



***Cal* OES**

**GOVERNOR'S OFFICE
OF EMERGENCY SERVICES**

**Fiscal Year 2020
Emergency Management
Performance Grant Program COVID-19
Supplemental (EMPG-S)**

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

August 2020

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Federal Program Announcement

In April 2020, the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) issued the Fiscal Year (FY) 2020 Emergency Management Performance Grant Program COVID-19 Supplemental (EMPG-S) [Notice of Funding Opportunity](#) (NOFO). Subrecipients must follow the programmatic requirements set forth in the NOFO, and the applicable provisions of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards located in [Title 2, Code of Federal Regulations \(C.F.R.\) Part 200](#).

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 2020 EMPG-S California Supplement to the NOFO (State Supplement) is intended to complement, rather than replace, the NOFO published by DHS/FEMA. It is recommended that Applicants thoroughly read the NOFO before referring to the State Supplement. The State Supplement will emphasize differences between the EMPG and EMPG-S, and highlight additional California policies and requirements applicable to the FY 2020 EMPG-S.

Key Differences between EMPG and EMPG-S

The EMPG-S:

- Subaward period of performance will be 21 months; from January 27, 2020 to October 26, 2021.
- Will have an independent Financial Management Forms Workbook (FMFW).
- Exercise activities are not allowable under the EMPG-S.
- There are no Training or Exercise requirements for Program funded Personnel.
- Does not have Biannual Strategy Implementation Reporting requirements.
- Large equipment purchases must be identified and explained (see pg. 29 of the NOFO)
- Allowable Equipment:
 - Does not include AEL Categories 5, 11, or 12
 - Includes AEL Categories 8 and 9

Grant Management Memoranda	Cal OES issues Grant Management Memoranda (GMMs) which provide additional information and requirements regarding EMPG-S funds.
Eligible Subrecipients	Eligible Applicants, referred to as Subrecipients, include Counties/Operational Areas (OAs), and federally-recognized tribes located in California.
Tribal Allocations	<p>The NOFO strongly encourages Cal OES to provide access to EMPG-S 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.</p> <p>All Subrecipients are encouraged to coordinate with tribal governments to ensure that tribal needs are considered in their grant applications.</p>
Subrecipient Allocations	FY 2020 EMPG-S Subrecipient allocations are included in Attachment A.
NIMS Implementation	Prior to allocation of any federal preparedness awards in FY 2020, 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 any activity associated with this improper use of the federal grant funds.
Public/Private Organizations	Subrecipients may contract with any other public or private organizations to perform eligible activities on approved EMPG-S 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.

**Debarred/
Suspended
Parties Cont.**

Subrecipients must obtain documentation of eligibility prior to making any subaward or contract funded by EMPG-S 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 that 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 2020 Program Priorities

The priorities under this funding opportunity will address the State's response to the COVID-19 public health emergency. FEMA has identified the areas most needed to continue an effective response and meets the Coronavirus Aid, Relief, and Economic Security Act (CARES Act) EMPG-S requirement. EMPG-S funds should be prioritized as outlined below:

- Review, modify and/or execute logistics and enabling contracts to increase capability to stockpile and provide the necessary resources needed to stabilize lifelines (e.g. PPE, food, water, buildout of medical facilities, etc.).
- Modify evacuation plans to account for limited travel options and increased time needed for health care facilities in a COVID-10 environment.
- Identify mass care and shelter options that meet CDC guidance and mitigate risks to your communities and most vulnerable citizens.
- Emphasize collection, analysis, and sharing of data to strengthen decision support capabilities.

In general, as outlined in the NOFO, EMPG-S funding should be used to develop or enhance existing capabilities for:

1. Mitigation activities (related to slowing the spread of COVID-19);
2. Integration of emergency management and public health operations;
3. Collection and display of public, private, and governmental data of hospital bed and ventilator capacity and usage;
4. Collection and display of Personal Protective Equipment (PPE) inventories and establishment of [burn rates](#) to forecast future needs;
5. Planning for alternate care sites; and
6. Identifying all sources to surge medical professionals.

EMPG-S funding also can be used to assist emergency managers with implementing community lifelines to prevent, prepare for, and respond to the COVID-19 public health

FY 2020 Program Priorities Cont.

emergency. The lifeline concept simplifies incident information to provide decision makers with clearly identified impacts to critical community services and root causes that inform response and recovery actions. The [Community Lifelines Implementation Toolkit](#) provides whole community partners the information and resources to understand lifelines and to coordinate with entities using lifelines. The toolkit serves as basic guidance for how to implement the lifeline construct during incident response.

Examples of areas eligible for funding under this funding opportunity include, but are not limited to:

1. Data Collection and Analysis
2. Plan Development
3. Logistics and Supply Chain Management
4. Development of Distribution Management Plans
5. Jurisdictional Recovery
6. Information Sharing
7. Emergency Public Information and Warning, and Risk Communication

DHS/FEMA does not prescribe a minimum funding amount for these priorities. However, Subrecipients are required to support local, regional, state, and national efforts in achieving the desired outcomes of these priorities. Consistent with 2 C.F.R. Part 200, none of the funds awarded under EMPG-S may duplicate the same costs already paid for with funding from FEMA's Public Assistance Program or any other Federal program.

Match Requirement

The FY 2020 EMPG-S requires a dollar-for-dollar match. This can be cash or third party in-kind contributions. Refer to 2 C.F.R. § 200.29 and § 200.306 for specific details. Utilizing the FMFW Match Tab, Subrecipients will indicate the appropriate Solution Area and Solution Area Subcategory that accurately represent the specific activity(s) and cost(s) used to meet the match requirement under the FY 2020 EMPG-S subaward. Contributions from the Subrecipient should be specifically identified in the match description located on the FMFW Match Tab. The non-federal match contributions have the same eligibility requirements as the federal share.

Match Requirement Cont.

Cal OES will fulfill the match requirement for counties with a population less than 500,000.

Management and Administration

The Management and Administration (M&A) allowance for Subrecipients is set at a maximum of 5 percent for the FY 2020 EMPG-S.

Indirect Costs

Indirect costs are allowable under the FY 2020 EMPG-S Award. Subrecipients who claim indirect costs may do so provided that 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 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 Tab 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 Modified Total Direct Costs.

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

Indirect Costs Cont.

submitted to Cal OES, along with a copy of the new Indirect Cost Rate Agreement.

Equipment Typing/ Identification and Use

Allowable EMPG-S equipment is listed on the [FEMA Authorized Equipment List](#) (AEL) website, and includes equipment from the following AEL Sections:

- PPE (Section 1)
- Information Technology (Section 4)
- Interoperable Communication Equipment (Section 6)
- Detection Equipment (Section 7)
- Decontamination Equipment (Section 8)
- Medical Equipment (Section 9)
- Power Equipment (Section 10)
- Physical Security Enhancement Equipment (Section 14)
- Chemical, Biological, Radiological, Nuclear, and Explosive Logistical Support Equipment (Section 19)
- Other Authorized Equipment (Section 21)

General Purpose Vehicles: In addition to the above, general purpose vehicles may be procured in order to carry out the responsibilities of the EMPG-S. If Subrecipients have questions concerning the eligibility of equipment not specifically addressed in the AEL, they should contact their EMPG-S Program Representative for clarification.

Subrecipients should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Large equipment purchases must be identified and explained. For more information regarding property management standards for equipment, refer to 2 C.F.R. including 2 C.F.R. § 200.310, § 200.313, and § 200.316.

Subrecipients that allocate FY 2020 EMPG-S 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 EMPG-S funds. Special rules apply to critical emergency supplies; refer to page 30 of the EMPG-S NOFO for additional information.

Equipment Maintenance and Sustainment

Use of EMPG-S 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 Policy [FP 205-402-125-1](#).

Whole Community Preparedness

Subrecipients should engage with the whole community to advance individual and community preparedness and to work as a nation to build and sustain resilience. In doing so, Subrecipients are encouraged to consider the needs of individuals with disabilities and limited English proficiency in the activities and projects funded by the grant.

Subrecipients should utilize [established best practices for whole community inclusion](#) and engage with stakeholders to advance individual and jurisdictional preparedness and resilience. In doing so, Subrecipients are encouraged to consider the necessities of all Californians in the activities and projects funded by the grant including individuals with access or functional needs, defined as:

Individuals with:

- Physical, developmental or intellectual disabilities
- Chronic conditions or injuries
- Limited English proficiency

Or, individuals who are:

- Older adults
- Children
- Low income
- Homeless
- Transportation disadvantaged
- Pregnant

Conflict of Interest

To eliminate and reduce the impact of conflicts of interest in the subaward process, Subrecipients and pass-through entities must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making subawards. Subrecipients and pass-through entities 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 EMPG-S subaward within five days of learning of the conflict of interest.

**“On Behalf
Of”**

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

**Regional
Approach**

Subrecipients must take a regional approach and consider the needs of local units of government in the projects and activities included in their FY 2020 EMPG-S application.

Financial Management Forms Workbook

The FY 2020 EMPG-S 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 Agent Contact Information – Provide the contact information of Authorized Agents (AA), delegated via the Governing Body Resolution (GBR) 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 documents.

Project Ledger – The Project Ledger is used in the application process to submit funding information and is used for submitting Reimbursement Requests and Grant Subaward Modifications.

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

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

Equipment Tab – It is an EMPG-S requirement that detailed information be provided under the equipment description for all grant-funded equipment. AEL numbers must be included for all items of equipment.

Training Tab – 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](#) may be obtained on the Cal OES website.

M&A Tab – Provides information on grant-funded M&A (Management and Administrative) activities.

Indirect Cost Tab – Provides information in Indirect Costs.

Consultant-Contractor Tab - Provides detailed information on grant-funded Consultants or Contractors, and documents maintenance and sustainment contracts and activities on grant eligible items/equipment.

Financial Management Forms Workbook Cont.

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

Match Tab – Provides detailed information on required Match activities.

Authorized Agent Page – The Authorized Agent (AA) Page must be submitted with the application, all Reimbursement Requests, and Grant Subaward Modifications. The AA must include the appropriate title, 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](#) contains questions related to a Subrecipient 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 the Subrecipient's grant application.

Application Attachments

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

FFATA Financial Disclosure – Use the [FFATA Financial Disclosure](#) 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.

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 2020 Standard Assurances](#) as part of their FY 2020 EMPG-S 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.

**Governing
Body
Resolution**

The 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 2020 GBR with their application.

**Authorized
Agent
Information**

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

All changes in AAs 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.

Application Submission

Subrecipients must submit an electronic copy of their completed FMFW to their Program Representative for review prior to submitting a signed hard copy. The electronic copy of the FMFW should be submitted for Cal OES review by no later than fourteen (14) calendar days before the final Application due date. Submission of the hard copy original is only to occur after their Cal OES EMPG-S Program Representative's review has concluded and the Subrecipient is directed by their Program Representative to submit the signed hard copy.

After the application is approved, a completed hard copy of the FMFW, along with all other application components must be received by Cal OES by no later than **September 8, 2020**. During the application process, if it is determined that all allocated funds cannot be expended by the end of the period of performance, inform the appropriate Subrecipient Program Representative as soon as possible. The FY 2020 EMPG-S Timeline is referenced as Attachment B.

Late or Incomplete Applications

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.

EMPG-S Contact Information

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

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

Ronak Patel - Region III	(916) 845-8124
Bryan Reich - Region I & VI	(916) 845-8794
Lauren Swearengin - Region IV & V	(916) 845-8950
Yer Yang - Region II	(916) 845-8468

**Subaward
Approval**

Subrecipients will receive a formal notification of award. Subrecipient Subaward letters must be signed and the original be 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

EMPG-S is a reimbursement grant. To request a reimbursement of FY 2020 EMPG-S 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.

Modifications

Post award budget, scope, and time modifications must be requested using the Cal OES EMPG-S FMFW V 1.20 signed by the Subrecipient's AA, and submitted to the Program Representative.

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

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 a document attached to the transmittal e-mail. Refer to GMM 2018-17 for additional information regarding modification requests.

Training Requirements

Training activities supported with EMPG-S Program funds must support training activities to enhance the capabilities of state and local emergency management personnel assigned to support the COVID-19 public health emergency. Training should align to National Priority Goal core capabilities identified in each Subrecipient's Training Plan. Subrecipients must obtain a Training Feedback Number from Cal OES before beginning any training activities. This includes project components like travel to, materials for, or attendance in training courses. Training Feedback Numbers must be obtained no later than 30 days before the first day of the training or related activities.

Subrecipients must complete a [Training Request Form](#) and submit it electronically to Cal OES.

For more information on this or other training-related inquiries, contact the [Cal OES Training Branch](#) at (916) 845-8752.

Procurement Standards and Written Procedures

Subrecipients must conduct procurement utilizing either their own documented procurement standards and procedures, or the federal procurement standards found in 2 C.F.R. Part 200, whichever is more restrictive. Procurement standards must also contain a written conflict of interest policy which reflect applicable federal, state, local, and tribal laws.

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 the Subrecipient's 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.

If a Subrecipient is using Emergency Procurement, they must document and provide justification. Refer to [DHS/FEMA Memorandum and Fact Sheet for Procurement Under Grants Conducted Under Exigent or Emergency Circumstances](#) for additional information.

Environmental Planning and Historic Preservation

DHS/FEMA is required to ensure all activities and programs that are funded by the agency comply with federal Environmental Planning and Historic Preservation (EHP) regulations. Subrecipients proposing projects or activities (including, but not limited to, training, 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 review process. EHP Screening Memos must include detailed project information and explain the goals and objectives of the proposed project, and include supporting documentation.

DHS/FEMA may also require that the Subrecipient provide a confidential California Historical Resources Information System

**Environmental
Planning and
Historic
Preservation
Cont.**

(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. Program Representatives will provide additional instructions should this report be required. EHP requests should be submitted to Cal OES as early as possible. All projects/activities triggering an EHP screening must receive DHS/FEMA written approval prior to commencement of the grant-funded activity.

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

**Construction
and
Renovation**

When applying for construction funds, including communication 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. Communication tower construction requests also require evidence that the Federal Communications Commission's Section 106 review process has been 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 EMPG-S funds for construction or renovation.

**Inventory
Control and
Property
Management**

FY 2020 EMPG-S 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.

Inventory Control and Property Management Cont.

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 EMPG-S is no longer needed for program activities, the Subrecipient must contact the Program Representative to request disposition instructions.

Performance Reporting

Subrecipients must prepare and submit Performance Reports to the State 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. The quarterly reports must include the progress made on identified activities, as well as other required information. Failure to submit a quarterly Performance Report could result in subaward reduction, suspension, or termination.

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

Extension Requests

Extensions to the initial period of performance identified in the subaward will only be considered through formal, written requests to the Subrecipient's Program Representative.

**Extension
Requests
Cont.**

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 that the Subrecipient has demonstrated sufficient progress in past situations where an extension was authorized by Cal OES.

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

1. Contractual commitments with vendors that prevent completion of the project within the 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 to completion; and

Extension Requests Cont.

9. Certification that 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 the Subrecipient's Program Representative. Extensions are typically granted for no more than a three-month period. For additional information, 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 2020 EMPG-S grant subaward period of performance may be required to submit progress reports indicating completed and future project milestones on all extended projects. Performance reports must be submitted electronically to the Program Representative. Due dates 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;

Monitoring Cont.

- Confirming compliance with:
 - Standard Assurances, and
 - Information provided on performance reports and reimbursement 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 due date may receive a letter addressed to their Board of Supervisors informing them of the failure to report. County OAs and tribes who fail to report twice in a row may have subsequent awards reduced by 10% until timely reporting is reestablished.

Suspension/ Termination

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

- Failure to submit required reports.
- Failure to expend funds in a timely manner consistent with the grant milestones, guidance, and assurances.
- Failure to comply with the requirements or statutory progress toward the goals or objectives of federal or state law.
- Failure to make satisfactory progress toward the goals or objectives set forth in the Subrecipient application.
- Failure to follow Grant 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 other document.
- Failure to adequately manage, monitor, or direct the grant funding activities of their Subrecipients.

**Suspension/
Termination
Cont.**

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(s).

Closeout

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

- Receiving any applicable Subrecipient Performance Report indicating all approved work has been completed, and all funds have been distributed;
- All funds have been requested and reimbursed, or disencumbered;
- Completing a review to confirm the accuracy of reported information; and
- Reconciling actual costs to subawards, modifications and payments.

**Records
Retention**

The records retention period is three years from the date of the Cal OES Grant Closeout letter, 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.

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 Title 2, C.F.R. § 200.333 and § 200.336.

Attachment A – FY 2020 EMPG-S Allocations | **2020**

Operational Area	Population	Base Amount	Per Capita Total	Total Award
ALAMEDA	1,669,301	75,000	127,408	202,408
ALPINE*	1,162	75,000	89	75,089
AMADOR*	38,294	75,000	2,923	77,923
BUTTE*	226,466	75,000	17,284	92,284
CALAVERAS*	45,117	75,000	3,444	78,444
COLUSA*	22,117	75,000	1,688	76,688
CONTRA COSTA	1,155,879	75,000	88,222	163,222
DEL NORTE*	27,401	75,000	2,091	77,091
EL DORADO*	191,848	75,000	14,643	89,643
FRESNO	1,018,241	75,000	77,716	152,716
GLENN*	29,132	75,000	2,224	77,224
HUMBOLDT*	135,333	75,000	10,329	85,329
IMPERIAL*	190,266	75,000	14,522	89,522
INYO*	18,593	75,000	1,419	76,419
KERN	916,464	75,000	69,948	144,948
KINGS*	153,710	75,000	11,732	86,732
LAKE*	65,071	75,000	4,967	79,967
LASSEN*	30,150	75,000	2,301	77,301
LOS ANGELES	10,253,716	75,000	782,607	857,607
MADERA*	159,536	75,000	12,176	87,176
MARIN*	262,879	75,000	20,065	95,065
MARIPOSA*	18,068	75,000	1,379	76,379
MENDOCINO*	89,009	75,000	6,793	81,793
MERCED*	282,928	75,000	21,594	96,594
MODOC*	9,602	75,000	733	75,733
MONO*	13,616	75,000	1,039	76,039
MONTEREY*	445,414	75,000	33,996	108,996
NAPA*	140,779	75,000	10,745	85,745
NEVADA*	98,904	75,000	7,549	82,549
ORANGE	3,222,498	75,000	245,955	320,955
PLACER*	396,691	75,000	30,277	105,277
PLUMAS*	19,779	75,000	1,510	76,510
RIVERSIDE	2,440,124	75,000	186,240	261,240
SACRAMENTO	1,546,174	75,000	118,011	193,011
SAN BENITO*	62,296	75,000	4,754	79,754
SAN BERNARDINO	2,192,203	75,000	167,319	242,319
SAN DIEGO	3,351,786	75,000	255,822	330,822
SAN FRANCISCO	883,869	75,000	67,461	142,461
SAN JOAQUIN	770,385	75,000	58,799	133,799

Attachment A – FY 2020 EMPG-S Allocations | 2020

Operational Area	Population	Base Amount	Per Capita Total	Total Award
SAN LUIS OBISPO*	280,393	75,000	21,401	96,401
SAN MATEO	774,485	75,000	59,112	134,112
SANTA BARBARA*	454,593	75,000	34,696	109,696
SANTA CLARA	1,954,286	75,000	149,160	224,160
SANTA CRUZ*	274,871	75,000	20,979	95,979
SHASTA*	178,773	75,000	13,645	88,645
SIERRA*	3,213	75,000	245	75,245
SISKIYOU*	44,584	75,000	3,403	78,403
SOLANO*	441,307	75,000	33,682	108,682
SONOMA	500,675	75,000	38,214	113,214
STANISLAUS	558,972	75,000	42,663	117,663
SUTTER*	97,490	75,000	7,441	82,441
TEHAMA*	64,387	75,000	4,914	79,914
TRINITY*	13,688	75,000	1,045	76,045
TULARE*	479,112	75,000	36,568	111,568
TUOLUMNE*	54,590	75,000	4,166	79,166
VENTURA	856,598	75,000	65,379	140,379
YOLO*	222,581	75,000	16,989	91,989
YUBA*	77,916	75,000	5,947	80,947
TRIBAL NATIONS*	362,801	75,000	27,690	102,690
TOTAL	40,290,116	4,425,000	3,075,113	7,500,113

* Cal OES will fulfill the match requirement for counties with a population less than 500,000.

Attachment B – FY 2020 EMPG-S Timeline | 2020

DHS Announcement of FY 2020 EMPG-S NOFO	April 2020
Subrecipient period of performance begins	January 27, 2020
Cal OES Application due to DHS	April 28, 2020
DHS/FEMA Award to California	April 29, 2020
FY 2020 EMPG-S California Supplement release	August 2020
Notification of Subrecipient Award	June 2020
Submission of the FY 2020 EMPG-S Performance Report for the period of 1/27/2020 – 6/30/2020	July 15, 2020*
Subrecipient Final Applications due to Cal OES	September 8, 2020
Submission of the FY 2020 EMPG-S Performance Report for the period of 1/27/2020 – 9/30/2020	October 16, 2020
Submission of the FY 2020 EMPG-S Performance Report for the period of 1/27/2020 – 12/31/2020	January 15, 2021
All FY 2020 EMPG-S EHP-related documents must be received by Program Representative	March 31, 2021
Submission of the FY 2020 EMPG-S Performance Report for the period of 1/27/2020 – 3/31/2021	April 16, 2021
Submission of the FY 2020 EMPG-S Performance Report for the period of 1/27/2020 – 6/30/2021	July 16, 2021
Submission of the FY 2020 EMPG-S Performance Report for the period of 1/27/2020 – 9/30/2021	October 15, 2021
Subrecipient period of performance ends	October 26, 2021
Submission of the FY 2020 EMPG-S Performance Report for the period of 1/27/2020 – 10/26/2021	November 15, 2021
Final Request for Reimbursement due	Within 20 calendar days of the subaward expiration date
Cal OES's period of performance ends	January 26, 2022

* Dates are approximate and based on anticipated date of State Supplement release.

Attachment C – FY 2020 EMPG-S Program Checklist | 2020

Subrecipient: _____ **FIPS#:** _____

Program Representative: _____

Financial Management Forms Workbook:

- _____ Grant Subaward Face Sheet
- _____ Authorized Agent and Contact
- _____ Project Ledger Tab
- _____ Planning Tab
- _____ Organization Tab
- _____ Equipment Tab
- _____ Training Tab
- _____ Management and Administration Tab
- _____ Indirect Cost Tab
- _____ Consultant-Contractor Tab
- _____ Personnel Tab
- _____ Match Tab
- _____ Indirect Cost Rate Summary (If Applicable)
- _____ Authorized Agent Sheet

Required Documents:

- _____ Original Counter-signed Award Letter
- _____ EHP Screening Form (If Applicable)
- _____ FFATA Financial Disclosure
- _____ Certification Regarding Lobbying
- _____ Governing Body Resolution
- _____ Subrecipient Grants Management Assessment form
- _____ 2020 EMPG-S Standard Assurances
- _____ Indirect Cost Rate Agreement (If Applicable)