



FY 2023 California State Nonprofit Security Grant Program (CSNSGP) Required Documents Webinars

Cal OES Infrastructure Protection Grant Unit II

Please Mute Your Audio For The Presentation

Agenda



- Infrastructure Protection Grants Unit II Overview
- Subaward Letters
- Required Documents
- Procurement Requirements
- Allowable vs Unallowable
- State Grants Workbook
- Payment Process and Modification
- Accountability Requirements
- State Grants Workbook Demonstration
- Closing

Infrastructure Protection Grants Unit II (IPGU II)



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The Infrastructure Protection Grants Unit II (IPGU) is responsible for management of the California State Nonprofit Security Grant Program (CSNSGP).

IPGU II Contacts:

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Subaward letters are issued for each of **two phases** in the application process.

Phase I: NOTIFICATION OF SUBRECIPIENT SUBAWARD APPROVAL

- Funding Amount
- Subaward Number
- Subrecipient Period of Performance
- Additional Application Requirements
- Reporting Requirements
- Cal OES Contact Information
- **The Authorized Agent must sign the bottom of the letter and retain a copy for their record. The signed letter must be returned to Cal OES within twenty (20) calendar days of the date of the letter.**

Phase II: NOTIFICATION OF APPLICATION APPROVAL

- Issued when all **Required Documents** have been submitted and approved by Cal OES.
- Cash Requests may be requested after receiving this letter.

Required Documents



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1. Payee Data Record (STD 204)
2. 501(c)(3) Certification
3. Governing Body Resolution
4. Standard Assurances
5. State Grant Program Standard Assurances Addendum
6. Subrecipient Grant Management Assessment Form
7. State Grants Workbook

All Required Documents must be received and approved by Cal OES before reimbursement of eligible subaward expenditures may be requested using the Cal OES State Grants Workbook.

All required documents MUST be validated with Program Representative approval no later than August 9, 2024.

Please submit all completed Required Documents via email to your Program Representative By **August 23, 2024.**

1) Payee Data Record/STD 204



- Required when receiving payment from the State of California in lieu of IRS W-9.
- Available for download [here](#).
- Required for all non-governmental entities and will be kept and filed within Cal OES.
- Section 6 information:
 - Cal OES
 - Infrastructure Protection Grants Unit II
 - 3650 Schriever Avenue
 - Mather, CA 95655

1) Payee Data Record/STD 204



The **Correct Name** as stated on the Federal Employer Identification Number (FEIN) or 501c3 letter must be listed identically on each Required Document that is submitted to Cal OES.

- Subrecipients must verify that the name and address listed on the STD 204 is **identical** with how the organization is registered with the Franchise Tax Board (FTB), Secretary of State (SOS), Internal Revenue Service's Federal Employer Identification Number (FEIN), and the Department of Justice (DOJ) (as required.)
- It is the Subrecipient's responsibility to ensure that the **name** and **address** are consistent between the STD 204, FTB, DOJ, and SOS.
- All changes to an organization's name and/or address must be provided to Cal OES in writing and must include an updated STD 204.

1) Payee Data Record/STD 204



The **Correct Name** must be listed **identically** on each Required Document that is submitted to Cal OES and match the organization's record with:

- **Internal Revenue Service (IRS):** Organizations will be looked up by their Employer Identification number and the record checked to ensure that the information matches submitted name and address exactly. To check on your organization, please visit:
 - <https://apps.irs.gov/app/eos/>
- **California Secretary of State (SOS):** Organizations will be looked up and the record checked to ensure that the information matches submitted information exactly. To check on your organization, please visit:
 - <https://bizfileonline.sos.ca.gov/search/business>

1) Payee Data Record/STD 204



The **Correct Name** must be listed **identically** on each Required Document that is submitted to Cal OES and match the organization's record with:

- **Franchise Tax Board (FTB):** Organizations will be looked up and any records found checked to ensure that the information matches submitted name and address exactly. To check on your organization, please visit:
 - <https://webapp.ftb.ca.gov/eletter/?Submit=Check+Status>
- **California Department of Justice (DOJ):** Organizations are required to comply with registration rules as they apply to their nonprofit type. Organizations will be looked up and any records found checked to ensure that the information matches submitted name and address exactly. To check on your organization, please visit:
 - <http://rct.doj.ca.gov/Verification/Web/Search.aspx?facility=Y>

1) Payee Data Record/STD 204



Print Form

Reset Form

STATE OF CALIFORNIA – DEPARTMENT OF FINANCE

PAYEE DATA RECORD

(Required when receiving payment from the State of California in lieu of IRS W-9 or W-7)

STD 204 (Rev. 03/2021)

EXAMPLE

Section 1 – Payee Information

NAME (This is required. Do not leave this line blank. Must match the payee's federal tax return)

BUSINESS NAME, DBA NAME or DISREGARDED SINGLE MEMBER LLC NAME (If different from above)

MAILING ADDRESS (number, street, apt. or suite no.) (See instructions on Page 2)

CITY, STATE, ZIP CODE

E-MAIL ADDRESS

Section 2 – Entity Type

Check one (1) box only that matches the entity type of the Payee listed in Section 1 above. (See instructions on page 2)

☐ **SOLE PROPRIETOR / INDIVIDUAL**

☐ **SINGLE MEMBER LLC** *Disregarded Entity owned by an individual*

☐ **PARTNERSHIP**

☐ **ESTATE OR TRUST**

☐ **CORPORATION** (see instructions on page 2)

☐ **MEDICAL** (e.g., dentistry, chiropractic, etc.)

☐ **LEGAL** (e.g., attorney services)

☐ **EXEMPT** (e.g., nonprofit)

☐ **ALL OTHERS**

Section 3 – Tax Identification Number

Enter your Tax Identification Number (TIN) in the appropriate box. The TIN must **match** the name given in Section 1 of this form. Do not provide more than one (1) TIN. The TIN is a 9-digit number. **Note:** Payment will not be processed without a TIN.

- For **Individuals**, enter SSN.
- If you are a **Resident Alien**, and you do not have and are not eligible to get an SSN, enter your ITIN.
- Grantor Trusts (such as a Revocable Living Trust while the grantors are alive) may not have a separate FEIN. Those trusts must enter the individual grantor's SSN.
- For **Sole Proprietor or Single Member LLC (disregarded entity)**, in which the **sole member is an individual**, enter SSN (ITIN if applicable) or FEIN (FTB prefers SSN).
- For **Single Member LLC (disregarded entity)**, in which the **sole member is a business entity**, enter the owner entity's FEIN. Do not use the disregarded

**Social Security Number (SSN) or
Individual Tax Identification Number (ITIN)**

OR

**Federal Employer Identification Number
(FEIN)**

2) 501(c)(3) Certification



The [501\(c\)\(3\) Certification](#) form requests Subrecipients to certify and acknowledge if they are required by the Internal Revenue Service to have a 501(c)(3) Determination Letter. Religious organizations should mark the 2nd paragraph box, because they do not need a 501(c)(3) Determination Letter.

GAVIN NEWSOM
GOVERNOR

EXAMPLE



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NANCY WARD
DIRECTOR

501(c)(3) Certification

☐ I certify that my organization is required to apply for and receive recognition of exemption under 501(c)(3) as required by the Internal Revenue Service. Attached is a copy of my organization's 501(c)(3) Determination Letter

☐ I certify that my organization is not required to apply for and receive recognition of exemption under 501(c)(3) as required by the Internal Revenue Service.

3) Governing Body Resolution



The [Governing Body Resolution](#) is 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. Cal OES encourages Subrecipients to use the GBR template posted on our website.

When submitting the GBR on a different form other than the Cal OES GBR Form, the requirements are:

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

Note: The Authorized Agent(s) indicated on this form cannot vote or appoint themselves, and whomever is appointed cannot certify the vote or Sign the Governing Body Resolution.

3) Governing Body Resolution



Governing Body Resolution

BE IT RESOLVED BY THE _____
(Governing Body)

OF THE _____ THAT
(Name of Applicant)

_____, OR
(Name or Title of Authorized Agent)

_____, OR
(Name or Title of Authorized Agent)

(Name or Title of Authorized Agent)

is hereby authorized to execute for and on behalf of the named Applicant, a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining state financial assistance provided by the State of California for the following Grant Award:

FY 2023 California State Nonprofit Security Grant Program
(List Grant Year and Program)

Passed and approved this _____ day of _____, 20 _____

Certification

I, _____, duly appointed and
(Name)

(Title) Of the _____
(Governing Body)

do hereby certify that the above is a true and correct copy of a resolution passed and approved by the _____
_____ day of _____, 20 _____

(Official Position)

(Signature)

(Date)

4) Standard Assurances



The [Standard Assurances](#) lists the requirements to which the Subrecipients will be held accountable. All Applicants will be required to submit a signed copy of the FY 2023 Standard Assurances as part of their FY 2023 CSNSGP Required Documents.

NOTE: Self-created Standard Assurances will not be accepted. No changes or alterations to this document are allowed. This is non-negotiable.

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

4) Standard Assurances



EXAMPLE



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State Grant Program Standard Assurances

As the duly authorized representative of the Applicant, I hereby certify that the Applicant has the legal authority to apply for State assistance and the institutional, managerial and financial capability to ensure proper planning, management, and completion of the project described in this application, within prescribed timelines.

I further acknowledge that the Applicant is responsible for reviewing and adhering to all requirements within:

- (a) Applicable Federal Regulations (see below);
- (b) State programmatic and financial guidelines stipulated by Cal OES;
- (c) California State Nonprofit Security Grant Program Guidance; and
- (d) Federal and State Grant Program Guidelines.

Federal Regulations

Government cost principles, uniform administrative requirements, and audit requirements for federal grant programs are set forth in Title 2, Part 200 of the Code of Federal Regulations (C.F.R.). Updates are issued by the Office of Management and Budget (OMB) and can be found at <http://www.whitehouse.gov/omb/>.

In the event Cal OES determines that changes are necessary to the subaward after a subaward has been made, including changes to period of performance or terms and conditions, Applicants will be notified of the changes in writing. Once notification has been made, any subsequent request for funds will indicate Applicant acceptance of the changes to the subaward.

State award requirements are set forth below. The Applicant hereby agrees to comply with the following:

5) State Grant Program Standard Assurances Addendum



The Program [Standard Assurances Addendum](#) lists additional requirements to which the Subrecipients will be held accountable. All Subrecipients will be required to submit a signed Program Standard Assurances Addendum as part of the FY 2023 CSNSGP application.

5) State Grant Program Standard Assurances Addendum



EXAMPLE



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Program Standard Assurances Addendum

As the duly authorized representative of the Applicant/Subrecipient, I hereby certify that the Applicant/Subrecipient, and any of its second-tier subrecipients or representatives, will comply with all applicable local, state, and federal statutes, including but not limited to the following state and federal statutes prohibiting hate-based conduct:

- (a) California Penal Code section 422.6(a);
- (b) California Penal Code section 404.6;
- (c) California Penal Code section 422(a);
- (d) California Civil Code section 52.1;
- (e) 18 U.S.C. § 249;
- (f) 42 U.S.C. § 3631;
- (g) 18 U.S.C. § 247; and
- (h) 18 U.S.C. § 241, 245.

Additionally, Applicant/Subrecipient will not engage, and certifies that it will take steps to ensure that its second-tier subrecipients and representatives do not engage, in conduct contrary to the purposes of the grant program and/or that threatens the safety and security of Californians, including, but not limited to, acts of violence or unlawful intimidation on the basis of race, gender, religion, national origin, sexual orientation, or other protected classifications. Prohibited conduct includes, but is not limited to, violation of the federal and state laws identified herein.

The undersigned represents that he/she is authorized to enter into this Addendum for and on behalf of the Applicant/Subrecipient. Applicant/Subrecipient understands that failure to comply with this Addendum or any of the assurances may result in suspension, termination, reduction, or de-obligation of funding. Applicant/Subrecipient agrees to repay funds in the event there is a violation of grant assurances.

6) Subrecipient Grants Management Assessment



- Cal OES is required to evaluate the risk of noncompliance with state statutes, regulations, and grant terms and conditions posed by each Subrecipient of pass-through funding.
- [Subrecipient Grants Management Assessment Form](#) is 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**

6) Subrecipient Grants Management Assessment



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

EXAMPLE

| | | |
|--|---|----------------------------|
| Subrecipient Name: | DUNS #: | FIPS #: |
| Grant Disaster/Program Title: | | |
| Performance Period: | to | Subaward Amount Requested: |
| Type of Non-Federal Entity (Check Box) | <input type="checkbox"/> State Gov. <input type="checkbox"/> Local Gov. <input type="checkbox"/> JPA <input type="checkbox"/> Non-Profit <input type="checkbox"/> 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 |

7) State Grants Workbook



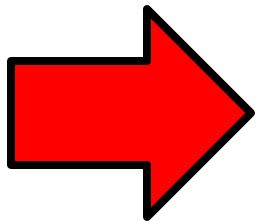
- The State Grants Workbook is:
 - The central accounting workbook that is a complete record of your project activities.
 - A living document where spreadsheets are added for each new transaction, such as cash requests or modifications.
- You can print individual sheets or your entire workbook.
- It has built-in equations and drop-down menus that must not be altered. It is to be sent to Cal OES representatives as an email attachment and once approved, printed, signed, and **emailed** to your Program Representative. **Hard copies are not accepted.**

The [FY 2023 Cal OES State Grants Workbook](#) will be provided by your Program Representative.

In accordance with [2 C.F.R. § 200.319](#), all procurement transactions must be conducted in a manner providing full and open competition consistent with the standards of this section.

Procurement Methods Grouped into 3 Categories

CSNSGP award amounts qualify under Informal Procurements



Informal
CFR 200.320(a)

- Micro-Purchases
- Small Purchases

Formal
CFR 200.320(b)

- Sealed Bids
- Competitive Proposals

Non-Competitive
CFR 200.320(c)

- Non-Competitive Proposals



Informal

[2 C.F.R. § 200.320\(a\)](#)

- Micro-Purchases
- Small Purchases

| Micro Purchases § 200.320(a)(1) | Small Purchases § 200.320(a)(2) |
|---|--|
| <ul style="list-style-type: none">• Purchases up to \$10,000• Price/Rate Quotations Not Required | <ul style="list-style-type: none">• Purchases \$10,001 to \$250,000• 3 Price/Rate Quotations is <u>Best Practice</u> |
| <ul style="list-style-type: none">• Reasonableness of Price/Rate must be documented <p>Reasonableness can be determined by research, experience, purchase history or other information</p> | <ul style="list-style-type: none">• Maintain all procurement records, these include but are not limited to: WHO – List of vendors WHEN – Dates WHAT – Quotes received WHY – Reason for selection of vendor |



- All procurement activities must be conducted using written procedures that comply with 2 C.F.R. §200.318 – 200.327
- If there is any conflict between the procurement procedures used and the Federal procurement standards, you **must follow the more restrictive provision**
- Procurement procedures must meet the minimum requirements of:
 - Procedures must be documented
 - Price/Rate quotations from an adequate number of qualified sources for procurements over \$10,000 (or a lower threshold as set in the procedures being used – whichever is more restrictive)
 - Retention of all procurement records



For **Procurements Greater than \$25,000**

You must verify that the vendor is not suspended or debarred from participating in federal grant awards - prior 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 screenshot that shows the result "No Records Found" and place it in your grant binder.



Contract Provisions

- Contracts must contain the applicable provisions described in [Appendix II to Part 200 of the CFR](#)
- [Contract Provisions Guide](#)
 - This document helps recipients and Subrecipients understand which clauses are required for their contracts and includes sample language for those clauses.

Written Standards of Conduct and Procurement



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It is required that each Subrecipient have written standards of conduct covering conflicts of interest in procurements and contracting, [Title 2 CFR §200.318 \(c\)\(1\)](#) The non-Federal entity must maintain written standards of conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award and administration of the contract.

No employee, officer, or agent may participate in the selection, award, or administration of a project supported by a Federal award if he or she has a real or apparent conflict of interest. The standards of conduct must provide for disciplinary actions to be applied for violation of such standards by offers, employees, or agents of the non-Federal entity. Please see Title 2 CFR, Part 200 for the full language of the requirement.

Conflict of Interest



In accordance with [2 C.F.R. § 200.112](#), in order to eliminate and reduce the impact of conflicts of interest in the Subaward process, recipients and pass-through entities must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making Subawards.

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

- The Conflict of Interest policy must include any disciplinary actions for violations.
- Per federal regulations found in [CFR 200.318\(c\)](#), the standard of conducts covering conflict of interest must include disciplinary actions for noncompliance.



Allowable Costs Categories must correspond to what your organization requested in your Proposal Application.

- Equipment
 - Maintenance and Sustainment
- Contracted Security Personnel
- Management and Administration (M&A)
- Planning
- Training
- Construction and Renovation

Allowable Costs: Equipment



Equipment is limited to what was requested in the Application. However, these projects may require adjustments or be removed altogether in order to be in alignment with the policies of the CSNSGP. Being awarded does not mean all the projects listed in the Application were allowable under the grant program.

If purchasing maintenance agreement/service contract/extended warranty for equipment not purchased with the grant funding, it must not extend beyond the performance period of the grant.

However, if maintenance agreement/service contract/extended warranty is purchased incidental (i.e. at the same time under the same grant award) to the original purchase of the system or equipment, Subrecipients may procure maintenance or warranty coverage which exceeds the period of performance only if that is the single option available from the vendor.

Equipment costs are accounted for on the **Equipment Tab** of the Workbook.



Contracted security personnel are allowed under this program only as described in the FY 2023 CSNSGP Request for Proposal (RFP) and Guidance.

- Funds may not be used to purchase equipment for contracted security.
- Virtual monitoring or professional 24/7 monitoring by security system companies are not considered contracted security personnel.
- Funds may be used for contracted security personnel, totaling no greater than 50% of the total award.
- The Subrecipient must be able to sustain this capability in future years without CSNSGP funding.
- Funds may not be used to pay individuals who are not licensed security professionals.

Contracted Security Personnel costs are accounted for on the **Operational Tab** of the Workbook.

Allowable Cost: M&A



Subrecipients may use up to 5% of the amount awarded to them solely for Management and Administration (M&A) purposes associated with the award if that was requested at the time of application.

- Paying third party contractors/consultants, or full-time or part-time internal staff to assist with the management and administration of CSNSGP funds.
- M&A costs paid to **third party** consultants/contractors accounted for on the **Operational** tab.
- M&A costs paid to **internal** staff are to be accounted for on the **Personnel** Tab.
- M&A costs must be justified through invoices or payroll records showing payment of services.
- M&A must be requested at the **same rate, or less**, than target hardening activities and/or physical security enhancements.
 - The rate at which M&A can be drawn down is dependent on the **overall expended percentage of all the other target hardening projects**. Use the Project Ledger tab under the 'Percent Expended' column to determine this.



- **Some examples of M&A include:**
 - Preparing and submitting required programmatic and financial reporting,
 - Maintaining equipment inventory,
 - Documenting expenditures for financial purposes, and
 - Responding to requests for programmatic and financial data.
- Project Management tasks are **not** considered M&A and are not an allowable cost under the CSNSGP. Other activities such as contacting vendors, reviewing bids, selecting vendors, and overseeing vendor work are not considered M&A.



Allowable planning activities are limited to what was requested at the time of application, must be related to the protection of the facility and the people within the facility, and should include access and functional needs as well as those with limited English proficiency. Examples of allowable planning activities are costs associated with:

- Development and enhancement of security plans and protocols;
- Emergency contingency plans;
- Evacuation/Shelter in-place plans

Planning costs are accounted for on the **Operational Tab** of the Workbook.

Allowable Costs: Training



Allowable training courses are limited to what was requested at the time of application, such as:

- Protection of critical infrastructure key resources
- Physical and cybersecurity
- Target hardening
- Terrorism awareness/employee preparedness:
 - Active Shooter training
 - Emergency first aid training

Training costs are limited to attendance fees for training, and related expenses, such as materials and/or supplies and should include access and functional needs as well as those with limited English proficiency.

Training costs are accounted for on the **Operational Tab** of the Workbook.

All training activities must receive Cal OES approval prior to starting the event via the Cal OES [Training Request Form](#).



Construction and Renovation:

Construction and Renovation costs must be done in support of approved target hardening activities and is limited to \$100,000 of the total award. (Equipment installation is not considered construction or renovation). All Construction or Renovation activities must comply with state standards, including:

- California Environmental Quality Act (CEQA) (California Public Resources Code §§ 21000 - 21177), to include coordination with the city or county planning agency; and
- CEQA Guidelines (California Code of Regulations, Title 14, Division 6, Chapter 3 §§ 15000 – 15387).

Construction and Renovation costs are accounted for on the **Operational Tab** of the Workbook.

Unallowable Costs



- Purchase of equipment, tools or personal protective equipment for contracted security personnel
- Weapons, weapon parts and accessories, and ammunition
- Travel costs; and **permanent** Personnel Costs



Required for all transactions:

Cash Requests - Nonprofit organization is repaid after they use their own funds to incur costs on a project.

Modification - Used for making budget changes. Adding or eliminating equipment found in the Application Form must be requested in writing. Request should be on nonprofit letterhead, bearing an authorized agent signature. Modifications **must be approved** before Subrecipient implements changes.

All documents and all related Workbook tabs must be **approved** and signed by your Cal OES Program Representative **before being signed by an Authorized Agent.**

Period of Performance



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The Period Of Performance (POP) for the FY 2023 CSNSGP is **December 1, 2023 through December 31, 2025**. All projects must be completed and all invoices must be paid by no later than **December 31, 2025**.

You may refer to the [FY 2023 CSNSGP Guidance](#) for a timeline of dates related to this grant program.

Cash Requests



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- The CSNSGP is a reimbursement program. Expenditures must be made prior to requesting a reimbursement.
- Subrecipients must complete projects and submit completed detailed bids, invoices and proof(s) of payment to their Program Representative.
- Approved reimbursements via the Workbook are received and processed by Cal OES initiating payments.
- Checks are issued and mailed directly to Subrecipients.

How to Receive Funding



- Ensure all required application documents are Received and Approved by Cal OES.
- Make sure to utilize the most current version of the State Grants Workbook.
- **Email** a draft Cash request from the Workbook to the Program Representative. Be sure to include documents pertaining to the request such as invoices, proofs of payment, and bids. The Program Representative will then guide you through the rest of the process.
- **It may take up to 6-8 weeks in order to receive any funds from the State Controller's Office once your cash request is APPROVED.**

FY 2023 State Grants Workbook: Create a Cash Request



1. Open your State Grants Workbook 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 the "NEW REQUEST" macro button in Cell C-5 on the "Project Ledger" tab to make a copy of the "Project Ledger."
4. Enter the name of your new Cash Request (for example: 'PL REIMB #1') and click 'OK'. PL REIMB #1 will be used for this Reimbursement Request
5. Click the "REIMBURSEMENT" macro button in Cell H-1 and enter the Request number.

FY 2023 State Grants Workbook: Create a Cash Request Cont.



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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/Operational/Personnel tab - depending on which items are being included in the Reimbursement Request .
8. Click on “AA Sign” tab. Click the “REIMBURSEMENT” macro button in Cell G-6 and then enter the “Request #” and “Amount This Request”.
9. Email workbook to your Program Representative for preview/approval of all tabs before you date, print name and sign the “AA Sign” tab.
10. Email transaction spreadsheets to the Cal OES Program Representative only after your Program Representative has approved it and has provided you additional instructions.



CSNSGP Subrecipients are selected through a competitive proposal process. Projects are rated and ranked based on the proposal as submitted. Therefore, any changes to the scope of work are generally not permitted. The expectation is for each Subrecipient to thoroughly plan out the entire process of each proposed project, from project conception to completion. Funds remaining at the end of the period of performance will be disencumbered and returned to Cal OES.

Scope/objective changes will be considered on a case-by-case basis, provided the change does not negatively impact the competitive process used to recommend CSNSGP awards.

If a Subrecipient requires a modification, they must submit a **Modification Request Letter**, outlining:

- The requested change & why the change is necessary.
 - Include supporting documents, i.e. assessments, bids, estimates, regulations that are prompting the change.
- Include projects from the approved Application Workbook, the funds currently allocated, and relative significance allocated to those projects
- Include the proposed changes to the approved projects, and any resulting reallocations as a result of the change.
- Address whether the proposed changes will impact its ability to complete the project within the award's period of performance.

Please note:

- **You cannot request anything that is not identified in the Proposal Application.** Cal OES will verify any deviations from the approved Application are addressed in the Application submitted by the Subrecipient at the time of Proposal Submission.
- As such, solely being on the Application will not deem it an allowable change or addition. Proposed modifications are subject to the policy of this grant program and if determined to be unallowable will be denied.



Modifications are used for budget revisions and other changes that do not affect the scope-of-work.

- Adding or eliminating equipment found in the Application must be requested in writing. Request must be on nonprofit letterhead, with an Authorized Agent signature.
- Organization must submit a **Modification Request Letter**.
- Cal OES will review the letter.
- Changes must be reflected on the Workbook
 - Work with your Program Representative to make the necessary changes to the Workbook.
- You must receive written approval **before** implementing any modifications to the approved Workbook.

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 (This expense must be verifiable and reasonable)
- Labor/installation cost should be listed separately and detailed
- 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.

Sample Bid/Invoice



Cal OES
GOVERNOR'S OFFICE
OF EMERGENCY SERVICES

EXAMPLE

Company Name

License# 1234567

Your Logo Here

[Your Company Name]
[Company 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.)



Acceptable Proofs of payment are:

- Bank Checks
- Cashier's Checks
- Money Orders
- Credit/Debit charges must be supported by transaction slip or bank statement. This must clearly show it is the Subrecipient's Business account.

Note: All invoices must be accompanied by a proof of payment and required estimates/bids for closing out a Cash Request.

Proof(s) of Payment



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OF EMERGENCY SERVICES

- Must be Legible
- Bank Names
- Routing Dates
- Routing Sequence
- Routing Batch
- "For"= Invoice #
- Vendor Endorsement
- Checks must be drawn from Subrecipient's Business accounts not from personal account

8/10/2015 SchoolsOnline

View Check: #0075 Amount: \$28.44 Date: 6/22/2015 [Print Check](#)

Check Front

EXAMPLE

NO. 7518 3211 7518
6-16 2015

PAY SAC. HEART & VASCULAR \$28.44
TO THE ORDER OF
TWENTY EIGHT & 44/100

SCHOOLS FINANCIAL CREDIT UNION
FOR 71697

7518

Check Back

DO NOT WRITE, STAMP OR SIGN BELOW THIS LINE
RESERVED FOR FINANCIAL INSTITUTION USE

ENDORSE HERE
PAY TO THE ORDER OF
FIRST CITIZENS BANK
SACRAMENTO, CA 95814
13203790
FOR DEPOSIT ONLY
SACRAMENTO HEART AND VASCULAR

Seq: 14
Batch: 013182
Date: 06/19/15

06/19/15 Batch 13, 182

The security of your funds is our top priority. We have implemented a variety of security measures to protect your information. For more information, please contact your account manager.



You must keep an internal inventory control system for all equipment as well as all supporting documentation such as bids, contracts, invoices, software licenses and payment records.

Conduct and document a physical inventory once every 2 years.

Equipment inventory records should contain all of the following;

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

Equipment Disposition



- Equipment purchased with CSNSGP 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.

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.](#)

Accountability Requirements



Cal OES
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OF EMERGENCY SERVICES

- Suspension or Termination
- Noncompliance
- Semi-Annual Performance Reports
- Record Retention
- Semi-Annual Drawdown Requirements
- Grants Monitor Review



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:

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

In response to noncompliance, Cal OES could:

- Impose additional conditions if the Subrecipient fails to comply with state/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 award,
- Initiate disbarment proceedings

Cal OES could withhold further awards or take other remedies that may be legally available.



- The Purpose of the Semi-Annual Performance Reports is to measure performance of the Subrecipients in utilization of the grant funding over the course of the period of performance until the close of the grant occurs.
- Each Subrecipient in accordance with the [FY 2023 CSNSGP Guidance](#), Monitoring and reporting program performance, will submit a Semi-Annual Performance Report
- The reporting requirement begins once the organization receives the official Award letter from Cal OES.

[FY 2023 CSNSGP Performance Report](#)



- Reporting cycle for the Performance Report is every 6 months
 - Summer: January 1 through June 30
 - Winter: July 1 through December 31
- Provides progress on implementation of project
- **Timely submission is a must.** Failure to submit a Performance Report could result in award reduction, termination, or suspension.



The records retention period is three years from the end of the Subrecipient period of performance. 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:

- Copy of the State Request for Funding Proposal
- The Proposal Documents
- The State of California's grant guidance
- Official letters; Subrecipient award letters, and all Cal OES transmittals of information
- Copies of the required application documents submitted to Cal OES
- Copies of each transaction, such as cash requests and modifications
- 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.

Record Retention Cont.



The Cal OES Grant Closeout Letter will notify the Subrecipient:

- Of the start of the records retention period for all programmatic and financial grant-related records.
- Closed grants may still be monitored and audited. Failure to maintain all grant records for the required retention period could result in a reduction of grant funds, and an invoice to return costs associated with the unsupported activities.



- 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 **June 30** and **December 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.



Cal OES reviews all Subrecipients who received grant awards.

Reviews may include, but are not limited to:

- Entries recorded on the State Grants Workbook categories;
- Eligibility of and support for expenditures, typically covering two to three years of data;
- Comparing actual Subrecipient activities to those approved in the grant application and subsequent modifications, including the review of timesheets as appropriate;
- Ensuring cash requests have been disbursed in accordance with applicable guidelines;
- Confirming compliance with:
 - Grant Assurances, and
 - Information provided on performance reports and payment requests.



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

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



- [Bureau of Security & Investigative Services](#)
- [California State Nonprofit Security Grant Program \(CSNSGP\) Documents](#)
- [Department of Consumer Affairs, Contractors State License Board](#)
- [FY 2023 CSNSGP Request For Proposal \(RFP\)](#)
- [FY 2023 CSNSGP Guidance](#)



Please submit all completed Required Documents via email to your Program Representative By August 23, 2024

*All required documents **MUST** be validated with Program Representative approval no later than August 9, 2024.*

Contact us at CSNSGP@CalOES.ca.gov