Nonprofit Security Grant Program: Required Documents Workshop

Cal OES Infrastructure Protection Grant Unit

Please Mute Or Silence Your Phones For The Presentation

Agenda

- Infrastructure Protection Grants Unit Overview
- Required Documents
  - Governing Body Resolution
  - Grant Assurances
  - Payee Data Record (STD 204)
  - 501(c)(3) Letter or Self Declaration Letter
  - Environmental Planning and Historic Preservation (EHP)
  - Cal OES Subrecipient Grant Management Assessment
- Financial Management Forms Workbook (FMFW) & Tabs Overview
- Advances, Modifications, and Reimbursements
- Procurement Requirements
- Accountability Requirements
- Resources
- Closing Remarks & Questions

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Infrastructure Protection Grant Unit (IPGU)

The Infrastructure Protection Grant Unit is responsible for the overall grant management of the Nonprofit Security Grant Program (NSGP), California State Nonprofit Security Grant (CSNSGP) Homeland Security Grant Program (HSGP) Tribal Allocation, and Operation Stonegarden (OPSG), State and Local Implementation Grant Program (SLIGP).

IPGU Main Line	916-845-8410	NonProfit.Security.Grant@CalOES.ca.gov
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UASI Nonprofit Security Grants

- Provides up to $25 Million in funding support for target hardening activities to nonprofit organizations (as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax under section 501(a) of such Code) that are at high risk of terrorist attack.

- The program is designed to promote coordination and collaboration of emergency preparedness activities between public and private community representatives, state and local government agencies, and Citizen Corps Councils.

- Nonprofits located within designated UASI areas were eligible to receive a grant award of up to **$75,000** each.

- California was Awarded $4,178,039 for 58 Subrecipients

Award Letters

An award letter is issued for each of two phases in the application process.

Phase I: NOTIFICATION OF SUBRECIPIENT AWARD APPROVAL

- Funding Amount
- Grant ID Number
- Expenditure Period
- Additional Application Requirements
- Reporting Requirements
- Cal OES Contact Information
- **The Authorized Agent must sign the bottom of the letter and make a copy for organization's grant binder. The original, signed letter must be returned to Cal OES within ten days of the date of the letter.**

Phase II: NOTIFICATION OF APPLICATION APPROVAL

- Issued when all application requirements are complete.
- EHP must be approved before you can be advanced funds or receive a reimbursement. No equipment may be purchased or installed prior to the date of the EHP approval.

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Required Documents

1. Governing Body Resolution
2. Grant Assurances
3. STD204/Payee Data Record
4. 501(c)(3) Letter of Determination
5. Environmental Planning and Historic Preservation (EHP)
6. Financial Management Forms Workbook (FMFW)
7. Cal OES Subrecipient Grants Management Assessment

All of the required application documents must be received and approved by Cal OES before you will be able to request an advance or reimbursement of funds. Both electronic and hard copy submission of ALL DOCUMENTS ARE REQUIRED.

All Required Documents MUST be emailed to your Program Representative NO LATER than 45 days after the organization receives an AWARD LETTER

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1) Governing Body Resolution

An official document, originating from the subrecipient, declaring the nonprofit organization's intention to accept the award and abide by the terms of the grant.

Document Requirements:

- A header that clearly displays the name of the nonprofit organization.
- The names and signatures of the governing body board members.
- The name(s) and signature(s) of the authorized agent(s) who will represent the nonprofit organization for all official transactions and requests.

Note: The Authorized Agent(s) cannot vote to appoint themselves, and whomever is appointed cannot certify the vote.

2) Grant Assurances

This document contains state and federal grant regulations, terms, and conditions. Each page must be initialed, and the last page signed by the Authorized Agent.

(There cannot be any changes or revision to the Grant Assurances)

The federal Notice of Funding Opportunity (NOFO) and the California Grant Guidance Supplement contain additional instructions and conditions.

Policies may be developed during the course of the grant performance period. Subrecipients will be notified of these changes via Grant Management Memoranda (GMMs), and phone or email messages from Cal OES program staff.

3) Payee Data Record/Form STD 204

- Required when receiving payment from the State of California in lieu of IRS W-9

- Available to download here as a fillable PDF.

- Required for all non-governmental entities and will be kept and filed within Cal OES.

- Section 6: Complete and return to –

  Cal OES, Homeland Security Grants
  Attn: Renee Jackson
  3650 Schriever Avenue
  Mather, CA 95655

3) Payee Data Record/Form STD 204

Print | Clear

STATE OF CALIFORNIA-DEPARTMENT OF FINANCE

PAYEE DATA RECORD

(Required when receiving payment from the State of California in lieu of IRS W-9)

STD. 204 (Rev. 6-2003)

1	**INSTRUCTIONS:** Complete all information on this form. Sign, date, and return to the State agency (department/office) address shown at the bottom of this page. Prompt return of this **fully completed** form will prevent delays when processing payments. Information provided in this form will be used by State agencies to prepare Information Returns (1099). See reverse side for more information and Privacy Statement. **NOTE:** Governmental entities, federal, State, and local (including school districts), are not required to submit this form.
2	**PAYEE'S LEGAL BUSINESS NAME** (Type or Print) **SOLE PROPRIETOR – ENTER NAME AS SHOWN ON SSN** (Last, First, M.I.) | **E-MAIL ADDRESS** **MAILING ADDRESS** | **BUSINESS ADDRESS** **CITY, STATE, ZIP CODE** | **CITY, STATE, ZIP CODE**
3 **PAYEE ENTITY TYPE** **CHECK ONE BOX ONLY**	**ENTER FEDERAL EMPLOYER IDENTIFICATION NUMBER (FEIN):** ☐☐ – ☐☐☐☐☐☐☐ ☐ **PARTNERSHIP** ☐ **ESTATE OR TRUST** **CORPORATION:** ❑ **MEDICAL** (e.g., dentistry, psychotherapy, chiropractic, etc.) ❑ **LEGAL** (e.g., attorney services) ❑ **EXEMPT** (nonprofit) ❑ **ALL OTHERS** ☐ **INDIVIDUAL OR SOLE PROPRIETOR ENTER SOCIAL SECURITY NUMBER:** ☐☐☐ – ☐☐ – ☐☐☐☐ (SSN required by authority of California Revenue and Tax Code Section 18646) **NOTE:** Payment will not be processed without an accompanying taxpayer I.D. number.
4	☐ California resident - Qualified to do business in California or maintains a permanent place of business in California. ☐ California nonresident (see reverse side). Payments to nonresidents for services may be subject to State income tax.

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4) Cal OES Verification: 501(c)(3) Letter of Determination

Eligibility to apply for NSGP funding is partly based on your 501(c)(3) status

Dear Applicant:

We are pleased to inform you that upon review of your application for tax exempt status we have determined that you are exempt from Federal income tax under section 501 (c) (3) of the Internal Revenue Code. Contributions to you are deductible under section 170 of the Code. You are also qualified to receive tax deductible bequests, devises, transfers or gifts under section 2055, 2106 or 2522 of the Code. Because this letter could help resolve any questions regarding your exempt status, you should keep it in your permanent records.

Organizations exempt under section 501 (c) (3) of the Code are further classified as either public charities or private foundations. During your advance ruling period, you will be treated as a public charity. Your advance ruling period begins with the effective date of your exemption and ends with advance ruling ending date shown in the heading of the letter.

Shortly before the end of your advance ruling period, we will send you Form 8734, Support Schedule for Advance Ruling Period. You will have 90 days after the end of your advance ruling period to return the completed form. We will then notify you, in writing, about your public charity status.

Please see enclosed Information for Exempt Organizations Under Section 501 (c)(3) for some helpful information about your responsibilities as an exempt organization.

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5) Environmental Planning and Historic Preservation Screening (EHP)

The Screening Form requires a detailed project description that explains the objectives of the proposed project, along with supporting documentation.

FEMA's Grant Program's Directorate (GPD) EHP uses this information to determine whether the proposed project has the potential to affect the environmental and/or historic properties.

Projects that have the potential to affect the environment will be sent for review to the FEMA Regional Environmental Office in which the project is located.

Required Documents:

1. EHP Screening Form

2. Photographs with labels and narrative of proposed equipment installations in an attached PDF

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EHP Purpose

The EHP screening is carried out with respect to 3 governing bodies; the primary purpose is preservation of historical and archeological sites.

National Environmental Policy Act (NEPA) – requires that the Federal government examine the proposed impacts of its actions before project implementation.

National Historic Preservation Act (NHPA) – Federally funded projects shall consider project impacts to resources eligible for listing or listed on the National Register of Historic Places (includes archaeological sites).

State Historic Preservation Office (SHPO) – is responsible for administering federally and state mandated historic preservation programs to further the identification, evaluation, registration and protection of California's irreplaceable archaeological and historical resources.

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EHP Applicable Laws

Biological Laws:

- Endangered Species Act (1973), ESA
- Fish and Wildlife Coordination Act (1934), FWCA
- Migratory Bird Treaty Act (1918), MBTA
- Bald and Golden Eagle Protection Act (1940), BGEPA
- Magnuson-Stevens Fishery Conservation Act (2006),FCA
- EO 13112 Invasive Species (1999)

Water Resources Laws:

- EO 11988 Floodplain Management (1977)
- EO 11990 Protection of Wetlands (1977)
- Clean Water Act (1972), CWA
- Wild and Scenic Rivers Act (1968), WSRA

Socioeconomic Laws:

- Farmland Protection Policy Act (2007), FPPA
- EO 12898 Environmental Justice (1994)

Pollution Control and Debris Management:

- Clean Air Act (1970), CAA
- Resource Conservation and Recovery Act (1976), RCRA
- Comprehensive Environmental Response, Compensation and Liability Act (1990), CERCA

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EHP Screening Form

Section A – Project Information:

- Provide a description of your project that includes specific details about equipment, location, installation, and/or activities involved.

- For training exercises, provide the date the training is scheduled.

- Providing complete detailed information will help avoid delays.

Example of Descriptions

Bad	Good
Install cameras in courthouse	Install 4 Panasonic VT-5 video cameras on first floor of 1898 county courthouse. Cameras will be installed opposite exit doors, 2 feet below drop ceiling (see diagram for location, position, and height). Wiring will use existing conduits… etc.

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EHP Screening Form

Section B – Project Type:

- Select the boxes which describes the project type. Example: Generators, Communication towers, or building modifications.

- Select all boxes that apply.

- The selected boxes show the parts of Section C to be completed.

For NSGP subrecipients you will select Project Types 1, 2, and/or 3

1. Purchase of Equipment

2. Training and Exercises

3. Renovations/Upgrades/Modifications or Physical Security Enhancements to Existing Structures

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EHP Screening Form

Section C – Project Type Details:

- Go to the sections per the selected boxes from Section B.
- Read and complete each bulleted question.
- Note the sections that require Section D to be completed as well.

Section D – Project Details:

- This section is very important to complete for all projects involving buildings or structures (e.g. towers, bridges, water towers, existing or new utility poles, etc.) that involve installation of equipment and/or ground disturbance.
- Read and complete each bullet question.
- All ground disturbances should be described as Length x Width x Depth. An aerial photo should be attached showing where all ground disturbance will occur.
- Building or structure construction date is required.
- For all buildings and structures, attach ground level color photos that are accurately labelled. Further guidance regarding photos is located in Appendix A of the EHP.

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EHP Screening Form

Appendix A – Photos:
Photos, maps, drawings, or other environmental documentation can be combined with the GPD EHP Screening Form to create one pdf file (recommended).

All photos should be labeled showing project location, location of where equipment will be installed, or ground disturbances occur where applicable.

Plans, Drawings, Blueprints
Plans or blueprints can be used instead of aerial photos. Label plans/drawings with equipment type and location including an index.

EHP Examples

Example Photographs

Aerial Photographs. The example in Figure 1 provides the name of the site, physical address and proposed location for installing new equipment. This example of a labeled aerial photograph provides good context of the surrounding area.

Symbol	Equipment
	Bollard
	Camera
	Door

Figure 1. Example of labeled, color aerial photograph.

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EHP Examples

Ground-level photographs. The ground-level photograph in Figure 2 supplements the aerial photograph in Figure 1, above. Combined, they provide a clear understanding of the scope of the project. This photograph has the name and address of the project site, and uses graphics to illustrate where equipment will be installed.

Figure 2. Example of ground-level photograph showing proposed attachment of new equipment

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EHP Examples

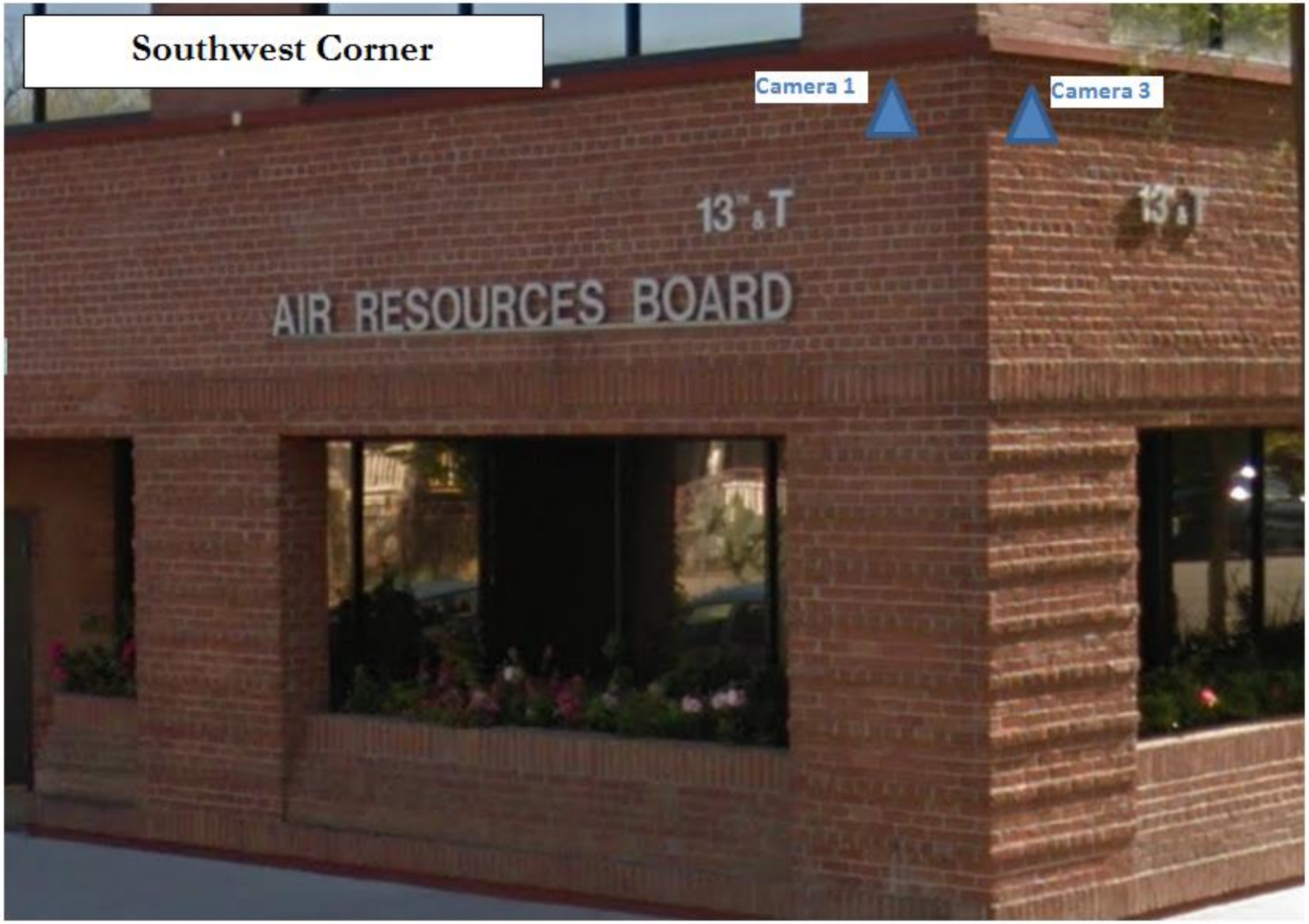

Figure 3. Ground-level photograph with graphic showing proposed equipment installation.

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EHP Submission Process

1. Subrecipient completes and submits EHP for state review by Cal OES representative.

2. Cal OES reviews and submits EHP to DHS/FEMA for Approval.

3. DHS/FEMA reviews and notifies Cal OES of EHP approval

4. Cal OES notifies subrecipient of approved EHP

Only After the EHP has been approved can the subrecipient begin utilizing grant award,

And,

Depending on the age of the building or other factors, additional information may be required, for example a CHRIS Report.

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EHP – CHRIS Report

California Historical Resources Information System (CHRIS) Reports: Grant-related report affecting some California locations.

(This MAY be required)

- The subrecipient must complete the form and pay the fee. After/if the EHP clears, grant funds may be used to reimburse this cost.

- According to FEMA Information Bulletin 404 issued April 13, 2015, subrecipients grant funds may be used for other costs associated with the EHP review.

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EHP Modifications

- **<u>You may not</u>** submit any changes to your equipment for EHP review that were not included in your Investment Justification (IJ) Application.
- If you need to modify equipment that was not included in your original IJ, you must first submit a detailed Reallocation or modification request to Cal OES justifying the change.
- The request must be on your organization's letterhead, signed by the authorized agent, and submitted to your program representative.
- It must include a side by side comparison of the changes to include cost, equipment, time to completion, and any other necessary information.
- Cal OES will review the Reallocation request, and then send it to DHS/FEMA for consideration/approval. **(Approval is not guaranteed)**
- If approved, your EHP submission would then need to reflect the approved, modified project(s).

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EHP Summary

- EHP reviews are **<u>Required</u>**.
- EHP reviews **<u>must</u>** be approved before work may begin or funds may be released.
- EHP reviews are process driven; rarely any mandated outcomes.
- Complete scopes of work and clear documentation = EHP review foundation.
- Legwork upfront can shorten project review timeframes.
- Delays are caused by the following:
  - Poor or absent ground-level photographs.
  - Inadequate project description.
  - Poor or absent aerial photographs.
  - Extent of ground disturbance.
  - No project location (physical addresses or latitude-longitude).

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6) Financial Management Forms Workbook

The Financial Management Forms Workbook (FMFW) is…

- the central accounting workbook that is a complete record of your project activities.
- a living document where spreadsheets are added for each new transaction, such as cash advances, reimbursements, or modifications.

- You can print individual sheets or your entire workbook.
- It has built-in equations and drop-down menus that must not be altered.
- It is to be sent to Cal OES representatives as an e-mail attachment as well as printed and mailed, hard copy, to our office.

A copy of the most recent workbook can be accessed here.

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Workbook Tabs

1. Instructions
2. Facesheet
3. Authorized Body of 5
4. Project Ledger
5. Equipment Inventory Ledger
6. M&A (If applicable)
7. Consultant-Contractor
8. Indirect Costs
9. Personnel
10. Authorized Agent Spreadsheet

Instructions

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

Auth. Agent | Specific | INSTRUCTIONS

This tab provides detailed instructions on how to complete the Financial Management Forms Workbook v1.17. For further guidance, please refer to your Program Representative.

TAB	SECTION	EXPLANATION

INSTRUCTIONS FOR ENABLING MACROS IN EXCEL 2003, EXCEL 2007 AND EXCEL 2010

INSTRUCTIONS FOR ENABLING MACROS- **EXCEL 2003**

Save the FMFW v1.17 to your computer
With the FMFW v1.17 open, click on TOOLS -> MACRO -> SECURITY...
Under the **SECURITY LEVEL** tab, select the **MEDIUM** or **LOW** setting.
The **MEDIUM** setting will prompt you to enable/disable macros each time the file is opened. This will prevent potentially unsafe macros from running. The **LOW** setting will enable macros without prompt. It is recommended that you have virus software installed and updated if using the **LOW** setting to prevent unsafe macros from running in other files.
Save, Close, and Re-open the workbook- Macros will be enabled.

INSTRUCTIONS FOR ENABLING MACROS- **EXCEL 2007**

Save the FMFW v1.17 to your computer
Open the FMFW v1.17
Click on the round **Office** button in the top left
Click on **Excel Options** in the lower right of the drop down box
Select **Popular** module along the left side
Check the **Show Developer** tab in the Ribbon option
Hit **OK**

Click on the round **Office** button in the top left **(again)**
Click on **Excel Options** in the lower right of the drop down box
Select the **Trust Center** module along the left
Click on the **Trust Center Settings...** button
Select the **Macro Settings** module along the left
Set the Macro Settings to **Enable all macros...**
Check the **Trust access to the VBA project...** option
Hit **OK**

Save, Close, and Re-open the workbook- Macros will be enabled.

INSTRUCTIONS FOR ENABLING MACROS- **EXCEL 2010**

Save the FMFW v1.17 to your computer
Open the FMFW v1.17
Click on the **File** tab, choose **Options** to open the Excel Options dialog box.
Click on **Customize Ribbon** on the left side of the dialog box
Under **Choose commands** from the left side of the dialog box, select **Popular Commands.**
Under **Customize the ribbon** on the left side of the dialog box, select **Main Tabs** and then select the **Developer** check box
Hit **OK**

Click on the File tab, choose **Options** to open the Excel Options dialog box (again).
Click on **Trust Center** on the left side of the dialog box
Click on **Trust Center Settings** from the right side of the dialog box
Select **Macros Settings** on the left side of the dialog box
Under **Macros Settings** click on **"Enable all macros"**
Check the **Trust access to the VBA project...** option
Hit **OK**

Save, Close, and Re-open the workbook- Macros will be enabled.

Note: Some computers may not run Macros correctly even if enabled by Excel. A Non-Macro version of the workbook is available under such circumstances.

This image represents buttons that are placed throughout the workbook.
Explanations are provided in this sheet on how to use specific buttons.

Grant Subaward Face Sheet

Use the Grant Subaward Face Sheet to apply for grant programs. Each grant program requires its own separate Grant Subaward Face Sheet. Cal OES Section: The top portion of the form contains blocks for four (4) important numbers. Please do not fill in these blocks. These numbers will be entered by Cal OES. Please print the Grant Subaward Face Sheet in portrait format. Provide an original signature of the authorized official. The use of white out or tape is prohibited and will invalidate the signature on the Grant Subaward Face Sheet.

Instructions | Facesheet | Authorized Body Of 5 | FFATA Financial Disclosure | Project Ledger | Planning | Organization | Equipment | Training | Exercise | M&A | Indirect Costs | Consultant-Contractor | Personnel | Auth. Ag

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Facesheet

(Cal OES Use Only)

Cal OES #		FIPS #		VS #		Subaward #	

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GRANT SUBAWARD FACE SHEET

The California Governor's Office of Emergency Services (Cal OES), makes a Grant Subaward of funds set forth to the following:

1. Subrecipient: ____________ **1a. DUNS #:** ______

2. Implementing Agency: ____________ **2a. DUNS #:** ______

3. Implementing Agency Address: ______ Street ______ City ______ Zip+4

4. Location of Project: ______ City ______ County ______ Zip+4

5. Disaster/Program Title: ______ **6. Performance Period:** ______ **to** ______

7. Indirect Cost Rate: □ **N/A;** □ **10% de Minimis;** □ **Federally Approved ICR;** ______

Grant Year	Fund Source	A. State	B. Federal	C. Total	D. Cash Match	E. In-Kind Match	F. Total Match	G. Total Project Cost
Select	8. Select						$0	$0
Select	9. Select						$0	$0
Select	10. Select						$0	$0
Select	11. Select						$0	$0
	12. TOTALS	$0	$0	$0	$0	$0	$0	12G. Total Project Cost: $0

13. Certification This Grant Subaward consists of this title page, the application for the grant, which is attached and made a part hereof, and the Assurances/Certifications. I hereby certify I am vested with the authority to enter into this Grant Subaward, and have the approval of the City/County

Instructions | Facesheet | Authorized Body Of 5 | FFATA Financial Disclosure | Project Ledger | Planning | Organization | Equipment | Training | Exercise | M&A | Indirect Costs | Consultant-Contractor | Personnel

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Authorized Body of 5

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Instructions | Auth. Agent | Specific

AUTHORIZED BODY OF 5 - SIGNATURE AND CONTACT INFORMATION

Alterations to this document may result in delayed application approval, modification requests, or reimbursement requests. Subrecipients may be asked to revise and/or re-submit any altered Financial Management Forms Workbook.

CFDA #

Authorized Body of 5-Signature and Contact Information

Position	Signature	Printed Name	Title	Phone	Email
County Public Health Officer					
County Fire Chief					
Municipal Fire Chief					
County Sheriff					
Chief of Police					
Additional Position (Optional)					
Additional Position (Optional)					

Additional Authorized Agent Contact Information

Salutation	Authorized Agent's Name	Title	Mailing Address	City	State	Zip	Phone	Email
Salutation	Contact's Name	Title	Mailing Address	City	State	Zip	Phone	Email

Instructions | Facesheet | **Authorized Body Of 5** | FFATA Financial Disclosure | Project Ledger | Planning | Organization | Equipment | Training | Exercise | M&A | Indirect Costs | Consultant-Contractor | Personnel

Project Ledger

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Instructions | Auth. | Specific

PROJECT LEDGER

Alterations to this document may result in delayed application approval, modification requests, or reimbursement requests.
Subrecipients may be asked to revise and/or re-submit any altered Financial Management Forms Workbook.

Warning! Decimal usage is not allowed. Attempts to use decimals will prompt error message.

CFDA #

CLEAR | **LEDGER TYPE:**

Initial App.

REIMB Req.

Advance

SELECTION | SELECTION | SELECTION

ROW | ROW | ROW

ROW SIZE 15 | ROW SIZE AUTO | FORMULA RESET | NEW REIMB/ MOD REQUEST | NEW MOD ITEM | MOD | **Approval: Cal OES ONLY** | Date & Initials (Prog. REP.):

IJ	Direct / Subaward	Project Number	Project Title	Project Description	Funding Source	Discipline	Solution Area	Core Capability	Capability Building	Deployable / Shareable	Supports Prev Awarded Investment?	Total Budgeted Cost	Amount Approved Previous	**Amount This Request**	Total Approved	Remaining Balance	Percentage Expended
												-	-	-	-	-	

Instructions | Facesheet | Authorized Body Of 5 | FFATA Financial Disclosure | **Project Ledger** | Planning | Organization | Equipment | Training | Exercise | M&A | Indirect Costs | Consultant-Contractor | Personnel | Auth. Agent

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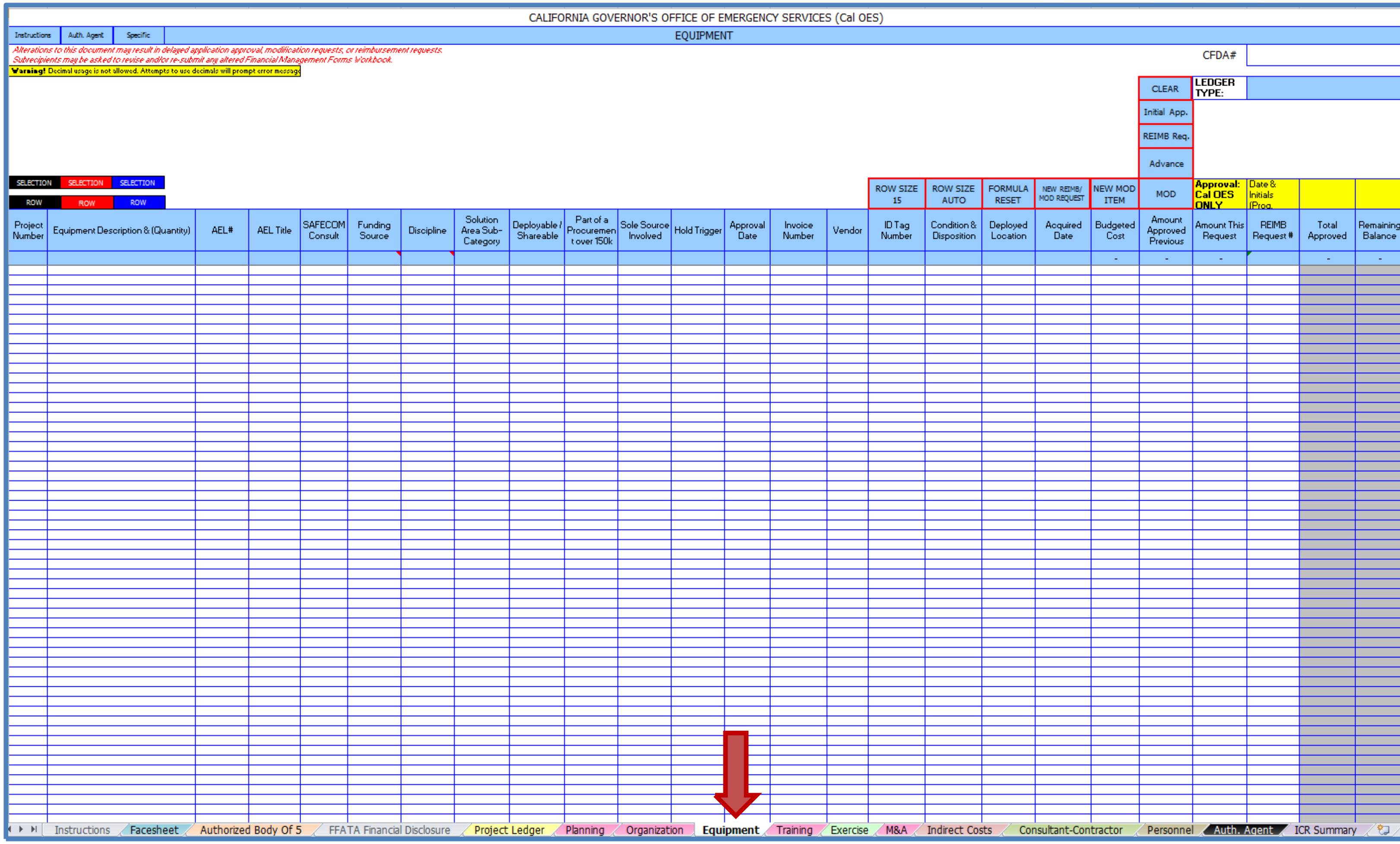
Equipment



CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

Instructions | Auth. Agent | Specific

EQUIPMENT

Alterations to this document may result in delayed application approval, modification requests, or reimbursement requests.
Subrecipients may be asked to revise and/or re-submit any altered Financial Management Forms Workbook.

Warning! Decimal usage is not allowed. Attempts to use decimals will prompt error messag

CFDA#

CLEAR | **LEDGER TYPE:**

Initial App.

REIMB Req.

Advance

SELECTION | SELECTION | SELECTION

ROW | ROW | ROW

															ROW SIZE 15	ROW SIZE AUTO	FORMULA RESET	NEW REIMB/ MOD REQUEST	NEW MOD ITEM	MOD	**Approval: Cal OES ONLY**	Date & Initials (Prog.		
	Project Number	Equipment Description & (Quantity)	AEL#	AEL Title	SAFECOM Consult	Funding Source	Discipline	Solution Area Sub-Category	Deployable / Shareable	Part of a Procurement over 150k	Sole Source Involved	Hold Trigger	Approval Date	Invoice Number	Vendor	ID Tag Number	Condition & Disposition	Deployed Location	Acquired Date	Budgeted Cost	Amount Approved Previous	Amount This Request	REIMB Request #	Total Approved	Remaining Balance
																			-	-	-		-	-

Instructions | Facesheet | Authorized Body Of 5 | FFATA Financial Disclosure | Project Ledger | Planning | Organization | **Equipment** | Training | Exercise | M&A | Indirect Costs | Consultant-Contractor | Personnel | Auth. Agent | ICR Summary

Equipment: Allowable Costs

Allowable Costs: are focused on target hardening activities. Funding is limited to two categories of items on the Authorized Equipment List (AEL):

- Physical Security Enhancement Equipment (category 14).
- Inspection and Screening Systems (category 15).

Training: Funds may support nonprofit organization security personnel to attend security-related training courses and programs.

- Allowable training topics are limited to the protection of Critical Infrastructure/Key Resources, including physical and cyber security, target hardening and terrorism awareness/employee preparedness.

AEL Numbers and Titles will be entered in your Workbook on this spreadsheet. They MUST match the categories you entered in your Investment Justification application unless you have written modification approval to change them.

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Equipment: Unallowable Costs

- Hiring of Public Safety Personnel
- Construction & Renovations (without prior, written DHS/FEMA approval)
- General-Use Expenditures.
- Organizational operating expenses, overtime, and backfill.
- Initiatives that are unrelated to prevention and protection-focused capabilities directed at identified facilities and/or the surrounding communities.
- The development of risk/vulnerability assessment models.
- Initiatives in which government agencies are the beneficiary
- Initiatives that study technology development.
- Proof-of-concept initiatives.
- Initiatives that duplicate capabilities being provided by the Federal government.
- Pre-award security expenditures.
- Any expenses incurred on your projects **BEFORE THE EHP APPROVAL IS RECEIVED AND YOUR PROJECT AWARD LETTER IS ISSUED.**

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Equipment: Warranty/Maintenance Coverage

In accordance with FEMA Information Bulleting #336 and Maintenance Contracts and Warranty Coverage Funded by Preparedness Grants.

- If purchasing maintenance agreement/service contract/extended warranty it must not extend beyond the performance period of the grant,

Unless,

- If the maintenance agreement/service contract/extended warranty is purchased incidental (i.e. at the same time under the same grant award as) to the original purchase of the system or equipment, grantees may procure maintenance or warranty coverage which exceeds the period of performance.

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Management and Administration (M&A)

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

Instructions | Auth. Agent | Specific

M&A

Alterations to this document may result in delayed application approval, modification requests, or reimbursement requests.
Subrecipients may be asked to revise and/or re-submit any altered Financial Management Forms Workbook.

CFDA #

Warning! Decimal usage is not allowed. Attempts to use decimals will prompt error message.

CLEAR | **LEDGER TYPE:**

Initial App.

REIMB Req.

Advance

SELECTION ROW | SELECTION ROW | SELECTION ROW

ROW SIZE 15 | ROW SIZE AUTO | FORMULA RESET | NEW REIMB/ MOD REQUEST | NEW MOD ITEM | MOD | **Approval: Cal OES ONLY** | Date & Initials (Prog. REP.):

Project Number	Activity	Funding Source	Discipline	Solution Area Sub-Category	Expenditure Category	Detail	Budgeted Cost	Amount Approved Previous	**Amount This Request**	REIMB Request #	Total Approved	Remaining Balance
							-	-	-	-	-	-

Instructions | Facesheet | Authorized Body Of 5 | FFATA Financial Disclosure | Project Ledger | Planning | Organization | Equipment | Training | Exercise | **M&A** | Indirect Costs | Consultant-Contractor | Personnel | Auth. Age

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Management and Administration (M&A)

Subrecipients may use up to 5% of the amount awarded for M&A purposes associated with the award.

M&A costs include the following categories of activities:

- Hiring of full-time or part-time staff or contractors/consultants to assist with the management of NSGP funds.
- Meeting-related expenses directly related to M&A of NSGP funds.
- M&A costs must be justified through invoices or payroll records showing payment of services.

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Consultant/Contractor

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

Instructions | Auth. Agent | Specific

CONSULTANT / CONTRACTOR

Alterations to this document may result in delayed application approval, modification requests, or reimbursement requests.
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Warning! Decimal usage is not allowed. Attempts to use decimals will prompt error message

CFDA #

CLEAR | **LEDGER TYPE:**

Initial App.

REIMB Req.

Advance

SELECTION ROW | SELECTION ROW | SELECTION ROW

ROW SIZE 15 | ROW SIZE AUTO | FORMULA RESET | NEW REIMB/ MOD REQUEST | NEW MOD ITEM | MOD | **Approval: Cal OES ONLY** | Date & Initials (Prog. REP.):

Project Number	Consulting Firm & Consultant Name	Project & Description of Services	Deliverable	Solution Area	Solution Area Sub-Category	Expenditure Category	Period of Expenditure	Fee for Deliverable	**Billable Hour Breakdown** Total Salary & Benefits charged for this Reporting Period	Hourly/Billing Rate	Total Project Hours	REIMB Request #	Total Cost Charged to Grant
								-	-	-	-	-	-

Instructions | Facesheet | Authorized Body Of 5 | FFATA Financial Disclosure | Project Ledger | Planning | Organization | Equipment | Training | Exercise | M&A | Indirect Costs | **Consultant-Contractor** | Personnel | Auth. Agent | ICR Summary

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Consultant/Contractor

- M&A is drawn down at the same percentage rate that equipment is installed.
- If you have installed 25% of your equipment you may not draw more than 25% of the M&A.
- The Consultant spreadsheet will be included in your initial application if you plan to use a paid grant consultant.
- You must detail work performed by the Consultant/Contractor to include pay rates, hours, and contract details.
- May require use of Personnel Tab to include hourly billing rates and details in regards to individuals working on the grant versus use of a firm.

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Indirect Costs (1 of 3)

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

Instructions | Auth. Agent | Specific | INDIRECT COSTS

Alterations to this document may result in delayed application approval, modification requests, or reimbursement requests.
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CFDA #

CLEAR | **LEDGER TYPE:**

Initial App.

REIMB Req.

Advance

SELECTION | SELECTION | SELECTION

ROW | ROW | ROW

ROW SIZE 15 | ROW SIZE AUTO | FORMULA RESET | NEW REIMB/ MOD REQUEST | NEW MOD ITEM | MOD | **Approval: Cal OES ONLY** | Date & Initials (Prog. REP.):

Project Number	Activity	Funding Source	Solution Area Sub-Category	ICR Base	Rate	Budgeted Cost	Amount Approved Previous	Amount This Request	REIMB Request #	Total Approved	Remaining Balance
						-	-	-	-	-	-

Instructions | Facesheet | Authorized Body Of 5 | FFATA Financial Disclosure | Project Ledger | Planning | Organization | Equipment | Training | Exercise | M&A | Indirect Costs | Consultant-Contractor | Personnel | Auth. Agent | ICR Summary

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Indirect Costs

Indirect costs are regular operation costs such as: the building lease, heating, lighting, expendable items.

- Claiming indirect costs is optional and must be done on the Initial Workbook.
- You may not claim indirect costs on the equipment portion of your award and will reduce the amount available to spend on equipment.
- You may not be able to claim indirect costs if you are paying the entire M&A allocation to a grant consultant.
- You will be able to claim both indirect costs and M&A.
    - Unless you have a federally-approved indirect cost rate, you may claim only 10% of amount of the M&A portion of your award. (Example – If $3,750 is your entire M&A budget. 3,750 x .10 = 375 - $375 is the most you could claim for indirect costs.)
- You can draw down a portion of the indirect costs at the end of each year (1/3 for each year of the grant) or all of it at the end of the grant.
- When you apply to draw down the indirect costs you must complete and submit the Indirect Costs – Summary spreadsheet.

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Personnel

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

Instructions	Auth. Agent	Specific	PERSONNEL

Alterations to this document may result in delayed application approval, modification requests, or reimbursement requests.
Subrecipients may be asked to revise and/or re-submit any altered Financial Management Forms Workbook.

Warning! Decimal usage is not allowed. Attempts to use decimals will prompt error message.

CFDA #

CLEAR	**LEDGER TYPE:**
Initial App.	
REIMB Req.	
Advance	

SELECTION	SELECTION	SELECTION
ROW	ROW	ROW

ROW SIZE 15	ROW SIZE AUTO	FORMULA RESET	NEW REIMB/ MOD REQUEST	NEW MOD ITEM	MOD	**Approval: Cal OES ONLY**	Date & Initials (Prog. REP.):		

Project Number	Employee Name	Project/Deliverable	Funding Source	Discipline	Solution Area	Solution Area Sub Category	Dates of Payroll Period	Total Salary & Benefits charged for this Reporting Period	Total Project Hours	REIMB Request #	Total Cost Charged to Grant
							-	-	-	-	-

Instructions | Facesheet | Project Ledger | Planning | Organization | Equipment | Training | Exercise | M&A | Indirect Costs | Consultant-Contractor | **Personnel** | Auth. Agent | ICR Summary

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Personnel

- This Tab is used to justify Hours spent working on the grant.
- It applies to grant administrators or any paid personnel that were hired to work on the grant.
- This funding comes out of the M&A.
- It will require documentation that supports the hourly amount or rate of pay these individuals received for work performed on the grant.

Authorized Agent

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

Instructions | Auth. Agent | Specific

AUTHORIZED AGENT

Alterations to this document may result in delayed application approval, modification requests, or reimbursement requests.
Subrecipients may be asked to revise and/or re-submit any altered Financial Management Forms Workbook.

CFDA #:

Supporting Information for Reimbursement/Advance of State and Federal Funds

(Select one option below)

This request is for an/a:

Initial App | **Reimbursement Request** | **Final Reimbursement** | **Modification** | **Advance** | **CLEAR**

This claim is for costs incurred within the grant expenditure period from and does not cross fiscal years.

(Beginning Expenditure Period Date) **through** (Ending Expenditure Period Date)

(REIMB or MOD Request #)

(Amount This Request)

Under Penalty of Perjury I certify that:

I am the duly authorized officer of the claimant herein. This claim is true, correct, and all expenditures were made in accordance with applicable laws, rules, regulations and grant conditions and assurances.

Statement of Certification - Authorized Agent

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729–3730 and 3801–3812). For HSGP: All equipment and training procured under this grant must be in support of the development or maintenance of an identified team or capability.

Printed Name and Title

Signature of Authorized Agent

Date

Enter Date

Please reference the Instructions Page under the "Authorized Agent" section for instructions/address on where to mail workbook

Instructions | Facesheet | Authorized Body Of 5 | FFATA Financial Disclosure | Project Ledger | Planning | Organization | Equipment | Training | Exercise | M&A | Indirect Costs | Consultant-Contractor | Personnel | **Auth. Agent**

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Authorized Agent(s)

Required for:

<u>Cash Advance</u> - is an advance of your funds; it is based on a bid/contract agreement. A first advance can be no greater than 50% of your total grant funding. **(Equipment funded by an advance must be installed before further funding can be requested.)**

<u>Cash Reimbursements</u> - repay the nonprofit organization after they use their own funds to implement a project.

<u>Modification</u> - is used for making budget or scope-of-work changes. Adding or eliminating equipment found in the Investment Justification (IJ) must be requested in writing. Request should be on nonprofit letterhead, and bear original, wet/blue ink, authorized agent signature.

All must be signed and sent in once pre-approved by Cal OES

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Modifications or Reallocations

- Cal OES will preview the request and forward it to FEMA for approval.
- If approved, you may be required to submit revised EHP screening documents.
- You **must** receive written approval **before** implementing the budget or scope-of-work changes.
- Work with your program representative to make the necessary changes to the Workbook.

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7) Cal OES Subrecipient Grants Management Assessment

- Cal OES is required under 2 CFR § 200.331 to evaluate the risk of noncompliance with federal statutes, regulations, and grant terms and conditions posed by each subrecipient of pass-through funding.

- Used to determine the appropriate level of technical assistance required from each subrecipient.

- Questions are based on experience in bookkeeping, accounting, grant complexity, years of on-the-job training/experience, and audit/review preparedness.

- **Must be signed by Authorized Agent**

7) Cal OES Subrecipient Grants Management Assessment

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

Subrecipient:	**DUNS #:**	**FIPS #:**
Grant Disaster/Program Title:		
Performance Period: to	**Subaward Amount Requested:**	
Type of Non-Federal Entity (Check Box)	☐State Gov. ☐Local Gov. ☐JPA ☐Non-Profit ☐Tribe	

Per Title 2 CFR § 200.331, Cal OES is required to evaluate the risk of noncompliance with federal statutes, regulations and grant terms and conditions posed by each subrecipient of pass-through funding. This assessment is made in order to determine and provide an appropriate level of technical assistance, training, and grant oversight to subrecipients for the award referenced above.

The following are questions related to your organization's experience in the management of grant awards. This questionnaire must be completed and returned with your grant application materials.

For purposes of completing this questionnaire, *grant manager* is the individual who has primary responsibility for day-to-day administration of the grant, *bookkeeper/accounting staff* means the individual who has responsibility for reviewing and determining expenditures to be charged to the grant award, and *organization* refers to the subrecipient applying for the award, or the governmental implementing agency, as applicable.

Assessment Factors	Response
1. How many years of experience does your current grant manager have managing grants?	Select
2. How many years of experience does your current bookkeeper/accounting staff have managing grants?	Select
3. How many grants does your organization currently receive?	Select
4. What is the approximate total dollar amount of all grants your organization receive?	
5. Are individual staff members assigned to work on multiple grants?	Select

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How to Receive Funding

- Ensure all of your required application documents are Received and Approved by Cal OES.

- Ensure your EHP review has been approved by FEMA.

- Wait to receive your official EHP clearance letter.

- You must obtain project bids and have a signed contract, **email** a draft Cash Advance or Reimbursement requests, from the workbook, to the program representative. The program representative will then guide you through the rest of the process.

- **It will take 4 to 8 weeks to receive any funds from the State Controller once your advance or reimbursement is APPROVED.**

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How to Receive Funding (2 of 2)

1. Open a Separate bank account to receive grant payments.

2. You must obtain a minimum of 2 bids for each approved project.

3. Subrecipient submits FMFW request to Cal OES **via email for preview/approval before hard copies are mailed in.**

4. Do not request funds for one project (example: lighting) and use it for a different project (example: fencing) without prior Cal OES permission.

FY 17 FMFW – Create a Cash Request
(1 of 2)

1. Open your FMFW and **Enable the macros**. (Note: Please follow the directions on how to enable macros on the instructions tab.) Do not delete any of the original tabs of the workbook. Always save your workbook changes. Always 'save-as' a macro-enabled workbook.

2. Click on the most up-to-date "Project Ledger" tab.

3. Click on "NEW CASH/MOD REQUEST" macro button in Cell H-17 on the "Project Ledger" tab to make a copy of the "Project Ledger."

4. Enter the name of your new Cash/Modification request. (For example: Cash 1 or CR#1).

5. Click on "Cash Request" macro button. Enter the expenditure period and Cash Request number.

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FY 17 FMFW – Create a Cash Request (2 of 2)

6. Enter the amount you are requesting into "Amount This Request" column.

7. Review for accuracy. IMPORTANT: Steps 4-6 must be completed individually for the Equipment Inventory spreadsheet.

8. Click on "Authorized Agent" tab. Select "Cash Request" macro button.

9. Enter expenditure period; email workbook to your program representative for preview/approval of all tabs before you date, print name and sign the authorized agent tab.

10. Mail transaction spreadsheets to the Cal OES program representative.

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Cash ADVANCE Process (1 of 2)

Equipment obtained with the advance funds **must** be installed and the vendor/s paid within 90 days of receiving the advance check from Cal OES. Unspent advance funds must be refunded to Cal OES at the end of the 90 day advance expenditure period.

Subrecipient enters new equipment data into Equipment Inventory spreadsheet and submits updated Workbook to Cal OES via email for preview/approval before hard copies are mailed in.

Subrecipient obtains copies of the payment checks (front and back) from nonprofit’s bank. These will be emailed to your program representative and the updated equipment roster.

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Cash ADVANCE Process (2 of 2)

You will not be able to receive a Cash Request or another Cash Advance until you fulfill these requirements.

The **Final** Cash Advance for the FY 2017 NSGP must be approved by your Program Representative and the hard copy postmarked by:

<u>December 31, 2019</u>

After that date only Cash Requests (Reimbursements) will be processed.

Cash REIMBURSEMENT Process (1 of 3)

1. Open a separate bank account to receive grant payments.

2. You must obtain a minimum of 2 bids for each approved project.

3. You must have signed contract with the Vendor completing the work.

4. Subrecipient enters new equipment data into Equipment Inventory spreadsheet and submits FMFW reimbursement request to Cal OES via email for preview/approval before hard copies are printed and mailed in.

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Cash REIMBURSEMENT Process (2 of 3)

6. Obtain copies of the processed checks (front and back) from your bank. They will be mailed to your Cal OES program representative approved equipment roster.

7. Program representative receives your cash transaction documents, verifies for accuracy and completeness, then submits to Grants Processing.

8. The Grants Processing Unit rechecks the submission, verifies the authorized agent information, checks the 'wet, blue-ink' signatures, then forwards the request to the Accounting Unit. From there, it goes to the State Controller for issuance of payment.

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Cash REIMBURSEMENT Process (3 of 3)

9. Program representative receives your cash transaction documents, verifies for accuracy and completeness, then submits to Grants Processing.

10. The Grants Processing Unit rechecks the submission, verifies the authorized agent information, checks the 'wet, blue-ink' signatures, then forwards the request to the Accounting Unit. From there, it goes to the State Controller for issuance of payment.

Average processing time to receive a grant payment is two months. Expect delays during fiscal year closeout period (June/July).

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Vendor Licensing

The State of California, Contractor's State License Board requires that anyone charging $500 or more to perform construction work must be licensed. In accordance with CA Business and Professions Code Division 3, Chapter 9, Article 3, Exemption 7048.

- Make sure your contractor possesses the correct license certification (is qualified to install your equipment).
- Alarm installers are licensed through the Bureau of Security & Investigative Services.

Contractors are required to place their license number on business cards, bids, and contracts.

Licensing information and status can be verified at: The Department of Consumer Affairs: Contractors State License Board

Procurement Requirements (1 of 6)

For **<u>Procurements less than $100,000</u>**

Follow your own <u>*written*</u> procurement policies or the State's, whichever is more restrictive.

http://www.dgs.ca.gov/pd/Resources.aspx

If you follow your policies, they must meet the following minimum requirements: Obtain a minimum of 2 written (signed and dated) bids from vendors.

Keep a written record of the following: WHO you contacted, WHEN you contacted them, WHAT prices were quoted, WHY you selected the vendor.

The records must include the bid from the vendor you chose.

Procurement Requirements (2 of 6)

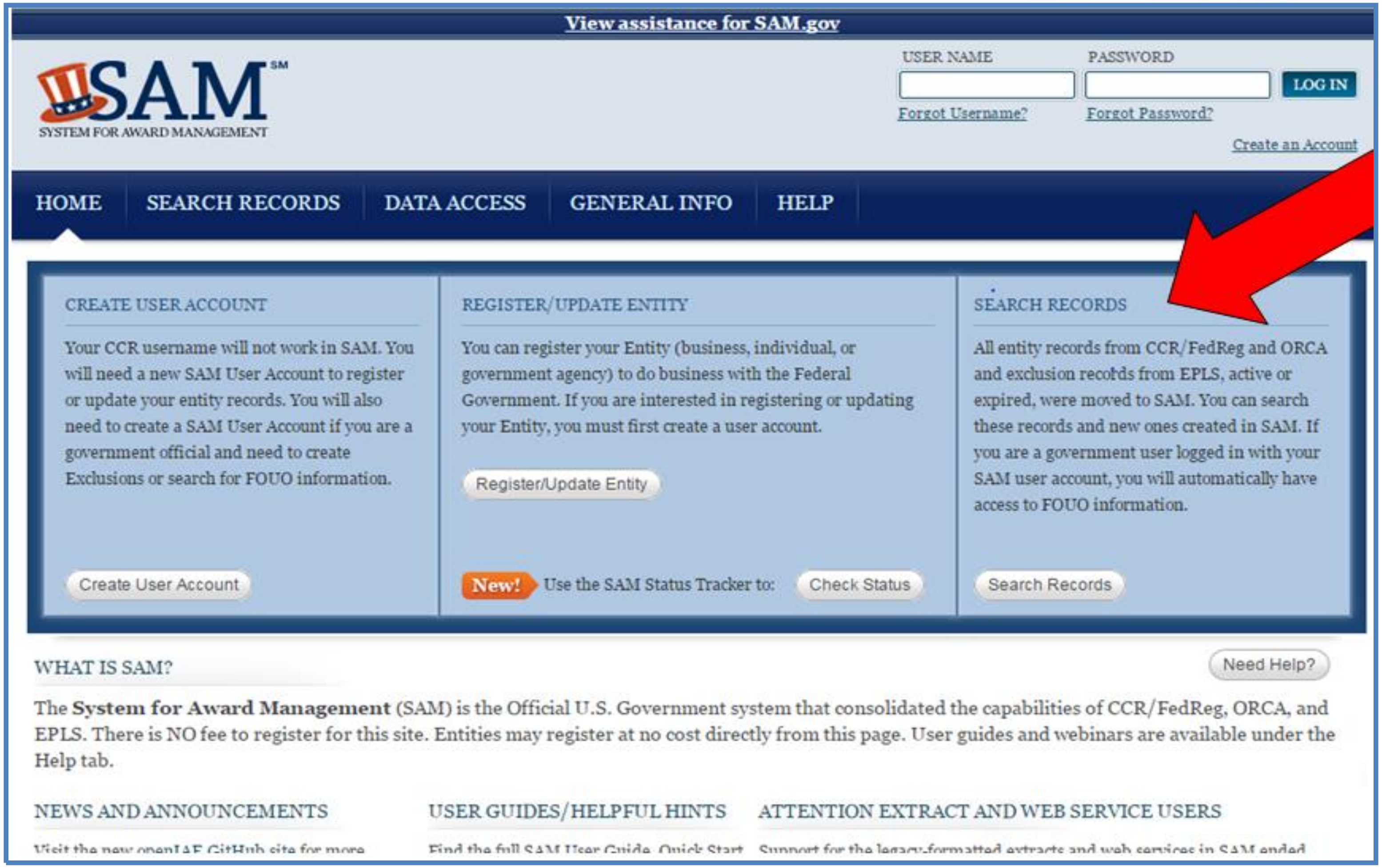
For **<u>Procurements Greater than $25,000</u>**

You <u>must</u> verify that the vendor is not suspended or debarred from participating in federal grant awards - <u>*prior*</u> to making a purchase or entering into a contract for services. It is strongly recommended that you use licensed contractors.

Visit the Federal Excluded Parties List System, under the System for Award Management. Enter the vendor's name and federal identification number (or individual's social security number).

Download a screen shot that shows the result "No Records Found" and place it in your grant binder.

Procurement Requirements (3 of 6)



Procurement Requirements (4 of 6)

Search Records

Looking for entity registration records or entity exclusion records in SAM?
* Use **Quick Search** if you know an entity's Business Name, DUNS number or CAGE code.
* Use **Advanced Search** to structure your search using multiple categories and criteria.

Are you a Federal government employee?
* Create a SAM user account with your government e-mail address and log into SAM before searching to see FOUO information and registrants who chose to opt out of the public search.

Conducting small business-focused market research?
* In addition to what is contained in SAM, small businesses may supplement information about themselves in the SBA's Dynamic Small Business Search.

Trying to find a contractor participating in the Disaster Response Registry?
* Use the new **Disaster Response Registry Search** to search for contractors willing to provide debris removal, distribution of supplies, reconstruction, and other disaster or emergency relief services in the event of a national disaster.

QUICK SEARCH:

WILE E COYOTE SECURITY EQUIPMENT

(Example of search term includes the entity's name, etc.)

DUNS Number Search: Enter DUNS number ONLY

CAGE Code Search: Enter CAGE code ONLY

SEARCH   Need Help?

ADVANCED SEARCH:
Use specific criteria in multiple categories to structure your search.

ADVANCED SEARCH - ENTITY

ADVANCED SEARCH - EXCLUSION

DISASTER RESPONSE REGISTRY SEARCH

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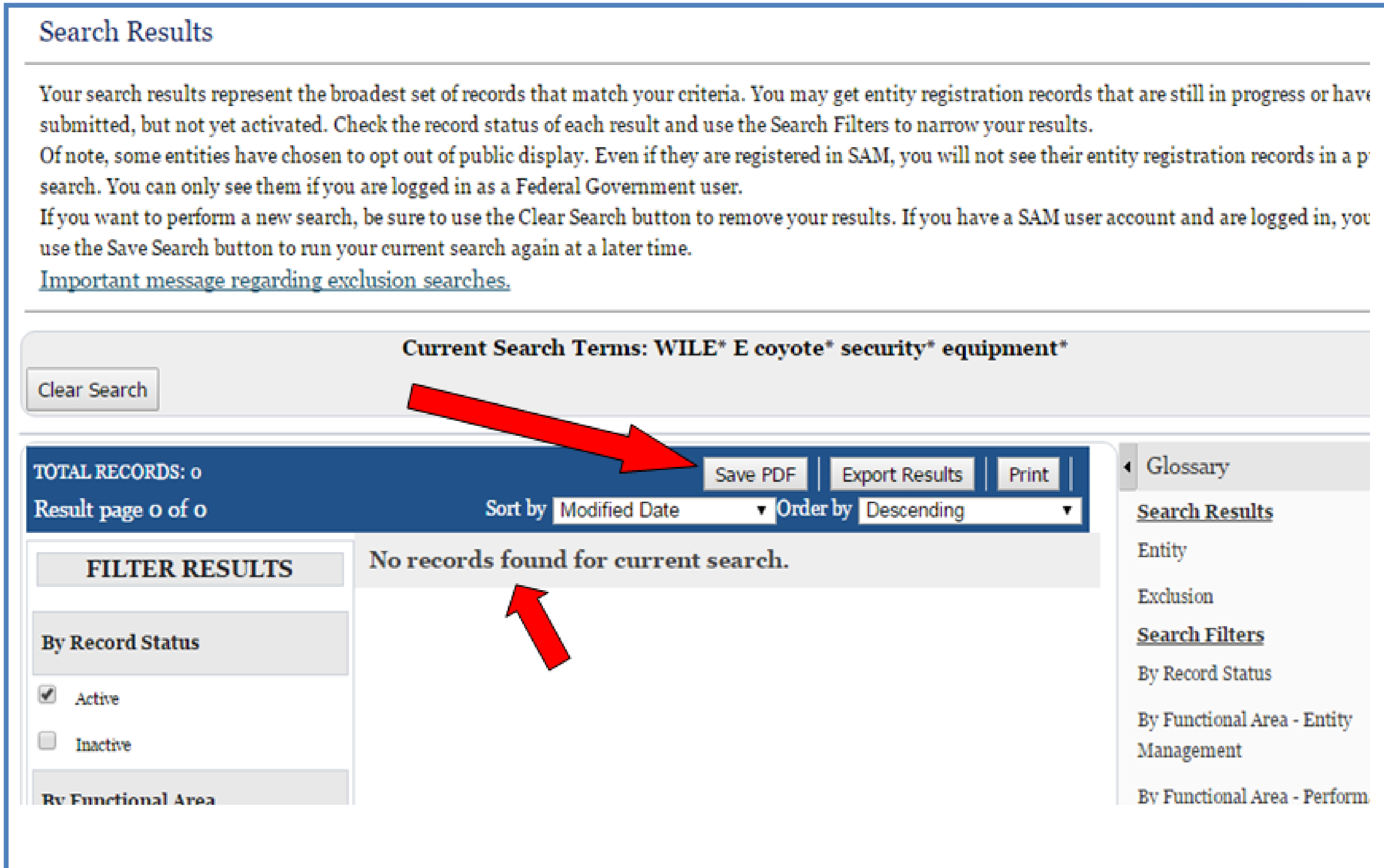
Procurement Requirements (5 of 6)



Procurement Requirements (6 of 6)

SAM Search Results
List of records matching your search for :

Search Term : WILE* E COYOTE* SECURITY* EQUIPMENT*
Record Status: Active

No Search Results

Place these print-outs in your grant binder.

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Sample Bid/Invoice

Company Name **License# 1234567** Your Logo Here

[Your Company Name]
[Street Address]
[City, ST ZIP Code]
[Phone]
Fax [000-000-0000]
[E-mail address]

TO [Name]
[Company Name]
[Street Address]
[City, ST ZIP Code]
[Phone]
Customer ID [ABC12345]

SALESPERSON	JOB	SHIPPING METHOD	SHIPPING TERMS	DELIVERY DATE	PAYMENT TERMS	DUE DATE
John A. Doe	Contractor	Delivery	N/A	June 15, 2017	Due on receipt	June 20,2017

QTY	ITEM #	DESCRIPTION	UNIT PRICE	DISCOUNT	LINE TOTAL
7	1000009	Sony DX25 Camera	$109.00	$0.00	$763.00
1	1000006	Sony HD45 2TB HardDrive	$89.00	$0.00	$89.00
1	1000011	Sony D320 DVR	$240.00	$0.00	$240.00
3	1000007	Sony LX240, 24in HD Monitor	$125.00	$0.00	$375.00
1	1000008	RG58 C/U Coaxial Cable, Std 1000ft Roll	$300.00	$0.00	$300.00
1	1000005	Installation	$1,500.00	$0.00	$1,500.00
			TOTAL DISCOUNT	0.00	
				SUBTOTAL	$3,267.00
				SALES TAX	$285.86
				TOTAL	$3,552.86

Quotation prepared by: John A. Doe

This is a quotation on the goods named, subject to the conditions noted below: (Describe any conditions pertaining to these prices and any additional terms of the agreement. You may want to include contingencies that will affect the quotation.)

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Estimate/Invoice Requirements

Must include the following:

- Contractor/Service Providers License Number
- Invoice/Estimate Number
- **Make** - (manufacturer/brand name)
- **Model** - (manufacturer's model name and number)
- **Quantity** - (amount purchased)
- **Unit Cost** – (dollar amount per item)
- Signature of Preparer/Representative of the Contractor/Service Provider
- Any Miscellaneous/installation equipment should be listed separately and include the details of what is included
- Labor/installation cost should be listed separately
- State/Local taxes should be listed separately

Bids/Invoices must be issued by the vendor who installed the equipment or performed the service. Bids/Invoices may not be created by the Subrecipient or Representatives of the Subrecipient.

Competition (1 of 2)

In Accordance with 2 CFR §200.319 Competition.

(a) All procurement transactions must be conducted in a manner providing full and open competition consistent with the standards of this section. Some of the situations considered to be restrictive of competition include but are not limited to:

(1) Placing unreasonable requirements on firms in order for them to qualify to do business;

(2) Requiring unnecessary experience and excessive bonding;

(3) Noncompetitive pricing practices between firms or between affiliated companies;

(4) Noncompetitive contracts to consultants that are on retainer contracts;

Competition (2 of 2)

(5) Organizational conflicts of interest;

(6) Specifying only a “brand name” product instead of allowing “an equal” product to be offered and describing the performance or other relevant requirements of the procurement; and

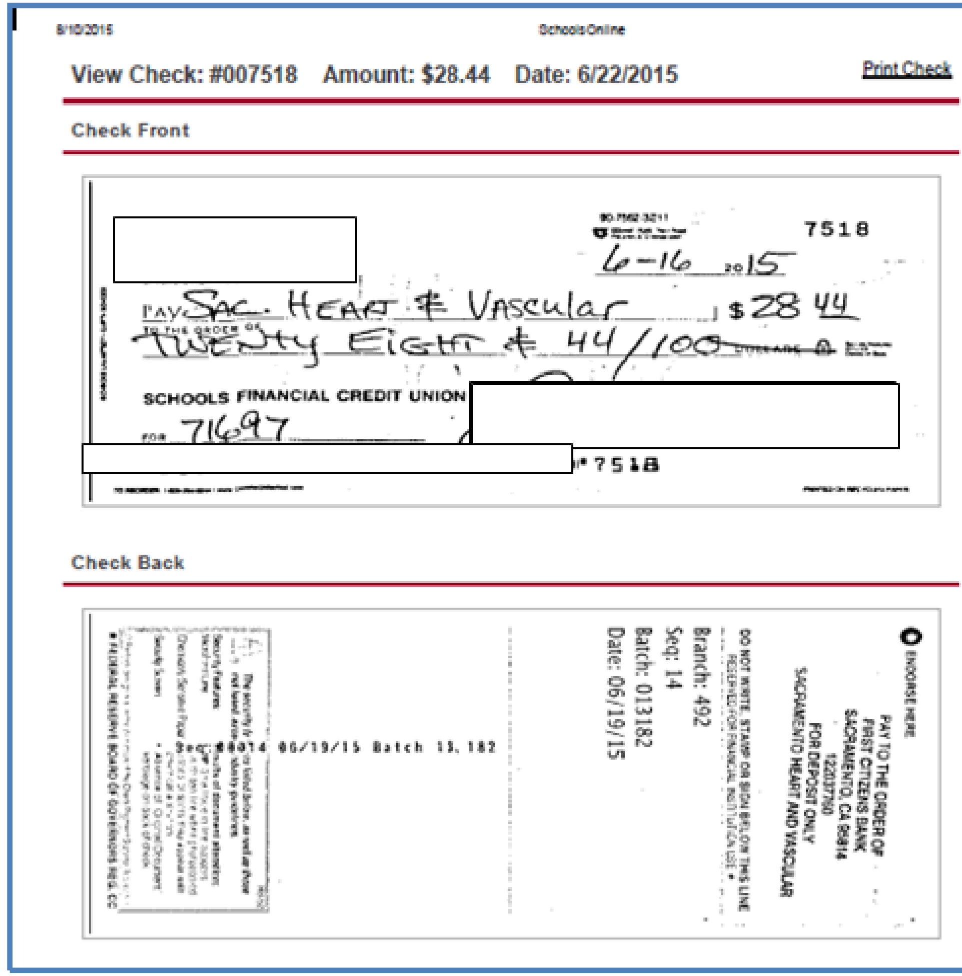
(7) Any arbitrary action in the procurement process.

Micro Purchase (2 CFR §200.67) – does not exceed $3,000, may be used without soliciting competitive quotes, and must be distributed equitably among qualified suppliers.

Small Purchase – does not exceed $150,000 and requires obtaining price or rate quotations from an adequate number of qualified sources.

Proof of Payment

- Large enough to read
- Bank Names
- Routing Dates
- Routing Sequence
- Routing Batch
- “For”= Invoice #
- Vendor Endorsement
- Credit/Debit charges must be supported by transaction slip or bank statement.



Modification of the FMFW

Modifications are used for budget or scope-of-work changes.

- Adding or eliminating equipment found in the Investment Justification (IJ) must be requested in writing. Request should be on nonprofit letterhead, and bear original, wet/blue ink, authorized agent signature.
- Cal OES will preview the request and forward it to FEMA for approval.
- Your modification may require submission of a revised EHP screening.
- You **must** receive written approval **before** implementing the budget or scope-of-work changes.
- Work with your program representative to make the necessary changes to the Workbook.

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Accountability Requirements

- Suspension or Termination
- Noncompliance
- Biannual Strategy Implementation Report
- Recordkeeping Rules
- Equipment Tracking
- Equipment Disposition regulations
- Semi-Annual Drawdown Requirements
- Grants Monitor Review
- Subrecipient Changes

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Suspension or Termination

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

- Failing to expend funds in a timely manner consistent with the grant milestones, guidance, and assurances.
- Failing to comply with the requirements or statutory objectives of federal or state law.
- Failing to make satisfactory progress toward the goals or objectives set forth in the subrecipient 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.
- Failing to submit required reports.
- Filing a false certification in the application or other report or document.

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Noncompliance

- In accordance with [2 CFR § 200.338](2 CFR § 200.338) Remedies for noncompliance, the state could;
  - Impose additional conditions if the subrecipient fails to comply with federal statutes,
  - Temporarily withhold cash payments until deficiencies are resolved,
  - Disallow (deny) funds for all or part of the activity or action not in compliance,
  - Wholly or partly suspend or terminate the federal award,
  - Initiate disbarment proceedings with the federal awarding agency,

The federal awarding agency could withhold further federal awards or take other remedies that may be legally available.

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Biannual Strategy Implementation Reports (BSIR) via the Grant Reporting Tool (GRT)

- Each Subrecipient must submit the BSIR report twice a year until notified. (Usually after all U.S. audits of the program are satisfied and the Federal Government closes the grant).
- Accessible here at https://www.reporting.odp.dhs.gov/
- You must participate in BSIR training which is held by Cal OES Grants Processing before each BSIR period begins.
- If you do not submit your reports you may jeopardize your current and possible future funding.
- You are required to report beginning when you receive your official Project Award letter.
- The GRT is only available for approximately one month during each of the reporting periods; usually in January and July. **Timely submission is a must.**

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Equipment Tracking

In accordance with 2 CFR §200.313 Equipment, you must keep an inventory control system for all equipment as well as all supporting documentation; bids, contracts, invoices, software licenses and payment records.

Conduct and document a physical inventory once every 2 year

Equipment inventory records should contain all of the following;

- Equipment Description
- Equipment Condition
- Equipment Location
- Equipment ID Number
- Disposition data/sales price (if applicable)
- AEL #s and Titles
- Vendor Identification
- Equipment Cost
- Acquisition Date
- Title/Title Holder

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Recordkeeping (1 of 2)

You must track grant expenditures and equipment in both, your organization's General Ledger/Chart of Accounts, and in a grant folder/binder. You must keep the following:

- Copies of the federal Notice of Funding Opportunity announcement
- The Investment Justification
- The State of California's grant guidance
- Official letters; Subrecipient award letters, EHP approval letter, and all Cal OES transmittals of information
- Copies of the required application documents submitted to Cal OES
- Copies of the EHP submissions
- Copies of each transaction, such as modifications and cash requests
- All other correspondence and official announcements

You must keep, and make available for inspection: all receipts, invoices, contracts, bids/quotes - all grant-related documents – during the performance period and for a period of 3 years after the close of the grant.

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Recordkeeping (2 of 2)

- The records retention period is three years from the date of the subrecipient's final BSIR submittal showing all grant funds have been expended.
- The Cal OES Grant Closeout Letter will notify the subrecipient:
- Of the start of the records retention period for all programmatic and financial grant-related records.
- If the SAA award remains open after the subrecipient's submission of the final BSIR, Cal OES will complete any additional BSIR reporting required under the award on behalf of the subrecipient.
- Closed grants may still be monitored and audited. Failure to maintain all grant records for the required retention period could result in a reduction of grant funds, and an invoice to return costs associated with the unsupported activities.

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Equipment Disposition

In accordance with 2 CFR § 200.313 Equipment, certain conditions must be met as part of the procurement, usage, and disposal of equipment purchased with federal funds;

- Equipment purchased with federal funds must only be used for the program or project it was acquired through.
- If equipment is to be replaced the subrecipient may use the previously purchased equipment as trade-in or sell the property and use the proceeds towards the replacement equipment,
- Must maintain property records to include serial numbers, source of funding, acquisition date, property owner, and disposition including dates of disposal or sale prices.
- Subrecipient must ensure appropriate safeguards exist to prevent loss, damage, or theft.

Grant Monitor Review

Cal OES reviews all subrecipients who received grant awards.

Cal OES Monitors may…

- ask you to respond to a questionnaire that pertains to your management of grant expenditures.
- ask for pictures and documentation supporting your grant expenditures.
- schedule one or more on-site field visits. Staff will contact you to set up a date for a field review, usually 30 days prior to the visit.
- send a Payment Review Notification Letter with a list of all documents you are required to submit.

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Semi-Annual Drawdown Requirements

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

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

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Close-out Instructions

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

- Receiving the subrecipient's Final Reimbursement Request;
- Completing a review to confirm the accuracy of reported information;
- Reconciling actual costs to subawards, modifications and payments.
- Verifying the subrecipient has submitted a final BSIR showing all grant funds have been expended.

If the closeout review and reconciliation indicates that the subrecipient:

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

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Subrecipient Changes

As of September 1, 2017, in accordance with 2 CFR §200.308 - Revision of budget and program plans;

- Any changes in key grant administration personnel needs to be communicated to Cal OES
- Change in the scope or the objective of the project or program (even if there is no associated budget revision requiring prior written approval)

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Useful Links

- Authorized Equipment List – https://www.fema.gov/authorized-equipment-list
- Bureau of Security & Investigative Services – http://www.bsis.ca.gov/
- Cal OES Grants Management Documents – http://www.calema.ca.gov/cal-oes-divisions/grants-management/homeland-security-prop-1b-grant-programs/infrastructure-protection-grants
- Department of Consumer Affairs, Contractors State License Board – http://www.cslb.ca.gov/Consumers/Hire_A_Contractor/Contracts_And_Binding_Agreements.aspx
- EHP Guidance – https://www.fema.gov/environmental-planning-and-historic-preservation-compliance
- FEMA UASI/NSGP Grant Documents – https://www.fema.gov/preparedness-non-disaster-grants
- Financial Management Forms Workbook (FMFW) – http://www.caloes.ca.gov/for-governments-tribal/grants-funding/grants-processing-programs/homeland-security-grants-processing
- National Historic Preservation Act – https://www.nps.gov/history/local-law/nhpa1966.htm
- System for Award Management (SAM) – https://www.sam.gov/portal/SAM/
- Title 2, Code of Federal Regulations, Part 200 – https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=1b5adf78f1d2fd3908a0800c713e22bf&mc=true&n=pt2.1.200&r=PART&ty=HTML

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Questions?

Web: http://www.caloes.ca.gov/cal-oes-divisions/grants-management/homeland-security-prop-1b-grant-programs/infrastructure-protection-grants

REQUIRED DOCUMENTS DUE 45 DAYS AFTER YOUR ORGANIZATION RECIEVES AN AWARD LETTER

IPGU Main Line	916-845-8410	NonProfit.Security.Grant@CalOES.ca.gov

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