ROLES AND RESPONSIBILITIES: CWMP, CAL OES, CAL FIRE & SUBRECIPIENT

This section delineates the roles and responsibilities for Subrecipients participating in the program, Cal OES, CAL FIRE, and the CWMP.

California Wildfire Mitigation Program Authority

The California Wildfire Mitigation Program (CWMP) Authority was created through legislation, AB 38, to encourage cost-effective structure hardening and retrofitting in combination with vegetation management to create and maintain defensible space to produce fire-resistant communities. The CWMP is a Joint Powers Agreement between Cal OES and CAL FIRE to support local communities as they work to protect themselves from the threat of wildfires.

State Funding

The CWMP may leverage state appropriated funds to meet the Non-Federal Cost Share (match) requirement for projects funded through the Federal Emergency Management Agency (FEMA) Hazard Mitigation Assistance (HMA) grant programs. The CWMP has developed eligibility criteria that allows for property owners to receive state financial assistance to meet the match requirement for federal grants. The CWMP has developed criteria that prioritizes working with communities based on factors that includes wildfire risk and socioeconomic characteristics. The CWMP will work with interested communities to determine eligibility for the financial assistance using State CWMP funding as required match for federal grants. The CWMP, in conjunction with Cal OES, administers the State and federal funding.

Program Implementation Training and Support

The CWMP will work closely to support each Subapplicant and Subrecipient to develop a strong and successful program. This collaboration will take place through Cal OES's HMA portal and the CWMP's Engage portal. The entity seeking to administer the program at the local community level will use the Cal OES HMA Engage portal to apply for and administer the FEMA HMA grant subaward. If selected and approved for funding the local community Subrecipient will have access to use the CWMP Engage Portal to receive homeowner applications and track the progress of each property.

the CWMP seeks to develop robust relationships and open communication channels with the Subrecipient to help troubleshoot and monitor implementation issues as they arise. To this end, Subrecipients are encouraged

to maintain a robust issue log to document challenges, questions, and solutions related to implementation.

Cal OES

Federal Funding

The Cal OES Hazard Mitigation Section administers federal grant funding and will provide support to eligible Subapplicants (cities, counties, special districts, and private nonprofits) seeking to apply for FEMA HMA grant funding. The FEMA HMA programs include the Hazard Mitigation Grant Program (HMGP) and the Building Resilient Infrastructure and Communities (BRIC) program. Cal OES will designate a Hazard Mitigation Grant Specialist for each Subrecipient participating in the program. The Grant Specialist will provide guidance and will support the Subrecipient with troubleshooting issues that arise related to project implementation and compliance with Federal grant requirements in accordance with the applicable Hazard Mitigation Assistance Program and Policy Guide and associated policies, rules, regulations, and laws.

Subrecipients can contact their Cal OES Grant Specialist for guidance on HMA grant compliance issues or contact the CWMP analyst to seek guidance on programmatic issues. Cal OES, CWMP, and the Subrecipient will hold virtual meetings to discuss issues and troubleshoot implementation concerns

CAL FIRE

CAL FIRE, in coordination with CWMP, will provide training to Subrecipients to conduct Home Assessments using the Home Assessment mobile application. CAL FIRE, in consultation with external stakeholders, also develops program mitigation standards and provides recommendations for site work.

Subapplicant / Subrecipient

The local community entity contacts Cal OES Hazard Mitigation to express interest in the program and learn about available funding opportunities. The city, county, or special district must have a FEMA-approved Local Hazard Mitigation Plan (LHMP) to be an eligible sub-applicant for FEMA HMA grant programs. Some private nonprofit organizations may be eligible without the LHMP requirement. The eligible community entity may apply for grant funding from the FEMA Hazard Mitigation Assistance (HMA) programs, with potential to combine State funding from the California Wildfire Mitigation Program (CWMP). The local Subapplicant/Subrecipient community will have access to tools and resources to implement the program, including a Home Assessment Mobile

Application and the CWMP Engage Portal to facilitate the Homeowner Application process from eligibility review through contractor selection, construction, and closeout.

Local Implementation Planning Tool
The Local Implementation Planning Tool provides answers to key questions and recommends sequential actions Subrecipients should consider during program development and implementation.

Procurement of Contractors
The procurement of local contractors shall be the responsibility of the Subrecipient. All contract/procurement transactions must be carried out in a manner consistent with financial administrative requirements found in Title 2 of the Code of Federal Regulations (2 CFR) Part 200, Sections 200.317-200.327.

Subrecipients must follow the most stringent procurement requirements between their own Local requirements, and State, and Federal regulations.

Cal OES and CAL FIRE shall have no interaction with the contractors engaged by the Subrecipient.

The Subrecipient should follow their established protocols for managing interactions with contractors (such as processes in place to issue Notices to Proceed, filing grievances for poor or incomplete work, etc.).

See the Contractor Procurement and Minimum Qualifications section of this framework for recommendations on developing a prequalified vendor list and obtaining quotes from contractors.

      i. Procurement Requirements - Helpful Links:
1. 2 CFR 200 - https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl
2. Common Procurement Mistakes - https://www.fema.gov/sites/default/files/2020-07/fema_pdat-key-points-to-avoid-top10-mistaskes.pdf
3. Contract Support for the Development of Hazard Mitigation Assistance Applications - https://www.fema.gov/sites/default/files/2020-09/fema_using_contract_support_development_hazard_mitigation_assistance_grant_applications_07-16-15.pdf Using Contract Support for the Development of Hazard

4. The names and addresses of all entities suspended or debarred are entered in the System for Award Management (SAM: https://sam.gov/

5. The status of a contractor's license with the State of California may be checked with the Department of Consumer Affairs: https://www2.cslb.ca.gov/OnlineServices/CheckLicensell/CheckLicense.aspx

Procedure for Environmental and Historic Preservation (EHP) Clearance

Subrecipients that are leveraging FEMA HMA funding will be required to comply with all local, state, and federal environmental policies, rules, regulations, and laws. All properties must be reviewed and approved prior to any physical work commencing. Subrecipients will be required to have on staff or contracted subject matter experts in biology, botany, and architectural archeology, to conduct reviews of proposed treatment areas and identify issues or concerns. Cal OES has developed a process with our federal and state partners to streamline the environmental and historic preservation (EHP) review process for users of this Framework.

Home Assessment Mobile Application

The Subrecipient will conduct property assessments to determine appropriate mitigation measures. The CWMP has developed the Home Assessment Mobile Application tool for use by trained home assessors to identify Wildfire Community Hardening treatment measures to help make a property less susceptible to wildfire damage. CAL FIRE will provide training to use the mobile app, and how to interpret the site-specific report provided by the tool to guide the development of a site- specific scope of work.

Homeowner Engagement – Community Outreach Toolkit

Dissemination for all outreach materials and communication with participating homeowners or property owners is the responsibility of the local jurisdiction. Cal OES should not engage directly with participating homeowners.

The Outreach Toolkit, Appendix 8, is a suite of homeowner engagement materials (in English and Spanish) to support Subrecipients. The Outreach Toolkit includes:

- Program flyers to solicit initial interest in the community.
- Language and talking points for press releases in local newspapers.
- Sample social media posts (Facebook, Twitter).
- A Homeowner Participation Guide.

Subrecipients may modify the branding of these materials as needed. Any programmatic policy changes to these materials should be approved by Cal OES. Cal OES will consult with CAL FIRE, FEMA, or other resources, as applicable.

Homeowner Engagement – Subrecipient Website and CWMP Portal

Cal OES has created a web-based tool at www.wildfiremitigation@.caloes.ca.gov for Subrecipients to receive, track and manage homeowner applications and site work. Portal access and training will be provided to Subrecipients. Homeowners can submit new applications and have access to drafted or submitted applications via the CWMP Application Portal Homeowner Page.

It is the responsibility of the Subrecipients to have a stand-alone website or a portion of the Subrecipient's website dedicated to the local program. Cal OES and CAL FIRE provide content for the website including:

- The URL for web-based Engage CWMP Application Portal, through which all homeowner applications are entered. Paper applications must be made available as an alternative. Homeowners choosing to complete a paper application will share the completed application with the Subrecipient who will enter the information via the web-based portal.
- Homeowner Participation Guide (found in the CWMP Framework Appendix A8- Outreach Toolkit)
- Web content to promote the program.
- Links to program resources
- Cal OES and CAL FIRE logos

Customer Service Best Practices

Subrecipients should make a customer service plan that addresses the following components:

- Method for ensuring homeowners understand how they can provide feedback.
- Method for collecting and logging feedback and other communication from homeowners.
- How homeowner issues will be elevated and addressed.
- Timeframe for responding to homeowner inquiries.
- Homeowner exit interview process to collect aspects that worked well and things that could be improved.

Document Retention

Document must be retained for a period of 3-years following the closeout of the overall grant award by Cal OES. Note: the close out of the overall grant award may be after the closeout of your subaward.

Subrecipients should upload all site or property specific documentation (such as receipts/invoices, proof of payment/cancelled checks, site SOWs, contracts, work orders, etc.) to the associated record in the Engage CWMP Portal.

For documentation that is not site or property specific, such as contractor RFQs, and supporting documentation for project management costs and grant management costs, the Subrecipient shall retain these documents in their local system (outside of CWMP Engage).

Subrecipients should reference 2 CFR 200.334 for a full list of retention requirements for records.

Financial Responsibilities

The FEMA Hazard Mitigation Assistance (HMA) programs are generally structured such that FEMA will pay for 75% of the eligible project cost, with Subrecipients or homeowners providing the remaining Non-Federal Cost Share (Match) up to 25%. Some FEMA grants have a 90% Federal Cost Share and 10% Non-Federal Cost Share.

The CWMP Authority, with State of California funding may pay the Non-Federal Cost Share (Match) up to 25% of the property site cost on the Subrecipient's behalf for homeowners that meet the Low to Moderate Income (LMI) income threshold requirements as outlined in the Cost Scale by Income Bracket section of this document.

Accounting records

The Subrecipient's financial management systems, including records documenting compliance with Federal statutes, regulations, and the terms and conditions of the Federal award, must be sufficient to permit the preparation of reports required by general and program-specific terms and conditions; and the tracing of funds to a level of expenditures adequate to establish that such funds have been used according to the Federal statutes, regulations, and the terms and conditions of the Federal award (2 Code of Federal Regulations § 200.302).

All property specific (site specific) expenses should be recorded and maintained in the Engage CWMP Portal. The Subrecipient should also maintain an independent ledger and files with supporting documentation to track and justify costs incurred and payments made during the life of the program.

Quarterly Reporting, Cost Reimbursement and Grant Closeout

In accordance with 44 Code of Federal Regulations (CFR) § 206.438(c), 2 CFR § 200.328, 2 CFR § 200.329, Subrecipients are required to submit quarterly progress reports, based on the following schedule:

Reporting Period:	January 1 - March 31	Report due by April 15
Reporting Period:	April 1 - June 30	Report due by July 15
Reporting Period:	July 1 - September 30	Report due by October 15
Reporting Period	October 1 - December 31	Report due by January 15

The Cal OES Grant Specialist will provide the Quarterly Report form. Cal OES Hazard Mitigation will review the reports and forward to the FEMA Regional Administrator. Cal OES may suspend reimbursements to Subrecipients who are not current in the submission of quarterly progress reports. Reimbursement requests received for suspended grant subawards will be returned to the Subrecipient. Completed Quarterly Progress Reports should be emailed to the Cal OES Grant Specialist.

Cost Reimbursement

Once the Federal Emergency Management Agency (FEMA) approves an eligible activity, and obligates funding and the Subrecipient has completed and returned the required obligation documents, Cal OES can process reimbursement requests Reimbursements are disbursed for activities that are consistent with the approved scope of work based on the applicable cost share for the properties completed. Expenditures are reimbursed at a rate between

75% and 100% of eligible costs, depending upon the income of the applicable households. FEMA funding makes up 75% to 90% of the payments (i.e., the Federal Cost Share). The Non-Federal Cost Share of 10% to 25% will be met by the State CWMP funding (for households meeting the Low to Moderate Income (LMI) threshold) or by the homeowner (for households with incomes greater the LMI threshold). See the Cost Scale section of this document for additional information on cost shares.

Cal OES holds a retention of 10% from each reimbursement request. The retention amount will be released to the Subrecipient upon completion of the closeout process.

Reimbursement Process

The Subrecipient will pay the contractors directly and seek reimbursement from Cal OES. The reimbursement claims should be submitted quarterly at minimum. The reimbursement claim should only include costs in which the cancelled check/ETF has cleared the bank.
Cal OES and FEMA have the authority to request all documentation to support the claimed costs at any time during the subaward period of performance and up to the end of the document retention period. Supporting documentation includes, but is not limited to:

a. All procurement and executed contract documentation
b. Contractor invoices
c. Proof of payment
d. Internal staff/Force Account Labor (FEMA FAL summary, timesheets, activity logs, accounting ledgers, payroll records, fringe benefit information)

Closeout
Subrecipients must submit Closeout Packages to Cal OES a minimum of 30 days prior to the Period of Performance (POP) completion date of the subaward. All activity costs are subject to audit; therefore, retention of adequate documentation is required to verify the scope of work and the activity costs. All activity documentation must be retained by the Subrecipient for three years from the date of the audit waiver letter, which is Sent to the Subrecipient once FEMA approves the Final Closeout of all sites of the subaward and the overall Grant Award. The documentation required is dependent on the type of activity.

Once all sites are closed, the subaward closeout package must include at least the following:

- Final Claim form
- Accomplishments and results report
- Budget summary
- Inspection Report (projects only)
- Planned Maintenance Activities Statement
- Project Photographs/Materials (projects only)