



# FY 23 Emergency Management Performance Grant (EMPG)

October 2023

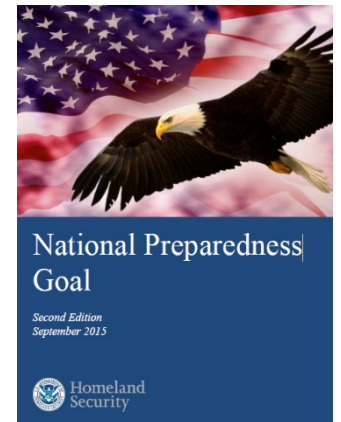




# EMPG Objective

To assist state, local, and tribal governments in preparing for all-hazards.

To support a comprehensive, all-hazards emergency preparedness system by building and sustaining the core capabilities contained in the [National Preparedness Goal \(NPG\)](#).





# Topics

- Key Changes
- EMPG Priorities
- Allowable Costs
- Unallowable Costs
- Training & Exercise Requirement
- Match Requirement
- Application Component



# Key Changes: BABAA

- Build America, Buy America Act
  - States that all Federal Agencies including FEMA, must ensure that no federal financial assistance for “Infrastructure” projects are provided unless all iron, steel, manufactured products, and construction materials used in the project are produced in the United States.
  - Applies to new awards made on or after January 2, 2023
  - When necessary, subrecipients may apply for a waiver from these requirements. Additional information regarding the BABAA can be found on FEMA’s website under [Buy America Preference](#).



# National Qualification System

- National Qualification System (NQS) Implementation
  - EMPG Subrecipients are required to begin NQS implementation in FY 2023

\*NQS helps bring organizational and jurisdictional qualification procedures, certification programs and credentialing standards in alignment with the 2017 NIMS Guideline for the National Qualification System



# EMPG Priorities

## FY 2023 EMPG National Priorities:

- Equity
- Climate Resilience
- Readiness

## FY 2023 EMPG State/Regional Priorities:

- Planning
- Operational Coordination
- Community Resilience



# EMPG Allowable Costs

## POETE

- Planning
- Organization
- Equipment
- Training
- Exercises
- Maintenance & Sustainment
- Construction & Renovation
- Management & Administration
- Indirect Costs



# POETE Examples

**Planning** – Emergency Operations Plans

**Organization** – Staffing costs: salary, overtime, time off, and benefits

**Equipment** – Interoperable Communications

**Training** – Travel and tuition expenses

**Exercise** – Critical Power Failure, Care & Shelter, Chemical Accident





# EMPG Allowable Costs

## Maintenance & Sustainment

- Maintenance Contracts
- Warranties
- Repair/Replacement Costs
- Upgrades
- User Fees
- Licenses





# Maintenance & Sustainment – FMFW Project Ledger

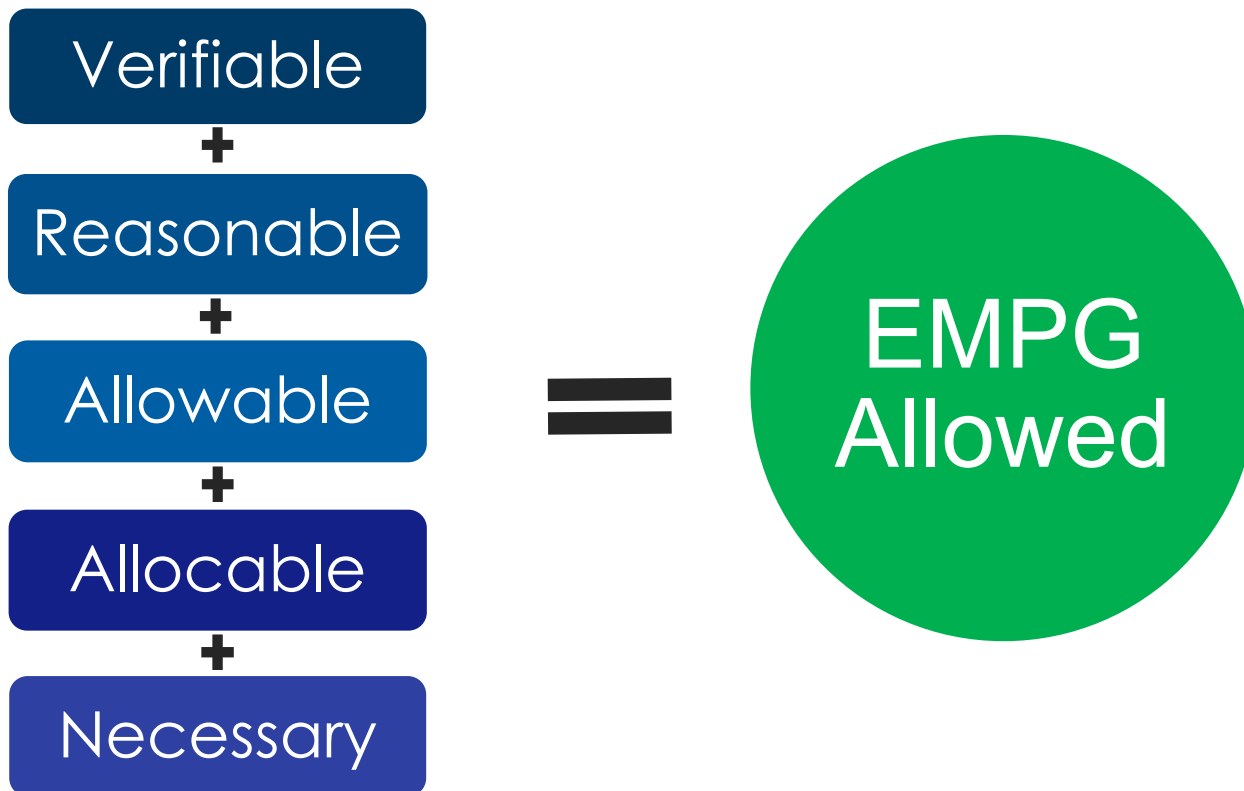
- The following information for pre-existing equipment should be entered in the Project Description field:
  - The AEL Number and AEL Title
  - Duration of service:
    - Cannot exceed the Period of Performance
  - Identify consultant / contractor (Consultant Contractor tab)

Project Description
Pay for user fees associated with the county's web-enabled emergency mangement communications system known as Web EOC. AEL: 04AP-05-CDSS Duration: 7/1/23 - 6/30/2025



# EMPG Allowable If...

To meet federal requirements and regulations, EMPG expenditures must be:





# EMPG Allowable Costs

## Construction & Renovation

### Construction

New building or expanding footprint of an existing primary EOC

### Renovation

Internal improvements to an existing primary EOC

- \* May consider projects outside of primary EOC with prior FEMA approval
- \* Both require written FEMA approval (up to a year long process)



# EMPG Allowable Costs

## Management & Administration (M&A)

M&A costs are necessary costs incurred in direct support of the grant

- Activities directly relating to the management and administration of EMPG award
- Financial management and reporting
- May use up to five percent (5%) of the Subaward

\* May only claim up to 5% of the total expended federal share during reimbursement



# EMPG Allowable Costs

## Training

- Tuition & Travel costs under EMPG are allowable for EMPG and local (match) funded personnel, **and** non-EMPG funded personnel provided that the purpose is to accomplish the objectives of the EMPG grant.
- All training costs require a Cal OES Feedback Number for reimbursement.
  - Required at least 30 days prior to Training
  - Submit Training Request Form to [Training@caloes.ca.gov](mailto:Training@caloes.ca.gov)



# Training Feedback Number

- A Training Feedback Number must be obtained at least 30 days prior to the training event.
- A [Training Request Form](#) is required to obtain a feedback number.
  - Submit the form to [training@caloes.ca.gov](mailto:training@caloes.ca.gov)



# EMPG Unallowable Costs

- Unallowable Equipment: Grant funds must comply with [FEMA Policy 207-22-0002](#)
  - Expenditures for firearms, ammunition, grenade launchers, bayonets, or weaponized aircraft, vessels, or vehicles of any kind with weapons installed
- Costs associated with sworn public safety officers fulfilling traditional public safety activities
- Positions or items purchased to supplant appropriated funds
- Activities and projects unrelated to the EMPG Program
- Clothing used for everyday wear by EM employees





# Training Requirements

## **NIMS Training:**

- IS 100 Intro to ICS
- IS 200 Basic Incident Command System for Initial Response
- IS 700 Intro to NIMS
- IS 800 Intro to NRF

## **FEMA Professional Development Series (PDS)\*:**

- IS 120.c Intro to Exercises
- IS 230.e Fundamentals of Emergency Management
- IS 235.c Emergency Planning
- IS 240.c Leadership and Influence
- IS 241.c Decision Making and Problem Solving
- IS 242.c Effective Communication
- IS 244.b Developing and Managing Volunteers

\*Basic Academy may be taken in lieu of the PDS\*



# Exercise Requirements

All EMPG-funded personnel, including M&A staff and any staff being used for match, must:

- Participate in no less than two exercises in the 24-month period of performance
- Must link to one of the priorities
  - Performance Report: Drop-down in the Exercise table
- Any level of participation is acceptable
- Complete exercises by June 30, 2025



# After Action Report/Improvement Plan (AAR/IP)

- Completed by the host of any EMPG-funded exercise
- Submitted, no later than 90 days after completion of the exercise, to:
  - 1) The HSEEP email address at [hseep@fema.dhs.gov](mailto:hseep@fema.dhs.gov)
  - 2) Your EMPG Program Representative
- All AAR/IPs must be submitted by June 30, 2025





# Match

- A dollar-for-dollar cost match is required
- These non-Federal contributions have the same eligibility requirements as the Federal share
- Types of Match:
  - **Cash Match** - Non-federal cash spent for EMPG-eligible activities/projects
  - **In-Kind Match** - The value of something received or provided by a third-party that does not have a cost associated with it. Contributions of the value of property or services in lieu of cash which benefit the EMPG Program.



## Match

EMPG funds must be met **dollar-for-dollar** by the Subrecipient.\*

### Match Type:

- **100%** – Project is 100% federally funded through the EMPG subaward. Subrecipient must fund a different EMPG-eligible project of equal or greater value.
- **50%** – Project is 50% federally funded through the EMPG subaward. Subrecipient will share in the cost of the same project, paying for the other half.

### Contribution Type:

- Cash Match
- In-Kind Match



### Contribution Type:

- Cash Match



\*All non-federal contributions have the same eligibility requirements as the federal share (T&E, EHP, Procurement, etc.).



# Performance Reports

- Subrecipients must submit quarterly Performance Reports on EMPG project status, training and exercise data, and other metrics that are required by FEMA.

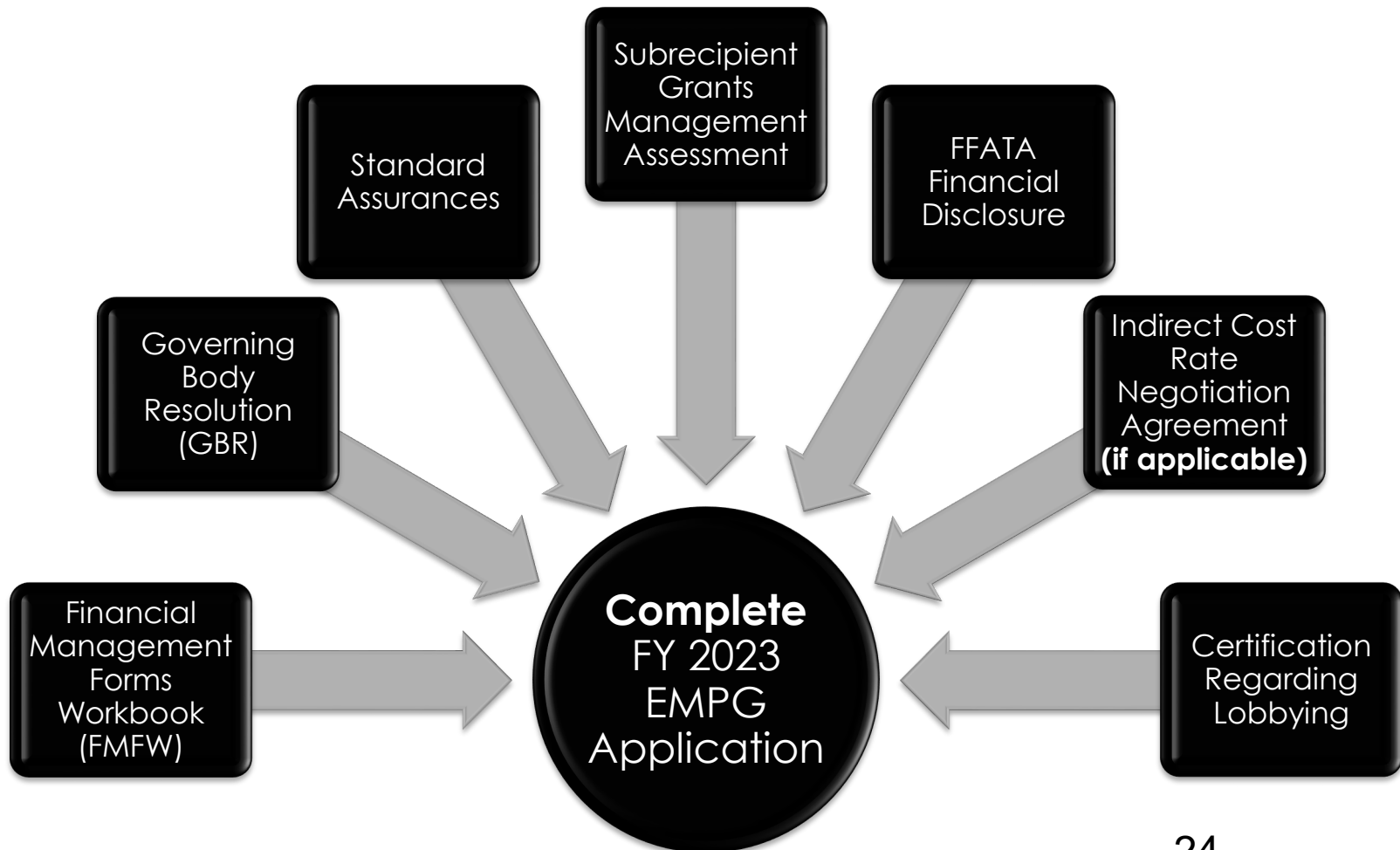


# Integrated Preparedness Plan (IPP)

- Integrated Preparedness Plan (IPP)
- Be updated & submitted annually
- At a minimum, cover this two-year period:  
**January 1, 2024 – December 31, 2025**
- Email by **September 30, 2023** to:
  - EMPG Program Representative
  - IPP Point of Contact (POC) – at  
[exercise@caloes.ca.gov](mailto:exercise@caloes.ca.gov)



# EMPG Application Components







# **FY23 EMPG Applications Due:**

**December 31, 2023**



Carmyn Fields  
Southern Region  
[Carmyn.Fields@CalOES.ca.gov](mailto:Carmyn.Fields@CalOES.ca.gov)  
916-328-7733

Ronak Patel  
Inland Region III  
[Ronak.Patel@CalOES.ca.gov](mailto:Ronak.Patel@CalOES.ca.gov)  
916-845-8124

Lauren Swearengin  
Inland Region IV & V  
[Lauren.Swearengin@CalOES.ca.gov](mailto:Lauren.Swearengin@CalOES.ca.gov)  
916-845-8950

Marjan Warmilee  
Coastal Region  
[Marjan.Warmilee@CalOES.ca.gov](mailto:Marjan.Warmilee@CalOES.ca.gov)  
916-364-4558



**QUESTIONS?**





# THE HOMELAND SECURITY GRANT PROGRAM

October 2023



**Cal OES**  
GOVERNOR'S OFFICE  
OF EMERGENCY SERVICES



# Agenda

1. Key Changes
2. FY 2023 HSGP Application requirements
3. Program Guidance



# Key Changes:

- **Law Enforcement Terrorism Prevention Activities:**
  - Increased from 30% to 35% of the sub-award
  - New guidance released on what is considered LETPA
- **Controlled Equipment:**
  - Updated controlled equipment list for FY23 forward.
- **The Build America, Buy America Act (BABAA)**
  - Now in effect for FY 2023
- **National Priorities**
  - Election Security now has required minimum spend- 3%



## Key Changes: LETPA

- **IB 485: Fiscal Year 2023 (FY23) Law Enforcement Terrorism Prevention Activity (LETPA) Supplemental Guidance to the Homeland Security Grant Program Notice of Funding Opportunity (NOFO)**
  - Released on April 21, 2023
  - Provides additional clarity to the LETPA requirements in the FY23 HSGP NOFO.
  - Specifically, this IB provides further direction on accounting for LETPA activities, best practices for submitting investment justifications for LETPA, and information on distinguishing LETPA from other activities.



# Key Changes: Prohibited and Controlled Equipment

## Updated FEMA Policy #207-22-0002, Prohibited and Controlled Equipment under FEMA awards

- For all awards issued on or after January 1, 2023, and implemented by Executive Order (EO) 14074, which applies to all FEMA grants.
- The policy spells out prohibited items, exceptions, controlled equipment, and requirements necessary for recipients and subrecipients wanting to purchase excepted or controlled items.
- Additional information regarding Prohibited and Controlled Equipment is available on [FEMA Policy 207-22-0002](#).





# Key Changes: BABAA

## Build America, Buy America Act:

- States that all Federal Agencies including FEMA must ensure that no federal financial assistance for “**Infrastructure**” projects is provided unless all iron, steel, manufactured products, and construction materials used in the project are produced in the United States.
- Applies to new awards made on or after January 2, 2023.
- When necessary, subrecipients may apply for a waiver from these requirements. Additional information regarding the BABAA can be found on FEMA’s website under [Buy America Preference](#).



# 10% Indirect Cost Rate De Minimus

- In the FY 2022 FEMA PGM, language added stating *“Per 2 C.F.R. Part 200, Appendix VII, paragraph D.1.b, state and local governments are not permitted to use the de minimus rate without seeking and receiving FEMA’s approval*
- In FY 2022, subrecipients claiming the 10% de minimus rate received holds on their sub-awards while Cal OES waited on clarification from FEMA
- Currently state and local governments are **not** permitted to use the de minimus rate
- Cal OES is seeking an exception to allow governmental entities and Tribes to claim the de minimus rate



## Key Changes: FY2023 National Priorities

- **Five** of the six priority-aligned IJs must equal or exceed **3%** of the applicable State or Urban Area's target allocation – totaling **15%**
- **One** of the six priority-aligned IJs do not require a minimum spend of the applicable State, Territory, or Urban Area's target allocation
- Subrecipients will have the flexibility to allocate the remaining **15%** across any of the six national priority areas




## Key Changes: FY2023 National Priorities

- IJ#1: Enhancing information and intelligence sharing and cooperation with federal agencies **(3%)**
- IJ#2: Enhancing the protection of soft targets/crowded places **(3%)**
- IJ#3: Enhancing cybersecurity **(no minimum)**
- IJ#4: Enhancing community preparedness and resilience **(3%)**
- IJ#5: Combating domestic violence extremism **(3%)**
- IJ#11: Enhancing election security **(new-3%)**



FY23 Investment Justifications		State Homeland Security Strategy Goal	
1	Enhance Information and Intelligence Sharing and Cooperation with federal agencies, including DHS	1	Enhance Information Collection, Analysis, and Sharing, in Support of Public Safety Operations across California
2	Enhance the Protection of Soft Targets/Crowded Places	2	Protect Critical Infrastructure and Key Resources from All Threats and Hazards
3	Enhance Cybersecurity	3	Strengthen Security and Preparedness across Cyberspace
4	Enhancing Community Preparedness and Resilience	5	Enhance Community Preparedness
5	Combatting Domestic Violence Extremism	1	Enhance Information Collection, Analysis, and Sharing, in Support of Public Safety Operations across California
		5	Enhance Community Preparedness
		6	Enhance Multi-Jurisdictional/Inter-Jurisdictional All-Hazards Incident Catastrophic Planning, Response, and Recovery Capabilities
		10	Enhance Homeland Security Exercise, Evaluation, and Training Programs
6	Strengthen Emergency Communications Capabilities Through Planning, Governance, Technology, And Equipment	4	Strengthen Communications Capabilities through Planning, Governance, Technology, and Equipment
7	Enhance Medical and Public Health Preparedness	7	Improve Medical and Health Capabilities
8	Strengthen Information Sharing and Collaboration	1	Enhance Information Collection, Analysis, and Sharing, in Support of Public Safety Operations across California
9	Enhance Multi-Jurisdictional/Inter-Jurisdictional All-Hazards/Whole Community Incident Planning, Response & Recovery Capabilities	5	Enhance Community Preparedness
		6	Enhance Multi-Jurisdictional/Inter-Jurisdictional All-Hazards Incident Catastrophic Planning, Response, and Recovery Capabilities
		8	Enhance Incident Recovery Capabilities
		10	Enhance Homeland Security Exercise, Evaluation, and Training Programs
10	Protect Critical Infrastructure and Key Resources (including Food & Agriculture)	2	Protect Critical Infrastructure and Key Resources from All Threats and Hazards
11	Enhance Election Security	9	Strengthen Food and Agriculture Preparedness
		1	Enhance Information Collection, Analysis, and Sharing, in Support of Public Safety Operations across California
		2	Protect Critical Infrastructure and Key Resources from All Threats and Hazards
		3	Strengthen Security and Preparedness across Cyberspace

 Blue field denotes National Priority Area



# National Priority Examples

## IJ #1: Enhancing information and intelligence sharing and analysis (National Priority)

### Example Projects

- Risk and Disaster Resilience Assessment
- Terrorism Liason Officer training or Coordinator position
- WebEOC Hosting
- OES Emergency Services Coordinator
- Homeland Security Information Network field access
- Everbridge with IPAWS
- Emergency Operations Plan
- Automatic License Plate Readers
- Emergency Management Training



# National Priority Examples

## IJ #2: Enhancing the Protection of Soft Targets/Crowded Places (National Priority)

### Example Projects

- Portable vehicle barrier system
- Security cameras
- CodeRED alerting system
- Bomb Robot
- CBRNE Detection/response equipment
- Evacuation management - Zonehaven



# National Priority Examples

## IJ #3: Enhancing Cybersecurity (National Priority)

### Example Projects

- Cybersecurity Network Vulnerability testing
- VPN expansion
- Enterprise Password Management Solution
- Cybersecurity training
- Cybersecurity tabletop exercise





# National Priority Examples

## IJ #4: Enhancing community preparedness and resilience (National Priority)

### Example Projects

- CERT training, materials and supplies
- Stop the Bleed
- Community Preparedness training
- COAD development
- VOAD training and certifications



# National Priority Examples

## IJ #5: Combating Domestic Violent Extremism (DVE) (National Priority)

### Example Projects

- Domestic Violence Extremism Officer
- DVE Training
- DVE Community Education and campaign
- Violent Extremism training for first responders
- Intel training for LE
- Inmate Radicalization Assessment Training
- Diversity, Inclusion, and Anti-hate trainings



# National Priority Examples

## IJ #11: Enhancing Election Security (National Priority)

### Example Project

- Physical security planning support
- Physical/site security measures – e.g., locks, shatter proof glass, security cameras, alarms, etc.
- General election security navigator support
- Cyber navigator support
- Cybersecurity risk assessments, training, and planning
- Portable barriers/bollards
- Information Systems Security Penetration Testing



## **FY2023 National Priority Projects**

- The National Priority Projects are reviewed for effectiveness by FEMA before funds are obligated or expended
- The primary review is conducted by FEMA GPD Program Analyst with assistance from agency partners when necessary



# FY2023 Project Evaluations

- FEMA has already completed their effectiveness review for FY 2023 National Priority projects
- Our goal has been to have the federal review for effectiveness completed before funds are awarded to minimize the amount of funding on hold related to the National Priority Areas
- Utilizing our advanced application process California submitted over 600 National Priority Projects for FY 2023



# HSGP Grant Guidance

- National Priority Modifications
- National Cybersecurity Review
- Personnel Cap
- Semi-Annual Drawdowns
- Emergency Communications Projects
- EHP
- Training and Exercise Requirements
- Extension Requests
- FMFW update



# National Priority Modifications

- For FY 2023, a new National Priority (NP) Modification Request form has been released to facilitate approval.
- Certain NP modification requests **Do** require an NP modification Request form to be completed and some NP modifications do not.



# When Is FEMA Approval Not Required?

- Project budget increase, no scope change
- Cost reconciliation within solution areas, no scope change or overall budget reduction for the National Priority
- Shifting of funds within solution areas with no scope change and no overall budget reduction





# NP Mod/No FEMA Approval

- Happy County is requesting to increase their project budget on their Cybersecurity Project

Project	Original Allocation	Proposed
Cyber Security Equipment Project#5	<del>\$ 10,000</del>	\$ 11,000



# NP Mod/No FEMA Approval

Happy County is requesting to shift funding within Solution Areas of a single project with no scope changes or overall budget reductions

Project	Original Allocation	Proposed
Cyber Security Project#5	<del>\$ 10,000</del>	\$ 10,000
Training Solution Area	<del>\$ 5,000</del>	\$ 4,000
Equipment Solution Area	<del>\$ 5,000</del>	\$ 6,000



# When is FEMA Approval Required?

- National Priority Modification requests require FEMA approval
- Projects which require the National Priority Request form should not be included in regular FMFW modification requests until **After** NP projects are approved



# FEMA Approval Required

- Happy County is requesting to make a minor change on the project description of their Information Sharing Project
- Happy County is requesting to decrease the funding of their Soft Targets/Crowded Places Project
- **ANY** project scope change



# FEMA Approval is Required

- Happy County is requesting to move funds between Cyber Security Equipment Project #5 and Cyber Security Training Project #6

Project	Original - Allocation	Proposed
Cyber Security Equipment Project#5	<del>\$ 10,000</del>	\$ 11,000
Cyber Security Training Project #6	<del>\$ 10,000</del>	\$ 9,000



# FEMA Approval is Required

Project	Original Allocation	Proposed
Cyber Security Equipment Project #5	\$ 10,000	\$ 11,000
Cyber Security Training Project #6	\$ 10,000	\$ 9,000



# National Priority Modification Form

Subrecipient									
FIPS#									
Note: Please include a copy of your Financial Management Forms Workbook (FMFW) (Project Ledger Tab Only) showing the proposed modifications.									
FY 2023 NPA: (J#1) Enhance Information and Intelligence Sharing and Cooperation with Federal Agencies, including DHS									
Minimum NPA Requirement:									
Current Allocation:									
Proposed Allocation:									
Current Approved Project Title & Project#	Proposed Project Title & Project #	Current Approved Allocation	Proposed Allocation	Change	National Priority Core Capability	Explain how this project will support closing capability gaps or sustaining capabilities identified in the THIRA/SPR process	Explain how this proposed project will achieve objectives as identified in the SPR, including expected long-term impacts where applicable, and which core capability gap(s) does it help close and how	Provide a summary of the status of planning and design efforts accomplished to date for this project	Revised milestones to demonstrate the revised/new project activities have a clear project schedule that can be completed within the existing period of performance
				\$0					
				\$0					
				\$0					
				\$0					
				\$0					
				\$0					
Total		\$0	\$0	\$0					



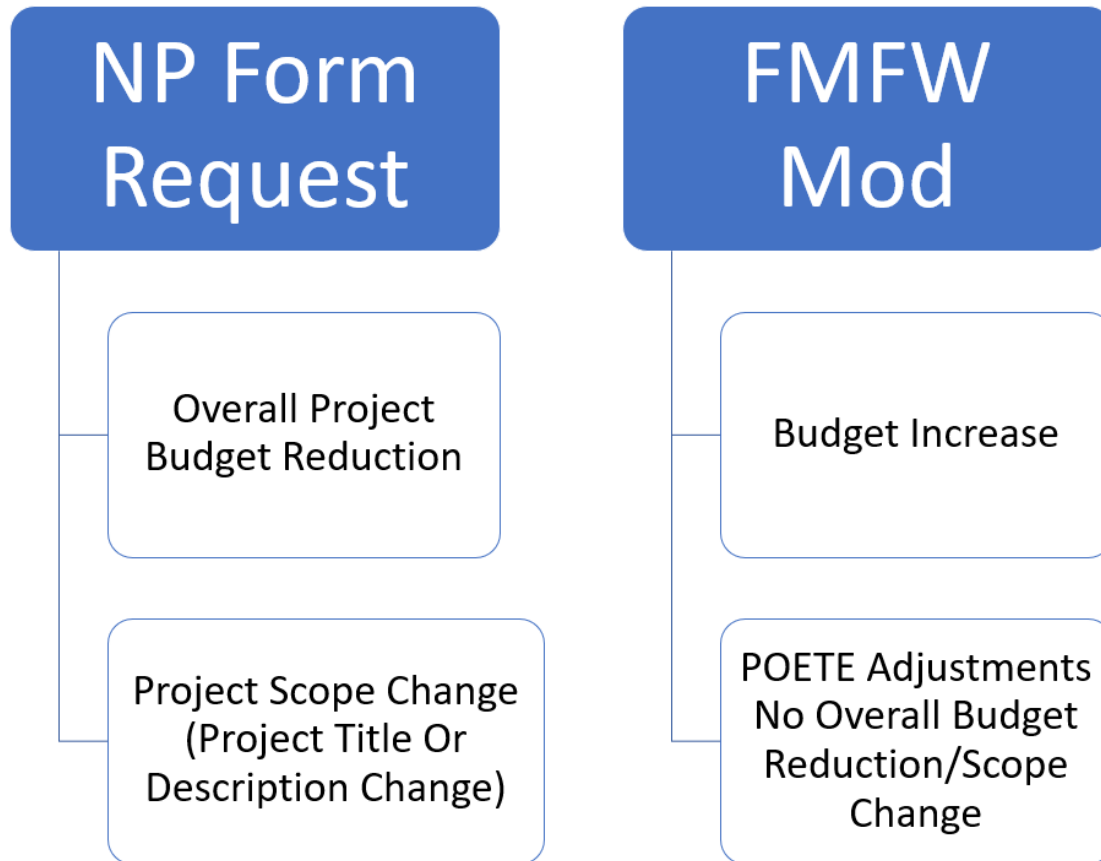
# National Priority Modification – What's Required

- Completed NPA Mod Request form submitted in both the Excel format as well as the signed PDF form
- An Excel draft of the FMFW's Project ledger that shows how it would be modified with the blue and red lines.





# National Priority Modification Chart





# HSGP General Items

## **Nationwide Cybersecurity Review (NCSR)**

- Open now to complete October 1, 2023-February 29, 2024. Certification is due to Cal OES once completed.

## **Personnel cap waiver (PCAP) Requests**

- Requests are still required for personnel costs over 50% of each fund source.

## **Semiannual drawdowns**

- Must drawdown funds semi-annually.

## **Emergency Communications projects,**

- Projects that fall under IJ#6 still need to be SAFECOM compliant. Reminder to mention the SCIP goal and “emergency communications” in the project description.



# HSGP General Items

## **EHP Requirements**

- When is this needed?

## **Training and Exercise Requirements**

- EHPs
- Training Feedback numbers
- After Action Reports (AARs)
- Noncompetitive Procurements

## **BSIR**

- Open every June and December for entries



# **HSGP General Items**

## **Extension Requests**

- Must be received no later than 60 days prior to the end of the Subrecipient's period of performance.
- Must contain specific and compelling justifications as to why an extension is required.



# FY23 FMFW (Workbook) Changes:

## Facesheet:

Item Number	Grant Year	Fund Source	A. State	B. Federal
8.		SHSP-20		
9.		UASI-20		
10.		UASI		
11.		SHSP		
12.				
<b>Total</b>	<b>Project</b>	<b>Cost</b>		

Updated Fund Source Dropdown-added UASI-20 and SHSP-20 for those who receive State Retention funding



# FY23 FMFW (Workbook) Changes:

## Project Ledger:

**PROJECT LEDGER** APPLICATION

Funding Source	Award	Budgeted Cost	Total Expended	% M&A Cost of Award
SHSP	\$4,000	\$4,000		5.00%
UASI	\$3,000	\$3,000		
SHSP-20	\$1,000	\$1,000		50.00%
UASI-20	\$2,000	\$2,000		2.25%

VALIDATE WORKSHEET

NEW REQUEST

NEW MOD ITEM

Funding Source	Discipline	Solution Area	Core Capabilities	Capability Building	Deployable/Shareable	Supports Previous Award Investment?	Total Budgeted Cost	Previously Approved Amount
							\$10,000	
SHSP	EMS	Planning	Cybersecurity	Build	Deployable	no	700	
SHSP	EMG	M&A	Operational Coordination	Build	Deployable	no	200	
SHSP-20	GA	M&A	Operational Coordination	Build	Deployable	no	500	
UASI	LE	Exercise	Operational Communications	Build	Deployable	no	1,000	
UASI	LE	Planning	Planning	Build	Deployable	no	2,000	
UASI-20	FS	Training	Cybersecurity	Build	Deployable	no	500	
UASI-20	CS	M&A	Planning	Build	Deployable	no	45	

New funding source drop downs

M&A allocation tracker



# FY23 FMFW (Workbook) Changes:

## Project Ledger:

Dropdown to select Fund source

Total NP percentage for selected fund source

National Priority Allocations - SHSP			
Funding Source	NP Budget	%NP of Funding Source	
SHSP <input type="text" value="SHSP"/>	\$2,450	61.3%	
Funding Source	LE Budget	% LE of Total Budgeted Cost	
ALL	\$3,700	37.0%	

IJ	Minimum Amount	Budgeted Amount	Difference
IJ.01	\$120	\$700	\$580
IJ.02	\$120	\$250	\$130
IJ.03	0	\$500	\$500
IJ.04	\$120	\$400	\$280
IJ.05	\$120	\$100	-\$20
IJ.11	\$120	\$500	\$380

Total LE allocation: Minimum for FY23 is 35%

Difference between minimum and budgeted amount per IJ

Red to show that they don't meet the minimum spend

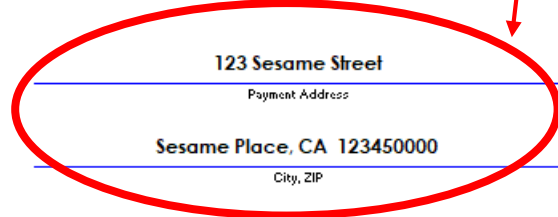


# FY23 FMFW (Workbook) Changes:

## Authorized Agent (AA) page:

AUTHORIZED AGENT		NEW AA SHEET
<b>NOTE: Unauthorized alterations will delay the approval of this request.</b>		
Happy County	ALN:	HSGP 97.067
2023-0042		
Supporting Information for Application, Modification, or Request for Federal Funds <i>This claim is for costs incurred within the grant performance period.</i>		
Select one of the options below		
<input type="button" value="INITIAL APPLICATION"/> <input type="button" value="MODIFICATION"/> <input checked="" type="button" value="REIMBURSEMENT"/> <input type="button" value="FINAL REIMBURSEMENT"/> <input type="button" value="ADVANCE"/> <input type="button" value="CLEAR"/>		
This request is for a/an:	<u>Reimbursement</u>	
	<u>September 1, 2023</u>	through <u>May 31, 2026</u>
	<small>Beginning Performance Period Date</small>	<small>Ending Performance Period Date</small>
	<u>1</u>	<u>\$1,000</u>
	<small>Request #</small>	<small>Amount This Request</small>
<b>Under Penalty of Perjury, I certify that:</b>		
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.		
<b>Statement of Certification - Authorized Agent</b>		
By signing this report, I certify, to the best of my knowledge and belief, that the report is true, complete, and accurate, and that 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).		
<u>Big Bird</u>	<u>123 Sesame Street</u>	
<small>Printed Name of Authorized Agent</small>	<small>Payment Address</small>	
<u>Emergency Services Manager</u>	<u>Sesame Place, CA 123450000</u>	
<small>Title of Authorized Agent</small>	<small>City, ZIP</small>	
<u></u>	<u>9/29/2023</u>	
<small>Signature of Authorized Agent</small>	<small>Date</small>	

Added address lines on AA pages for Reimbursements







# Final Application Documents

- Final Applications for FY 2023 will be due **December 29, 2023**.
- Final application documents include GBR, Standard Grant Assurances, FFATA financial disclosure, completed FMFW workbooks, signed award letters, certification regarding lobbying, Subrecipient Grants Management Assessment, and ICR (if applicable).
- The California Supplement to the NOFO and application documents will be released in the coming weeks.



# Advanced Applications

- Advanced Applications for FY 2024 will be due **January 31, 2024**
- Advanced applications consist of only the project ledger tab of the FMFW
- Mirror FY2023 funding levels and national priority areas as a baseline



# State Local Cyber Grant Program (SLCGP)

For questions please email:

[cctf-slcgp@caloes.ca.gov](mailto:cctf-slcgp@caloes.ca.gov)

Additional SLCGP Resources:

- [Cal OES Grants: SLCGP](#)
- [CISA-SLCGP](#)
- [FEMA Grants-SLCGP](#)



# HSGP Contact Info

## Maybel Garing-Espilla, Unit Chief Homeland Security Grants Unit II

Abigayle Tirapelle  
[abigayle.tirapelle@caloes.ca.gov](mailto:abigayle.tirapelle@caloes.ca.gov)  
(916) 845-8400

Darlene Arambula  
[darlene.arambula@caloes.ca.gov](mailto:darlene.arambula@caloes.ca.gov)  
(916) 845-8427

Tyrone Freeman  
[Tyrone.Freeman@caloes.ca.gov](mailto:Tyrone.Freeman@caloes.ca.gov)  
(916) 328-7750

Christopher Camacho  
[Christopher.camacho@caloes.ca.gov](mailto:Christopher.camacho@caloes.ca.gov)  
(916) 845-8789 **OPSG**



## Vacant, Unit Chief Homeland Security Grants Unit I

Jim Lane  
[jim.lane@caloes.ca.gov](mailto:jim.lane@caloes.ca.gov)  
(916) 845-8428

Vacant  
[Vacant.Vacant@caloes.ca.gov](mailto:Vacant.Vacant@caloes.ca.gov)  
(916) 845-8744

Antoinette Johnson  
[antoinette.johnson@caloes.ca.gov](mailto:antoinette.johnson@caloes.ca.gov)  
(916) 845-8260

Laura Halverstadt  
[laura.halverstadt@caloes.ca.gov](mailto:laura.halverstadt@caloes.ca.gov)  
(916) 845-8899



# Questions?



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# Procurement

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# Procurement Standards

- All procurement activities must be conducted in accordance with **documented procurement procedures** provided that they comply with the federal procurement standards found at **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



# Full and Open Competition

- All procurement transactions for the acquisition of property or services **must be fully and openly competed** consistent with the standards of Part 200 of the C.F.R.
- Some common situations considered to be restrictive of competition are, but not limited to:
  - Placing unreasonable requirements for vendors to qualify
  - Specifying only a brand name product
  - Imposing a geographical preference





# Use of Pre-Qualified Lists

§ 200.319(e)

- Tool to help streamline the solicitation process
  1. List must be current
  2. List must include enough qualified sources
  3. Solicitor must not preclude potential bidders from qualifying during the solicitation period
- Must also publicly issue the solicitation



# Cooperative Purchasing

- Popular programs include CMAS, GSA, HGAC, OMNIA and WSCA/NASPO
- Must **document and explain** how agreement is in compliance with the Federal procurement standards found in 2 C.F.R. § 200.318- 200.327
  1. Full and Open Competition per § 200.319
  2. Allowable Procurement Method per § 200.320



# Methods of Procurement

Procurement Types Grouped into 3 Categories

**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 Procurement Methods

## Micro-Purchases

§ 200.320(a)(1)

- Purchases below the Micro-Purchase threshold **do not** require soliciting competitive price or rate quotations
  - Reasonableness of price/rate **must be documented**
- Federal Acquisition Regulations (FAR) has set the Federal micro- purchase threshold at **\$10,000**
  - If internal Micro-Purchase threshold is less, you must use that amount



# Informal Procurement Methods

## Micro-Purchase Threshold Increase

§ 200.320(a)(1)(iv) – (v)

- Subrecipients may **self-certify** a threshold of **up to** \$50,000

**OR**

- Obtain **Federal approval** for a threshold **higher than** \$50,000



# Informal Procurement Methods

## Micro-Purchase threshold up to \$50,000

§ 200.320(a)(1)(iv)

- **Self-certification** required on an **annual basis** and must include:
  1. Justification for increasing the threshold
  2. The increased threshold amount
  3. Supporting documentation of any of the following:
    - a) Most recent Single Audit qualifying subrecipient as a Low-risk auditee
    - b) Annual internal institutional risk assessment to identify, mitigate, and manage financial risks
    - c) For public institutions, a higher threshold consistent with State law



# Informal Procurement Methods

## Micro-Purchase threshold over \$50,000

§ 200.320(a)(1)(v)

- Must obtain approval from cognizant agency for indirect costs
- Submit request with the same requirements included in your support for increasing Micro-Purchase thresholds up to \$50,000
- Increased threshold is valid until there is a change in status in which the justification was approved



# Informal Procurement Methods

## Small Purchases

§ 200.320(a)(2)

- **Greater than** Micro-Purchase threshold and **less than or equal to** the Simplified Acquisition Threshold (SAT)
- SAT set at \$250,000, per FAR
  - Internal threshold cannot exceed amount set by FAR
- Price/Rate quotations must be obtained from an adequate number of qualified sources





# Formal Procurement Methods

## Sealed Bids § 200.320(b)(1)

- Greater than SAT \$250,000
- **Scope of Work is definite**
- RFBs must be publicized
- Bids solicited from 2 or more bidders/offerors
- **Public opening of bids at set date and time**
- **Fixed-Price contract awarded to lowest price bidder**

## Proposals § 200.320(b)(2)

- Greater than SAT \$250,000
- **Scope of Work is less definitive**
- RFPs must be publicized
- Proposals solicited from 2 or more proposers/offerors
- **Proposals scored based on established evaluation criteria**
- **Fixed-Price or Cost-Reimbursement contract awarded to proposal that is most advantageous**



# Non-Competitive Procurements

§ 200.320(c)(1) – (5)

- Non-competitive procurements are only allowable under one or more of the following circumstances:
  1. Amount does not exceed the Micro-Purchase Threshold
  2. Single Source
  3. Public Exigency or Emergency
  4. Inadequate Competition
  5. With Federal Awarding Agency or Pass-Through entity Authorization

**NOTE: Cal OES will only authorize if one of the first four circumstances apply**



## Non-Competitive Procurement Authorizations

- All noncompetitive procurements in **excess of the SAT (\$250,000)** require **prior approval** from Cal OES
  - No retroactive approvals will be granted
- Cal OES prior approval is also required for all HSGP-funded **non-competitive procurements of training, regardless of the dollar amount**
- For [CSTI/DHS Pre-Vetted Single Source Homeland Security Trainings](#), prior approval from Cal OES is still required



# Non-Competitive Procurement Authorizations

- What must be submitted to Cal OES for non-competitive procurement approval?
  1. [Non-Competitive Procurement Authorization \(NCPA\) form](#)
  2. CSTI Tracking Number for training courses
  3. A Cost or Price Analysis
  4. Prior Approval documentation, if applicable
- Profit **must be negotiated** for procurements in which there is no price competition



# Cost or Price Analysis

§ 200.324(a)

- **Objective:** To ensure a fair and reasonable price
- Must perform a Cost Analysis or Price Analysis analysis in connection with every procurement action in excess of the Simplified Acquisition Threshold (\$250,000) including contract modifications



# Cost or Price Analysis

- A Price Analysis is a method for evaluating similar products
- A Cost Analysis is a method to evaluate the fair market value of a product without comparing it to another
- **As a starting point**, it is **REQUIRED** that an independent price/cost estimate be made and documented before receiving any bids or proposals



# Price Analysis

- Price Analysis is the most commonly used method to determine a fair and reasonable price
- Typically used when acquiring items or services that are **on the open market** and that have competing alternatives with **relatively similar benefits**
- A Price Analysis would include a detailed review of the benefits of each offering relative to the quoted prices



# Price Analysis

- Techniques include, but are not limited to:
  - Comparing proposed prices with independently developed price estimates prepared prior to receiving bids/proposals
  - Comparing proposed prices received in response to a solicitation
  - Comparing prior (historical) proposed/contract prices with current proposed prices for the same or similar goods or services
  - Comparing offers with competitively published catalog prices, published market prices, or similar indices





# Cost Analysis

- Typically used when there are **no comparable products or services**
- A Cost Analysis involves the review of separate cost elements or line items and proposed profit to determine a fair and reasonable price
- **Must negotiate profit** as a separate element of the price when there is no price competition and in all cases where a Cost Analysis is performed



# Cost or Price Analysis

	Price Analysis	Cost Analysis
Level of Analysis	Simple	Detailed
Competition	Adequate	Inadequate
Method	Price Comparison	Cost Breakdown



# Contract Provisions

§ 200.327

- All contracts must contain the applicable provisions described in Appendix II to Part 200
- [FEMA Contract Provisions Guide](#)



# Procurement Records

- Maintain all procurement records
- Procurement records confirm compliance with the Federal standards at 2 C.F.R 200.318 – 200.327
- Lack of documentation is a common finding
- Records must be maintained for at least 3 years from date of grant closeout



# Procurement Records

- Procurement records include, but are not limited to:
  - Pre-solicitation documents (e.g. advanced authorizations)
  - Rationale for method of procurement
  - Independent price/cost estimates
  - Copy of solicitations
  - List of sources solicited to
  - Bids/Proposals/Quotes
  - Rationale for contractor selection
  - Determination that price is fair and reasonable, including an analysis of the cost and price data
  - Copy of contracts/purchase orders and any amendments



# Resources

- [Code of Federal Regulations | eCFR.gov](#)
- [PDAT Homepage & Training Schedule | FEMA](#)
- [2021 Contract Provisions Guide | FEMA](#)
- [California Specialized Training Institute \(CSTI\) | Cal OES](#)



## State Training Operations

Tracy Stocks  
Nina Brunner

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# Training Request

## 1. Feedback Numbers

- Cal OES Grants Management is responsible for the administration and distribution of all funds to local and regional entities.
  - HSGP composed of SHSP, UASI, Nonprofit Security Grant Program Port, Security Grant Program, EMPG
  - These grant awards support the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal of a secure and resilient Nation.
- Cal OES State Training Operations ensures the training being conducted throughout the state meets grant guidance and is eligible for reimbursement of these funds.
- To do this, the training being conducted by our sub-recipients must be approved by Cal OES Training Branch.
- Just as Cal OES Grants Management oversees/distributes funding throughout the state, Cal OES STOps oversees/approves the training going on throughout the state.





# Single Source

## 1. Single Source Documents

- To support your request to use Homeland Security Grant Program (HSGP) funds, utilizing a single source provider. The courses listed in the two documents below have been identified and approved to be used as a single source provider. Please refer to the Grants Management Memo on this subject for detailed information.
  - [CSTI Single Source Provider Letter](#)
  - [DHS Approved Courses as Single Source](#)



# NQS

1. **Requirements;** The **NIMS Guideline for the National Qualification System (NQS)**, which describes the components of a qualification and certification system, defines a process for certifying the qualifications of incident personnel, describes how to stand up and implement a peer review process, and provides an introduction to the process of credentialing personnel.
  - Phase 2: NQS Implementation Objectives for FY24
    - All jurisdictions shall have designed and approved organizational qualification system procedures, certification program and credentialing standards for incident workforce personnel in alignment with the NIMS Guideline for the National Qualification System
    - In FY24, all jurisdictions partially satisfy the requirement by ensuring incident workforce personnel, which they designate, meet the minimum training requirements from the Job Title/Position Qualification.



# Questions

**Tracy Stocks; Sr. EMC & State Training Officer (STO)**

[tracy.stocks@caloes.ca.gov](mailto:tracy.stocks@caloes.ca.gov)

**Nina Brunner; EMCI2 & Training Point of Contact (TPOC)**

[nina.brunner@caloes.ca.gov](mailto:nina.brunner@caloes.ca.gov)

**State Training Operations (STOps)**

[training@caloes.ca.gov](mailto:training@caloes.ca.gov)