirement for all states, territories, and UAs. It is an annual capability assessment, which helps jurisdictions identify capability gaps and prioritize investment requirements to reach the targets set in their THIRA.

Cybersecurity – Each UA must have an investment and a project in support of Cybersecurity efforts.

Fusion Centers Only

All projects included in the fusion center investment (IJ #1) must align to, and reference, specific performance areas of the assessment that the funding is intended to support.

Fusion Centers are also 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**

State Agencies, federally recognized tribes, and Indian organizations may submit the Signature Authorization Form in lieu of a Governing Body Resolution, signed by the most senior ranking official, such as the Secretary, Director, President, Chancellor, or Chairperson.

Application Submission

Subrecipients must submit an electronic copy of their completed FMFW to their Program Representative for review. After the application is approved, a completed hardcopy of the FMFW, along with all other application components must be mailed, with original signatures, by the application due date. During the application process, if it is determined all allocated funds cannot be expended by the end of the period of performance, inform your Program Representative as soon as possible. The completed application should be received by Cal OES by no later than December 6, 2019. The FY 2019 HSGP Timeline is referenced as Attachment B.

Late or Incomplete Application

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

HSGP Contact Information

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

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

Darlene Arambula	(916) 845-8427
Christopher Camacho	(916) 845-8789
Sally Hencken	(916) 845-8367
Antoinette Johnson	(916) 845-8260
Jim Lane	(916) 845-8428
Olivia Skierka	(916) 845-8744
Abigayle Tirapelle	(916) 845-8400

The [Program Representative Regional Assignments Map](#) is available at the Cal OES website under “Regional Assignments”.

**Subrecipient
Award
Approval**

Subrecipients will receive a formal notification of award no later than 45 days after Cal OES receives the federal grant award. The award letter must be signed, dated, and returned to Cal OES within 20 calendar days. Once the completed application, along with the signed award letter, is received and approved, reimbursement of eligible subaward expenditures may be requested using the Cal OES FMFW.

Payment Request Process

To request an advance or cash reimbursement of FY 2019 HSGP funds, Subrecipients must first complete a payment request using the Cal OES FMFW, returning it to the appropriate Program Representative. Subrecipients who fail to follow the workbook instructions may experience delays in processing the payment request.

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

Exercise costs will not be reimbursed until an After Action Report (AAR)/Improvement Plan (IP) has been submitted to your Program Representative.

Advances and Interest Earned on Advances

Advance payment means a payment 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. The timing and amount of advance payments must be as close as administratively feasible to the actual disbursements by the Subrecipient for project costs.

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.

Semi-Annual Drawdown Requirements

All Subrecipients should be reporting expenditures and requesting funds at least semi-annually throughout the period of performance. Semi-annual drawdowns should be occurring by March and October 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 calendar days after the end of the period of performance. Subrecipients not in compliance with this requirement will be required to submit all supporting documentation for subsequent cash requests.

Modifications

Post award budget, scope, and time modifications must be requested using the Cal OES FMFW V 1.19, signed by the Subrecipient's AA, and submitted to the Program Representative.

**Modifications
(cont.)**

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

Subrecipients must provide a written justification with all modification requests. The justification may be included in the body of the e-mail transmitting the request, or in a document attached to the transmittal e-mail. Please reference GMM 2018-17 for additional information regarding modification requests.

Training

All grant-funded 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 Program Representative and the Training Branch to identify a possible “placeholder” for these types of training activities. Subrecipients must complete a [Training Request Form](#) and submit it electronically to Cal OES.

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.

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

Subrecipients must report on all exercises conducted with HSGP grant funds. An AAR/IP or Summary Report (for Seminars and Workshops) must be completed and submitted to Cal OES within 90 days after 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.

Exercises, Improvement Plans, and After Action Reporting (cont.)

AAR/IPs and Summary Reports should be e-mailed to:

- hseep@fema.dhs.gov
- exercise@caloes.ca.gov
- chris.camacho@caloes.ca.gov

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

Procurement Standards and Written Procedures

Subrecipients must conduct procurement utilizing their own documented procurement standards and procedures, and have a written conflict of interest policy which reflect applicable federal, state, local, and tribal laws, provided that the procurement conforms to the requirements of 2 C.F.R. Part 200.

Procurement Thresholds

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

Noncompetitive Procurement

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

Note: 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 must be submitted; advance approval is required. Cal OES may request additional documentation that supports the procurement effort.

**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/FEMA 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 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 HSGP funds. Subrecipients must provide a copy of all performance bonds to their Program Representative no later than the time of reimbursement.

**Environmental
Planning and
Historic
Preservation**

DHS/FEMA is required to ensure all activities and programs that are funded by the agency comply with Federal Environmental Planning and Historic Preservation (EHP) regulations.

Subrecipients proposing projects or activities (including, but not limited to, training, exercises, the installation of equipment, and construction or renovation projects) which have the potential to impact the environment or a historic structure must participate in the EHP screening process. EHP Screening Memos must include detailed project information and explain the goals and objectives of the proposed project, and include supporting documentation.

DHS/FEMA may also require the Subrecipient provide a confidential California Historical Resources Information System (CHRIS) report in addition to the [EHP Screening Form](#). Determination on the necessity of a CHRIS report is based upon information disclosed on the EHP Screening Form. Your Program Representative will provide you with additional instructions should this report be required. EHP requests should be submitted to Cal OES as early as possible. All projects/activities triggering EHP must receive DHS/FEMA written approval prior to commencement of the funded activity.

Updated information may be referenced in the [FEMA GPD EHP Policy Guidance](#).

Construction and Renovation

Project construction using SHSP and UASI funds may not exceed the greater of \$1,000,000 or 15 percent of the grant subaward (For the purposes of limitations on funding levels, communications towers are not considered construction). When applying for construction activity at the time of application, including communication towers, 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 project costs. Communication tower construction requests also require evidence that the Federal Communications Commission's Section 106 review process was completed.

Subrecipients using funds for construction projects must comply with the Davis-Bacon Act. Subrecipients must ensure that their contractors or subcontractors for construction projects pay workers no less than the prevailing wages for laborers and mechanics employed on projects of a character like the contract work in the civil subdivision of the state in which the work is to be performed.

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

Inventory Control and Property Management

FY 2019 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/ID number, fund source, title information, acquisition date, cost, federal cost share, location, use, condition, and ultimate disposition;
- Conducting a physical inventory at least every two years;
- A control system to prevent loss, damage, and theft of grant purchased equipment and supplies; and
- Adequate maintenance procedures must be developed to keep the property in good condition.

Equipment Disposition

When original or replacement equipment acquired under the HSGP is no longer needed for program activities, the Subrecipient must contact the Program Representative to request disposition instructions. See 2 C.F.R. § 200.313(e)

Performance Reporting

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

Access to the BSIR may be obtained through the GRT. To create a new account, please click the link that reads, "Register for an account" and follow the instructions provided. The Subrecipient will be required to ensure up-to-date project information is entered. The Project Ledger in the FMFW may assist with the BSIR data entry process. For additional assistance with the GRT, please contact your Program Representative.

Extension Requests

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

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

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

Extension Requests (cont.)

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

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

1. Grant program, fiscal year, and award number;
2. Reason for delay;
3. Current status of the activity/activities;
4. Approved period of performance 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; and
9. Certification the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work.

General questions regarding extension requirements and the extension request form, should be directed to your Program Representative. For additional information, please see IB 379. Extension requests for personnel and salaries do not meet the requirements of IB 379 and will not be granted. Subrecipients are expected to complete all grant-funded personnel activity by the end of the subaward period of performance.

**Progress
Reports on
Grant
Extensions**

All Subrecipients that receive Cal OES approval to extend their FY 2019 grant subaward period of performance may be required to submit progress reports indicating completed and future project milestones on all extended projects. Progress reports must be submitted electronically to the Program Representative. Deadlines for the submission of progress reports will be established at the time of extension approval.

Monitoring

Cal OES Grants Monitoring actively monitors Subrecipients, through day-to-day communications, programmatic site visits, and desk and on-site compliance assessments. The purpose of the compliance assessment is to ensure Subrecipients are in compliance with applicable state and federal regulations, grant guidelines, and programmatic requirements. Monitoring activities may include, but are not limited to:

- Verifying that entries recorded on the FMFW categories are properly supported with source documentation;
- Eligibility of and support for expenditures, typically covering two to three years of data;
- Comparing actual Subrecipient activities to those approved in the grant application and subsequent modifications, including the review of timesheets and invoices as applicable;
- Procurements and contracts;
- Ensuring equipment lists are properly maintained and physical inventories are conducted;
- Ensuring advances have been disbursed in accordance with applicable guidelines; and
- Confirming compliance with:
 - Standard Assurances, and
 - Information provided on performance reports and payment requests

NOTE: It is the responsibility of all Subrecipients that pass down grant funds to other entities, to maintain and utilize a formal process to monitor the grant activities of their subawards. This requirement includes, but is not limited to, on-site verification of grant activities, as required. It is common for Subrecipients to receive findings in a programmatic site visit or compliance assessment, which require a Corrective Action Plan (CAP) to be submitted by Subrecipients. Those Subrecipients who fail to submit a CAP, as required, shall have a “hold” placed on any future reimbursements until the “finding” is resolved.

Failure to Submit Required Reports

Periodic reporting is required by the grant. Subrecipients who miss a single reporting deadline may receive a letter addressed to their Board of Supervisors informing them of the failure to report. County OAs and tribes who fail to report twice in a row may have subsequent awards reduced by 10 percent until timely reporting is reestablished; UASIs may have a “hold” placed on any future reimbursements.

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.
- False certification in the application or document.
- Failure to adequately manage, monitor, or direct the grant funding activities of their Subrecipients.
- Before taking action, Cal OES will provide the Subrecipient reasonable notice of intent to impose corrective measures and will make every effort to informally resolve the problem.

Closeout

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

**Closeout
(cont.)**

Subawards will be closed after:

- All funds have been requested and reimbursed, or disencumbered;
- Receiving all applicable Subrecipient reports indicating all approved work has been completed, and all funds have been distributed;
- Completing a review to confirm the accuracy of reported information;
- Reconciling actual costs to subawards, modifications, and payments; and
- Verifying the Subrecipient has submitted a final BSIR showing all grant funds have been expended.

**Records
Retention**

The records retention period is three years from the date of the Subrecipient's final BSIR submittal showing all grant funds have been expended, or until any pending litigation, claim, or audit started before the expiration of the three-year retention period has been resolved and final action is taken.

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 State Administrative Agency's 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.

If documents are retained longer than the required retention period, FEMA, the DHS Office of Inspector General, Government Accountability Office, and pass-through entity have the right to access these records as well. See 2 C.F.R. §§ 200.333, 200.336.

Attachment A – FY 2019 HSGP Allocations | **2019**

State Homeland Security Program (SHSP)					
Operational Area	Population	Base Amount	25% LE	SHSP	Total Award (25% LE + SHSP)
ALAMEDA	1,660,202	75,000	445,781	1,337,343	1,783,124
ALPINE	1,154	75,000	19,047	57,140	76,187
AMADOR	38,094	75,000	28,549	85,645	114,194
BUTTE	227,621	75,000	77,298	231,893	309,191
CALAVERAS	45,157	75,000	30,365	91,095	121,460
COLUSA	22,098	75,000	24,434	73,302	97,736
CONTRA COSTA	1,149,363	75,000	314,385	943,155	1,257,540
DEL NORTE	27,221	75,000	25,752	77,254	103,006
EL DORADO	188,399	75,000	67,209	201,628	268,837
FRESNO	1,007,229	75,000	277,826	833,477	1,111,303
GLENN	28,796	75,000	26,157	78,470	104,627
HUMBOLDT	136,002	75,000	53,732	161,196	214,928
IMPERIAL	190,624	75,000	67,782	203,344	271,126
INYO	18,577	75,000	23,529	70,585	94,114
KERN	905,801	75,000	251,737	755,210	1,006,947
KINGS	151,662	75,000	57,760	173,279	231,039
LAKE	65,081	75,000	35,490	106,470	141,960
LASSEN	30,911	75,000	26,701	80,102	106,803
LOS ANGELES	10,283,729	75,000	2,663,892	7,991,677	10,655,569
MADERA	158,894	75,000	59,620	178,860	238,480
MARIN	263,886	75,000	86,626	259,878	346,504
MARIPOSA	18,129	75,000	23,413	70,239	93,652
MENDOCINO	89,299	75,000	41,719	125,157	166,876
MERCED	279,977	75,000	90,765	272,294	363,059
MODOC	9,612	75,000	21,222	63,667	84,889
MONO	13,822	75,000	22,305	66,916	89,221
MONTEREY	443,281	75,000	132,769	398,308	531,077
NAPA	141,294	75,000	55,093	165,279	220,372
NEVADA	99,155	75,000	44,254	132,763	177,017
ORANGE	3,221,103	75,000	847,270	2,541,810	3,389,080
PLACER	389,532	75,000	118,944	356,832	475,776
PLUMAS	19,773	75,000	23,836	71,508	95,344
RIVERSIDE	2,415,955	75,000	640,173	1,920,519	2,560,692
SACRAMENTO	1,529,501	75,000	412,163	1,236,487	1,648,650
SAN BENITO	57,088	75,000	33,434	100,301	133,735
SAN BERNARDINO	2,174,938	75,000	578,180	1,734,538	2,312,718
SAN DIEGO	3,337,456	75,000	877,198	2,631,594	3,508,792

Attachment A – FY 2019 HSGP Allocations | **2019**

Operational Area	Population	Base Amount	25% LE	SHSP	Total Award (25% LE + SHSP)
SAN FRANCISCO	883,963	75,000	246,120	738,358	984,478
SAN JOAQUIN	758,744	75,000	213,912	641,734	855,646
SAN LUIS OBISPO	280,101	75,000	90,797	272,389	363,186
SAN MATEO	774,155	75,000	217,875	653,626	871,501
SANTA BARBARA	453,457	75,000	135,387	406,159	541,546
SANTA CLARA	1,956,598	75,000	522,019	1,566,056	2,088,075
SANTA CRUZ	276,864	75,000	89,964	269,892	359,856
SHASTA	178,271	75,000	64,604	193,812	258,416
SIERRA	3,207	75,000	19,575	58,725	78,300
SISKIYOU	44,612	75,000	30,225	90,675	120,900
SOLANO	439,793	75,000	131,872	395,615	527,487
SONOMA	503,332	75,000	148,215	444,646	592,861
STANISLAUS	555,624	75,000	161,666	484,996	646,662
SUTTER	97,238	75,000	43,761	131,284	175,045
TEHAMA	64,039	75,000	35,222	105,665	140,887
TRINITY	13,635	75,000	22,257	66,772	89,029
TULARE	475,834	75,000	141,142	423,427	564,569
TUOLUMNE	54,740	75,000	32,830	98,490	131,320
VENTURA	859,073	75,000	239,718	719,152	958,870
YOLO	221,270	75,000	75,664	226,993	302,657
YUBA	74,727	75,000	37,971	113,913	151,884
Total	39,809,693	4,350,000	11,327,206	33,981,594	45,308,800

Fusion Centers	
Region	Total Award
SAN FRANCISCO BAY AREA	1,000,000
SACRAMENTO/CENTRAL VALLEY AREA	1,000,000
GREATER LOS ANGELES AREA	1,000,000
SAN DIEGO AREA	1,000,000
ORANGE AREA	300,000
Total	4,300,000

Urban Areas Security Initiative (UASI)			
*A minimum of 25% of UASI funding must be for Law Enforcement Terrorism Prevention			
Urban Area	Federal Allocation to State	Allocation to UASI	State Initiatives
ANAHEIM/SANTA ANA AREA	5,000,000	4,135,000	865,000
BAY AREA	27,500,000	22,742,500	4,757,500
LOS ANGELES/LONG BEACH AREA	68,000,000	56,236,000	11,764,000
RIVERSIDE AREA	3,250,000	2,687,750	562,250
SACRAMENTO AREA	3,250,000	2,687,750	562,250
SAN DIEGO AREA	16,900,000	13,976,300	2,923,700
Total	123,900,000	102,465,300	21,434,700

Attachment B: FY 2019 HSGP Timeline | **2019**

DHS/FEMA Announcement of 2019 HSGP	April 12, 2019
Cal OES Application Due to DHS	May 29, 2019
DHS Award to California	August 9, 2019*
Subrecipient period of performance begins	September 1, 2019*
2019 HSGP California Supplement release	September 2019*
Subrecipient Workshops	September 2019*
Subrecipient Awards (45 days from DHS award)	September 27, 2019*
Subrecipient Final Applications Due to Cal OES	December 6, 2019*
Subrecipient period of performance ends	May 31, 2022*
Final Cash Requests due to Cal OES	Within twenty (20) calendar days after end of grant
Cal OES's period of performance ends	August 31, 2022*

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

Subrecipient: _____ FIPS#: _____

Program Representative: _____

Financial Management Forms Workbook:

- Grant Award Face Sheet
- Authorized Body of 5
- Project Ledger
- Planning Ledger
- Organization Ledger
- Equipment Ledger
- Training Ledger
- Exercise Ledger
- Consultant/Contractor Ledger
- Management & Administration Ledger
- Indirect Cost Ledger
- Authorized Agent Sheet

Attachments:

- Original Counter-Signed Award Letter
- Governing Body Resolution (Certified)
- Standard Assurances (Signed Originals)
- FFATA Certification
- Lobbying Certification
- Subrecipient Grant Management Assessment Form
- Indirect Cost Rate Negotiation Agreement
- Personnel Cap Waiver (If Applicable)
- Allowability Request (If Applicable)
- Intelligence Analyst(s) Certificates (If Applicable)

UASI Only:

- UASI Footprint

State Agencies and Tribes Only:

- Signature Authority Form (in lieu of Governing Body Resolution)

For Cal OES Use Only

Reviewed by: _____ Date: _____

Management Approval: _____ Date: _____