Fiscal Year 2014
Tribal Equipment Assistance Program

California Supplement to the Homeland Security Grant Program Federal Funding Opportunity Announcement and Application Kit for Tribes

February 2015

STATE OF CALIFORNIA
Edmund G. Brown Jr, Governor

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES
Mark S. Ghilarducci, Director
Nancy Ward, Chief Deputy Director

GRANTS MANAGEMENT
Gina Buccieri-Harrington, Assistant Director

HOMELAND SECURITY AND PROP 1B DIVISION
Rose Nguyen, Acting Chief

HOMELAND SECURITY GRANTS UNIT
Ursula Harelson, Unit Supervisor
Darren Tsang, Unit Supervisor
Joseph Anderson, Program Representative
Darlene Arambula, EHP Coordinator
Cameron Bardwell, Program Representative
Bill Canepa, Program Representative
Justin Duke, Program Representative
Maybel Garing-Espilla, Program Representative
Rachel Magaña, Program Representative

GRANTS PROCESSING DIVISION
Rose Nguyen, Chief

HOMELAND SECURITY GRANTS PROCESSING UNIT
Huy Tram, Unit Supervisor
Edward Allen, Program Analyst
Dora Gomez, Program Analyst
Gina Avelar, Program Analyst

Program Background

In March 2014, the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) released the fiscal year 2014 (FY14) Homeland Security Grant Program (HSGP) Funding Opportunity Announcement (FOA) and Application Kit. In that document, DHS/FEMA strongly urges states to work with Tribal Nations to achieve homeland security goals and objectives. To that end, the California Governor's Office of Emergency Services (Cal OES) is announcing the application process for the FY14 Tribal Equipment Assistance (TEA) Program. The TEA Program is a continuing initiative under the FY14 HSGP intended to build on the prevention, protection, response, and recovery capabilities within California Tribal Nations.

Program Details

The FY14 TEA Program will provide a total of $200,000 for equipment to interested California Tribal Nations. Each applicant may request up to $50,000. Applications will be considered by Cal OES for eligibility based on the DHS/FEMA Authorized Equipment List (AEL) and the scoring criteria identified below. The 21 allowable equipment categories and up-to-date equipment standards for the HSGP are listed on the web-based version of the AEL on the Responder Knowledge Base (RKB), at http://www.fema.gov/media-library-data/20130726-1825-25045-7138/fema_preparedness_grants_authorized_equipment_list.pdf Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. In addition, California Tribal Nations will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment. HSGP funds used to purchase Interoperable Communications Equipment (Category 6) carry a requirement to consult SAFECOM's coordinated grant guidance, which can be found at http://www.safecomprogram.gov.

Federal Funding Opportunity Announcement

In March 2014, the DHS/FEMA issued the FY14 Homeland Security Grant Program, Funding Opportunity Announcement (FOA) available for download at: http://www.fema.gov/fy-2014-homeland-security-grant-program-hsgp.

Information Bulletins

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

Purpose of the California Supplement for Tribes

The 2014 California Supplement to the Federal Funding Opportunity Announcement and application kit for tribes is intended to complement, rather than replace, the Guidance published by DHS. The Supplement will emphasize the differences between the FY13 and FY14 Tribal Equipment Assistance (TEA) Program, and will include additional California policies and requirements applicable to the FY14 HSGP.

Grant Management Memoranda

Cal OES also issues Grant Management Memoranda (GMMs) that provide additional information regarding HSGP funds. GMMs can be located at: http://www.caloes.ca.gov/GrantsProcessing/Pages/Grant-Management-Memos.aspx.

NIMS Implementation

Prior to allocation of any federal preparedness awards in FY14, grantees must ensure and maintain adoption and implementation of the National Incident Management System (NIMS). Applicants must certify that they are NIMS compliant. Additional information can be found at http://www.fema.gov/pdf/emergency/nims/nims_alert_cred_guideline.pdf.

Supplanting

Grant funds must be used to supplement existing funds, not replace (supplant) funds that have been appropriated for the same purpose. Subgrantees will be required to supply documentation certifying that a reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds.

Public/Private Organizations

Subgrantees may contract with any other public or private organizations to perform eligible activities on approved projects.

Debarred/ Suspended Parties

Subgrantees must not make or permit any award (subgrant or contract) at any tier to any party that is debarred, suspended, or otherwise excluded from, or ineligible for, participation in federal assistance programs. Subgrantees must obtain documentation of eligibility prior to any sub-award of HSGP funds and be prepared to present supporting documentation to monitors/auditors.

Cal OES Contact Information

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

> California Governor's Office of Emergency Services
> ATTN: Grants Management, HSGU
> 3650 Schriever Ave.
> Mather, CA 95655

Homeland Security Grants Unit (HSGU): (916) 845-8186; Fax: (916) 636-3780.

Program Contact

Joseph Anderson at joseph.anderson@caloes.ca.gov or (916) 845-8426

FY14 Program Priorities

The purpose of the 2014 HSGP is to prevent terrorism and to prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United States; therefore, all HSGP-funded investments must have a terrorism nexus.

Subgrantees are expected to consider national areas for improvement identified in the 2013 National Preparedness Report, which include cybersecurity, recovery-focused core capabilities, the integration of individuals with access and functional needs, enhancing the resilience of infrastructure systems, and maturing the role of public-private partnerships.

Using the core capabilities, the FY14 HSGP Program supports the achievement of the goal by:

- Preventing a threatened or an actual act of terrorism;
- Protecting our citizens, residents, visitors, and assets against the greatest threats and hazards;
- Mitigating the loss of life and property by lessening the impact of future disasters;
- Responding quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident; and/or
- Recovering through a focus on the timely restoration, strengthening, and revitalization of infrastructure, housing, and a sustainable economy, as well as the health, social, cultural, historic, and environmental fabric of communities affected by a catastrophic incident.

25% Law Enforcement

As in past years, at least 25% of FY14 HSGP funds must be dedicated to Law Enforcement Terrorism Prevention-oriented 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.

Equipment Typing and Identification

Subgrantees that wish to purchase equipment with FY14 funds are required to type and identify the capability associated with that equipment. Also, per FEMA policy, the purchase of weapons and weapon accessories is not allowed with HSGP funds. Special rules apply to pharmaceutical purchases and medical counter measures.

Equipment Maintenance and Sustainment

The use of HSGP funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted. With the exception of maintenance plans purchased incidental to the original purchase of the equipment, the period covered by a maintenance agreement or warranty plan must not exceed the period of performance of the specific grant funds used to purchase the plan or warranty, and address the requirements identified in FEMA Information Bulletin (IB) 379.

Construction and Renovation

All funded construction projects must comply with the Davis-Bacon and related Acts, US Department of Labor rules and other requests for the purpose of Davis-Bacon compliance. Construction projects must be formally approved by FEMA.

**FY14 SHSP
Priorities**

While the State Homeland Security Strategy broadly describes goals, objectives, and implementation steps, the State's priorities for FY14 HSGP are:

1. Interoperable Communications
2. Catastrophic Planning
3. Citizen Preparedness and Participation
4. Medical Surge
5. Critical Infrastructure Protection
6. Mass Prophylaxis
7. Training for First Responders
8. Food and Agriculture Safety

**Strategy, Planning
and Metrics
Workshop**

Cal OES plans to conduct its annual Strategy, Planning and Metrics Workshop in the Spring of 2015 to receive statewide input across all disciplines.

**Federal Funding
Accountability and
Transparency Act
(FFATA) Financial
Disclosure**

On November 23, 2010, the United States Department of Homeland Security (US DHS) and the Federal Emergency Management Agency (FEMA) issued Information Bulletin #350 to clarify requirements under the new Federal Funding Accountability and Transparency Act (FFATA).

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

Modified Financial Management Forms Workbook	Modified FMFW can be accessed at: http://www.calema.ca.gov/GrantsProcessing/Pages/Financial-Management-Forms-Workbook.aspx,

The Cal OES Financial Management Forms Workbook (FMFW) includes:

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

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

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

Project Descriptions – Describe the various details of each Project (letter/name, IJs/Goals and Objectives, brief description, need/status, milestones). A maximum of 20 projects are allowed.

Project Ledger – The project ledger is used in the application process to submit funding information and is used in the post-award phase for submitting Cash Requests, Modifications, and Advances.

Equipment Inventory Ledger – Provide detailed information on grant-funded equipment including the Authorized Equipment List (AEL) numbers. All AEL information can be found on the Lessons Learned Information Sharing website at http://www.fema.gov/media-library-data/20130726-1825-25045-7138/fema_preparedness_grants_authorized_equipment_list.pdf.

Narrative Attachments	**Explanation of 25% Law Enforcement** – Describe how the Subgrantee will meet the minimum federal requirement for funding Law Enforcement Terrorism Prevention-oriented Activities.

Equipment Typing Narrative – All equipment procured under this grant must be in support of the development or maintenance of an identified team or capability. Please describe what typed capability the equipment purchased with this grant supports. NIMS core capabilities can be selected from this site: https://rtlt.ptaccenter.org/Public/Combined.

Grant Assurances   The Grant Assurances list the requirements to which the Subgrantees will be held accountable. All applicants will be required to submit a signed, **original** copy of the FY14 Grant Assurances with their FY14 HSGP application. The required Grant Assurances can be found only in PDF format on the Cal OES website. FY14 Grant Assurances and other documents are located at Homeland Security Grants Section site: http://www.calema.ca.gov/EMS-HS-HazMat/Pages/Homeland-Security-Grant-Program-Documents.aspx

Note: Self-created Grant Assurances will not be accepted.

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

Authorized Agent Information Form

For each person or position appointed by the highest-level person, or their designee, submit the following information to Cal OES, along with the Signature Authority, **on application's letterhead:**
- ☐ Name
- ☐ Title
- ☐ Jurisdiction
- ☐ Grant Program
- ☐ Phone & Fax Number(s)
- ☐ E-Mail Address
- ☐ Street Address, City & Zip Code

Note: Changes can be made to the Authorized Agent if and when necessary. If the Signature Authority Form identifies the Authorized Agent by name, a new form and corresponding Authorized Agent Information Sheet are needed when any changes are made. If the Signature Authority Form identified the Authorized Agents by position and/or title, changes can be made by submitting a new Authorized Agent Information Sheet.

Application Submittal

After applicants are selected for funding, the modified FMFW must be mailed in hardcopy with original signatures and also submitted electronically via e-mail to the Cal OES Program Representative.

All application documents requiring an original signature will need to be mailed in hardcopy. Signatures must be in *blue ink* only.

HAND-DELIVERED APPLICATIONS WILL NOT BE ACCEPTED

Late or Incomplete Application

A completed application must be submitted to Cal OES by April 15, 2015. **Submittals received after this date will not be considered**. Additional rules for this program can be found in the Grant Management Memo 2014-07 (GMM) at
http://www.calema.ca.gov/GrantsProcessing/Pages/Grant-Management-Memos.aspx

Application Approval

Cal OES will review and approve projects submitted which meet the criteria based on the AEL and the scoring system established for this program. All projects shall be completed within the subgrantee performance period, ending May 31, 2016. All applicable FY14 HSGP rules remain in effect for this program.

Post Award Modifications

Post award budget, scope and time modifications must be requested using the modified Financial Management Forms Workbook, signed by the Subgrantee's Authorized Agent, and submitted to the Subgrantee's Program Representative in the Homeland Security Grants Unit at Cal OES.

The Subgrantee may implement the modifications, and incur associated expenses, only after receiving written final approval of the modification from the State. Failure to submit modification requests, and receive written approval prior to expenditure, could result in a reduction or disallowance of that part of the grant.

Payment Request Process

To request advance or reimbursement payment of FY14 HSGP funds, complete a payment request form using the Cal OES Financial Management Forms Workbook and return it to the appropriate Program Representative in the Homeland Security Grants Unit at Cal OES. Subgrantees who fail to follow the workbook instructions may experience delays in processing.

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

Advances and Interest Earned on Advances

DHS allows Subgrantees to request FY14 HSGP funds up to 120 days prior to expenditure/disbursement or on a reimbursement basis. Federal rules require advances to be <u>deposited in interest-bearing accounts</u>. Interest earned should be returned quarterly to Cal OES.

In addition to returning interest in accordance with the prescribed federal guidance, Subgrantees must also inform the Grantee's Program Representative in the Homeland Security Grants Unit at Cal OES of any interest returned on program funds.

Performance Bond

Many subgrantees were unable to procure large equipment items due to vendor delivery scheduled to occur after the federal reporting period had expired. To assist with this issue, DHS allowed subgrantees to obtain a "performance bond" wherein subgrantees procured the item(s) in question, paid the money up front, and obtained a performance bond to ensure delivery of the item within 90 days of the subgrantees' performance period. Subgrantees must obtain a performance bond for any equipment item over $250,000 or any vehicle, aircraft or watercraft, financed with homeland security dollars. **Subgrantees must provide a copy of all performance bonds to their HSGP Program Representative and make additional copies available upon request.**

Subgrantee Performance Reports

Subgrantees must prepare and submit performance reports to the State for the duration of the grant performance period, or until all grant activities are completed and the grant is formally closed by Cal OES. Subgrantees must complete a Biannual Strategy Implementation Report (BSIR) using the DHS/FEMA Grants Reporting Tool (GRT).

To obtain access to the online GRT, please log on to their website at www.reporting.odp.dhs.gov. To create a new account, follow the instructions that read, "If you need to register for an account, please click here."

For additional assistance with the GRT, please contact:
Dora Gomez at dora.gomez@caloes.ca.gov or (916) 845-8656.

Failure to Submit Required Reports

Periodic reporting is required by the grant. Subgrantees who miss a single reporting deadline may receive a letter addressed to their Board of Supervisors informing them of the failure to report. Tribal Native Americans who fail to report twice in a row may have subsequent awards reduced by 10% until timely reporting is reestablished. UASIs may have a "hold" placed on any future reimbursements.

Monitoring

The Cal OES Monitoring Branch is actively conducting monitoring visits, both desk review and on-site, among Subgrantees. These reviews may include, but are not limited to:

- Eligibility of expenditures.
- Comparing actual Subgrantee activities to those approved in the subgrant application and subsequent modifications, if any.
- Ensuring that advances have been disbursed in accordance with applicable guidelines.
- Confirming compliance with:
  o Grant Assurances;
  o Information provided on performance reports and payment requests; and
  o Needs and threat assessments and strategies.

Many Subgrantees receive "findings" that necessitate a Corrective Action Plan (CAP) on their part. Those Subgrantees who fail to submit a CAP as required shall have a "hold" placed on any future reimbursements until the "finding" is resolved.

Note: It is the responsibility of all Subgrantees to monitor and audit the grant activities of their Subrecipients. This requirement includes, but is not limited to, on-site verification of grant activities, as required.

Suspension/ Termination

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

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

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

Closeout

The State will close a Subgrantee award after:

- Receiving a Subgrantee Performance report indicating that 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 awards, modifications and payments.

If the closeout review and reconciliation indicates that the Subgrantee:

- Is owed additional funds, then the State will send the final payment automatically to the Subgrantee.
- Did not use all funds received, then the State will issue an Invoice or Grant Modification letter to recover unused funds.

In the Grant Closeout Letter, the State will notify the Subgrantee of the start of the record retention period for all programmatic and financial grant-related records.

Note: 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.

Application Rating

Eligible applications received by the deadline are generally rated by a three member team. The raters' scores are averaged and then ranked numerically.

Scoring Criteria

The Tribal Equipment Assistance Program is a competitive grant with established scoring criteria. Subject to Cal OES discretion, subgrants may be awarded to the top-scoring applicants until all the allocated funding is awarded. Application submissions will be scored as follows:

Will the project be completed within the performance period?	If no, the application will not be considered.
Description of your current homeland security operations.	5 Points
Description of how this equipment would improve your current homeland security operations.	5 Points
Description of how the equipment meets a Cal EOS Investment Justification, Goal and Objective.	5 Points
Provide a list of equipment to be purchased, including quantities, AEL numbers and AEL titles.	5 Points

Funding Recommendation

Final funding decisions are made by the Director of Cal OES. Funding recommendations are based on the following:

- The ranked score of the application.
- Consideration of funding priorities or geographical distribution specific to the TEA Program.
- Prior negative administrative and programmatic performance, if applicable.

Projects previously funded by Cal OES will be reviewed for past compliance, including fiscal management, progress and annual reports, audit reports, and other relevant documentation or information. This review may result in one or more of the following actions:
- The project may not be selected for funding.
- The amount of funding may be reduced.
- Grant Award Conditions may be placed in the Grant Award Agreement.

Notification Process

Applicants will be notified in writing of the results of the rating process. Applicants not selected for funding will receive a denial letter containing their average score and information on the appeal process.

FY14 HSGP TEA California Supplement Release	February 16, 2015
Subgrantee Application submissions Due to Cal OES	April 15, 2015
Subgrantee Performance Period Begins	June 1, 2015*
Subgrantee Performance Period Ends	May 31, 2016
Final Requests for Reimbursement Due	June 10, 2016
SAA Performance Period Ends	August 31, 2016

*Date approximate depending on Cal OES award date

Attachment B – Tribal Signature Authority Form | 2014

AS THE _____
(Chair/Secretary/Director/President/Chancellor)

OF THE _____
(Name of the Tribal Organization)

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

_____ , OR

_____ , OR

_____ ,

Signed and approved this _____ day of _____ , 20 _____

_____
(Signature)

Subgrantee_____FIPS#_____

Cal OES Regional Rep: _____

Tribes

Modified Financial Management Forms Workbook:
—— Face Sheet
—— Authorized Body of 5 Sheet
—— FFATA Financial Disclosure Sheet
—— Project Descriptions
—— Project Ledger
—— Equipment Inventory Ledger
—— Authorized Agent Sheet

Narrative Attachments:
—— 25% Law Enforcement – Minimum
—— Equipment Typing

—— Signature Authority – Authorized Agent
—— Authorized Agent(s) Information Form
—— Grant Assurances (Signed Originals)

IJ #1: Strengthen Information Sharing and Collaboration Capabilities and Law Enforcement Investigations

Goal 1: Enhance Information Analysis and Law Enforcement Capabilities	
Objective 1.1	Strengthen Information Sharing and Collaboration Among All Levels of Government, Private Industry, Non-Governmental and Community-Based Organizations
Objective 1.2	Strengthen California's Ability to Identify and Counter Emerging Threats

IJ #2: Enhance Protection of Critical Infrastructure and Key Resources

Goal 2: Protect Critical Infrastructure and Key Resources	
Objective 2.1	Implement the California Critical Infrastructure Protection Program

IJ #3: Strengthen Communications Capabilities

Goal 3: Strengthen Communications Capabilities	
Objective 3.1	Implement the California Statewide Communications Interoperability Plan
Objective 3.2	Strengthen Alert and Warning Systems to Ensure the Delivery of Clear and Consistent Public Information

IJ #4: Enhance Community Resilience

Goal 4: Enhance Planning and Community Preparedness	
Objective 4.1	Enhance Citizen Preparedness While Integrating the Needs of Vulnerable Populations
Objective 4.2	Strengthen Volunteer Management and Donations

IJ #5: Enhance Catastrophic CBRNE and All Hazards Incident Planning and Response Capabilities

Goal 5: Strengthen Catastrophic CBRNE and All Hazards Incident Planning, Detection and Response Capabilities	
Objective 5.1	Strengthen All Hazards Incident Management Capabilities Across California
Objective 5.2	Enhance Resource Management Through Implementation of the California Metrics Project
Objective 5.3	Implement the California Preventative Radiological and Nuclear Detection Program
Objective 5.4	Implement a California Disaster Recovery Framework

IJ #6: Enhance Medical and Public Health Preparedness

Goal 6: Improve Medical and Health Capabilities	
Objective 6.1	Enhance Health and Public Health Preparedness and Disaster Response Capabilities for All Hazards
Objective 6.2	Enhance Medical Preparedness and Disaster Response Capabilities for All Hazards

IJ #7: Strengthen Food and Agriculture Preparedness

Goal 7: Strengthen Food and Agriculture Preparedness	
Objective 7.1	Enhance Agriculture Food Systems and Animal Health Preparedness

IJ #8: Homeland Security Exercise, Evaluation and Training Programs

Goal 8: Enhance Homeland Security Exercise, Evaluation and Training Programs	
Objective 8.1	Expand Statewide Training Across All Mission Areas, While Enhancing Professional Training For Emergency Management and Homeland Security Disciplines
Objective 8.2	Expand Statewide Exercises Across All Mission Areas

NIMS COMPLIANCE CERTIFICATION

I, _____ , the Authorized Agent for the _____
(name of Authorized Agent)   (city, county, tribe)

of   _____ , do hereby certify that all the

requirements to be NIMS compliant have been met and the information has been entered into

NIMSCAST.

_____   _____