



**FY 2023**

# **Nonprofit Security Grant Program**

**Cal OES Infrastructure Protection Grants Unit I**

**[Nonprofit.Security.Grant@CalOES.ca.gov](mailto:Nonprofit.Security.Grant@CalOES.ca.gov)**

# Agenda



- Subaward Letters
- Required Documents
- Allowable vs Unallowable
- The Workbook
- Payment Process and Modification
- Procurement Requirements
- Accountability Requirements
- Resources
- Closing



Subaward letters are issued for each of the two (2) phases in the application process.

## **Phase I: NOTIFICATION OF SUBRECIPIENT SUBAWARD APPROVAL**

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

## **Phase II: NOTIFICATION OF APPLICATION APPROVAL**

- Issued when all application requirements are complete and approved.
- Environmental Historic Preservation Screening Form (EHP) must be approved by FEMA before you can receive a Reimbursement. No equipment may be purchased or installed prior to the date of the EHP approval.

**\* Please add [GrantsManagement@CalOES.ca.gov](mailto:GrantsManagement@CalOES.ca.gov) and [HSEM\\_GP@CalOES.ca.gov](mailto:HSEM_GP@CalOES.ca.gov) to your email contacts, so that you will receive official Cal OES notifications.**



## Emails & Documents Naming Conventions

### **Name Emails:**

#### Subject Line:

FY23 NSGP - "Organization Name" - "Subject"

#### Example:

FY23 NSGP - Happy Temple - Question on EHP

### **Name Documents as:**

#### Document Name:

FY23 NSGP - "Organization Name" - "Document Name"

#### Example:

FY23 NSGP - Happy Temple - EHP Screening Form

***Please include your name and contact information at the end of the email.***

# Required Documents



1. Governing Body Resolution
2. Payee Data Record (STD 204)
3. 501(c)(3) Certification
4. Federal Funding Accountability and Transparency Act (FFATA) Financial Disclosure
5. Subrecipient Grant Management Assessment Form
6. Certification Regarding Lobbying
7. Grant Assurances
8. Environmental Planning and Historic Preservation (EHP) Screening Form
9. Financial Management Forms Workbook (FMFW)

***All Required Documents must be received and approved by Cal OES before you will be able to request a Reimbursement of funds.***

***Please submit all Required Documents separated by name, in one email to your Program Representative by **November 17, 2023.*****

***Required Documents Deadline - December 29, 2023.***

# 1) Governing Body Resolution



This 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.

## Document Requirements:

- A header that clearly displays the name of the nonprofit organization
- The name of the grant: FY 2023 Nonprofit Security Grant Program
- The name of the governing body
- 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.**

# 1) 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 of 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 Federal financial assistance provided by the Federal Department of Homeland Security and subgranted through the State of California for the following Grant Award:

\_\_\_\_\_  
(List Grant Year and Program)

Passed and approved this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

**Certification**

I, \_\_\_\_\_, duly appointed and  
(Name)

\_\_\_\_\_ Of the \_\_\_\_\_  
(Title) (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)

## 2) 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 I
  - 3650 Schriever Avenue
  - Mather, CA 95655



## 2) Payee Data Record/STD 204



- The **Correct Name** as stated on the FEIN or 501c3 letter must be listed exactly on each Required Document that is submitted to Cal OES.
- Subrecipients must verify that the name and address listed on the STD 204 are consistent with how the organization is registered with the Franchise Tax Board (FTB), Department of Justice (DOJ), Secretary of State (SOS), Internal Revenue Service's Federal Employer Identification Number (FEIN), and Unique Entity Identifier Number (Sam.gov).
- It is the Subrecipient's responsibility to ensure that the **name** and **address** are consistent between the STD 204, FTB, IRS, DOJ, SOS, and Sam.gov.
- 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.

## 2) Payee Data Record/STD 204



The **Correct Name** must be listed exactly 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 the 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 the submitted information exactly. To check on your organization, please visit:
  - <https://bizfileonline.sos.ca.gov/search/business>
- Unique Entity ID (UEI#): Organizations will be looked up and the record checked to ensure that the information matches the submitted information exactly. To check on your organization, please visit: [SAM.GOV](https://sam.gov)
  - **Note:** Your UEI verification **must** be active, and **must** include 'Active Exclusions' information. Contact your Program Specialist for clarification

## 2) Payee Data Record/STD 204



The **Correct Name** must be listed exactly on each Required Document that is submitted to Cal OES and matches 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 the 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 will be looked up and any records found checked to ensure that the information matches the submitted name and address exactly. To check on your organization, please visit:
  - <http://rct.doj.ca.gov/Verification/Web/Search.aspx?facility=Y>

# 2) Payee Data Record/STD 204



Print Form

Reset Form

STATE OF CALIFORNIA – DEPARTMENT OF FINANCE

## PAYEE DATA RECORD

(Required when receiving pay 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)**

\_\_\_\_\_ - \_\_\_\_\_

# 3) 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 2<sup>nd</sup> paragraph box because they do not need a 501(c)(3) Determination Letter.

GAVIN NEWSOM  
GOVERNOR

MARK S. GHILARDUCCI  
DIRECTOR

**EXAMPLE**



## 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.

## 4) FFATA Financial Disclosure



As defined by the Office of Management and Budget, the following are subject to FFATA reporting requirements:

1. All new federal awards of \$30,000 or more as of August 13, 2020.  
NOTE: Cal OES reports on this requirement in the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS).
  
2. The Total Compensation and Names of the top five executives, if the Subrecipient in the preceding year received:
  - a. 80 percent or more of its annual gross revenues in Federal Awards; and
  - b. \$25,000,000 or more in annual gross revenues from Federal awards; and
  - c. The public does not have access to information about the compensation of the senior executives of the entity.

## 5) Subrecipient Grants Management Assessment



- Cal OES is required under [2 CFR § 200.325](#) to evaluate the risk of noncompliance with federal statutes, regulations, and grant terms and conditions posed by each Subrecipient of pass-through funding.
- 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**

# 5) Subrecipient Grants Management Assessment



PRINT

RESET

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

**EXAMPLE**

Subrecipient: \_\_\_\_\_ UEI# \_\_\_\_\_ FIPS# \_\_\_\_\_

Disaster Program Title: Nonprofit Security Grant Program

Performance Period: 09/01/22 to 05/31/25 Subaward Amount Requested: \_\_\_\_\_

Type of Non-Federal Entity (Check Box):  State Gov.  Local Gov.  JPA  Non-Profit  Tribe

Per Title 2 CFR § 200.332, 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 federal 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, and/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 ▾ |



## 6) Certification Regarding Lobbying



Use the Certification Regarding Lobbying Form to certify lobbying activities, as stipulated by the Byrd Anti-Lobbying Amendment, 31 U.S.C. § 1352.31 & U.S.C. § 1352.

Purpose: Used to certify the organization will not use federal grant funding for the purpose of lobbying for additional federal benefit.

If the organization does engage in the practice of lobbying with its own funds (non-federally appropriated), the organization will also fill out the [Standard Form-LLL](#), 'Disclosure of Lobbying Activities.

# 7) Standard Assurances



The Standard Assurances list 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 NSGP application.

**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 Grants Management Memoranda (GMM), and phone or email messages from Cal OES program staff.

## 8) Environmental Planning and Historic Preservation (EHP) Screening Form



The EHP screening is carried out with the primary purpose of preservation of historical and archeological sites.

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

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

### **Required Documents:**

[EHP Screening Form](#) (FEMA Form FF-207-FY-21-100)

Photographs with labels and a narrative of proposed equipment installations should be submitted in an attached PDF.

# 8) 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 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. |

# 8) EHP Screening Form



## **Section B – Project Type:**

- Select the boxes which describe the project type.
- The selected boxes show the parts of Section C to be completed.

**For NSGP Subrecipients you will select Project Types 1 and 3, and possibly 2 if it applies.**

1. Purchase of Equipment
2. Training and Exercises
3. Renovations/Upgrades/Modifications or Physical Security Enhancements to Existing Structures

# 8) 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 that include installation of equipment and/or ground disturbance.
- You will need to provide the age of your building/structure. This may be found by contacting the local planning department.
- Read and complete each bullet question.
- Provide complete installation details of all equipment, quantities, and where it will be installed.
- All ground disturbances should be described as Length x Width x Depth including quantity (1-14 etc.). An aerial photo should be attached showing where all ground disturbances will occur.
- Building or structure construction date is required.
- For all buildings and structures, attach ground-level color photos that are accurately labeled. Further guidance regarding photos is located in Appendix A of the EHP.

## 8) EHP Modifications



- **You may not** submit any changes to your equipment for EHP review that were not included in your Investment Justification (IJ) Application.
- No Modification Requests will be considered until after application docs and EHP approval are completed.
- If you need to modify equipment, you must first submit a detailed 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. This includes a side-by-side comparison of the changes, capturing cost, time, equipment, and any other necessary information.
- Cal OES will review the Modification Request, and then send it to DHS/FEMA for consideration/approval (**approval is not guaranteed**).

## 8) 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      |
|---|----------------|
|    | <b>Bollard</b> |
|    | <b>Camera</b>  |
|  | <b>Door</b>    |



Figure 1. Example of labeled, color aerial photograph.



## 8) 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

## 8) EHP Summary



### EHP reviews are Required.

- EHP reviews **must be approved** by FEMA before work may begin or funds may be released for all equipment installation and may be required for training and exercise activities.
- EHP reviews are process driven; rarely any mandated outcomes.
- Legwork upfront can shorten project review timeframes.

### **Delays may be caused by the following:**

1. Poor or absent ground-level photographs.
2. Inadequate project description.
3. Poor or absent aerial photographs.
4. Extent of ground disturbance.
5. No project location (physical addresses or latitude-longitude).

## 8) EHP Examples



# 8) 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 (1) pdf file** (recommended).

All photos should be labeled:

- Showing project location
- Location where equipment will be installed
- Outlining ground disturbances
- Include no more than 2 photos per slide or page.

## **Plans, Drawings, Blueprints**

Plans or blueprints can be used along with **aerial** photos. Label plans/drawings with equipment type and location including an index.

## 8) EHP Submission Process



- Subrecipient completes and submits EHP for state review to their Cal OES Program Representative.
- Cal OES reviews and submits EHP to DHS/FEMA for approval.
- DHS/FEMA reviews and notifies Cal OES if additional information is required or of EHP approval.
- Cal OES notifies Subrecipient of approved EHP.

Only After the EHP has been approved and all Required Documents have been submitted and approved, can the Subrecipient begin utilizing the grant award funds,

And,

Depending on the age of the building or other factors, additional information may be required, for example, a California Historical Resources Information System (CHRIS) Report.



**California Historical Resources Information System (CHRIS) Reports:**  
Grant-related reports affecting some California properties that are over 50 years old.

**(This MAY be required )**

- The Subrecipient must complete the form and pay a fee. After/if the EHP clears, grant funds may be used to reimburse the cost of the CHRIS Report Fee.



Allowable Costs Categories must correspond to what your organization requested in your Investment Justification (IJ) Application, and what was approved.

- Planning
- Exercise
- Equipment
  - Maintenance and Sustainment
- Training
- Contracted Security Personnel
- Management and Administration (M&A)
  - Consultant/Contractor Costs
  - Personnel 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).

In addition to the items in Sections 14 and 15, the following equipment is also allowable:

- Notification and Warning Systems; and
- Radios and Public Warning Systems-Public Address, handheld, or Mobile

AEL Numbers and Titles will be entered in the Equipment Tab of your FMFW Workbook. They **MUST** match the categories you entered in your Investment Justification Application unless you have written Modification approval to change them.

The equipment/inventory list must have all of the required elements as set forth in [CFR 200.313\(d\)\(1\)](#).





## Maintenance and Sustainment:

In accordance with [FEMA Information Bulletin #336](#) and [Maintenance Contracts and Warranty Coverage Funded by Preparedness Grants](#):

- If purchasing a 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 that exceeds the period of performance.



## Prohibitions on Telecommunications and Video Surveillance Services and Equipment

**Effective August 13, 2020, DHS/FEMA Subrecipients may not use any FEMA grant funds from FY 2020 or previous years to:**

- Procure or obtain any equipment, system, or service that uses “covered telecommunications equipment or services” as a substantial or essential component of any system, or as critical technology of any system; or
- Enter into, extend, or renew a contract to procure or obtain any equipment, system, or service that uses “covered telecommunications equipment or services” as a substantial or essential component of any system, or as critical technology of any system; or
- Enter into, extend, or renew contracts with entities that use “covered telecommunications equipment or services” as a substantial or essential component of any system, or as critical technology as part of any system.

As mandated by the [John S. McCain National Defense Authorization Act](#).



## Prohibitions on Telecommunications and Video Surveillance Services and Equipment

- In May of 2023 FEMA Released a New Policy

[FEMA Policy #405-143-1](#)

- New policy provides additional guidance on the grant requirements and how to meet required contract provisions

# Allowable Costs: Training



Allowable training topics are limited to what you requested at the time of application, which were:

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

Training costs are limited to attendance fees for training, and related expenses, such as materials, supplies, and/or equipment.

**All training activities must receive Cal OES approval **prior to starting the event** via the Cal OES [Training Request Form](#). If approved, you will receive a **Training Feedback Number**.**

**Talk to your Program Specialist for more information.**



## Contracted Security Personnel

Contracted security personnel are allowed under this program only as described in the NOFO and Emergency Preparedness Manual and comply with guidelines set forth in IB 421b and IB 441. NSGP funds may not be used to purchase equipment for contracted security.

The recipient must be able to sustain this capability in future years without NSGP funding.

Pursuant to [6 U.S.C. § 609\(b\)](#), NSGP funds may be used for security personnel costs, totaling up to 50% of the Subaward.



## **Management and Administration (M&A):**

Subrecipients may use up to 5% of the amount subawarded to them solely for M&A purposes associated with the Subaward. This must be requested at the time of application.

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



## Consultant/Contractor Costs

- It applies to 3<sup>rd</sup> party grant administrators, any paid contractors, and consultants that were hired to work on the grant.
- You must detail work performed by the Consultant/Contractor to include pay rates, hours, and contract details.
- The Consultant/Contractor Tab will be included in your initial application if you plan to use a paid grant consultant.
- May require the use of the Personnel Tab to include hourly billing rates and details regarding individuals working on the grant versus the use of a firm.



## Personnel Costs

- It applies to grant administrators or any paid personnel that work for the subawarded organization. This will be filled out on the Personnel Tab of the FMFW.
- 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.



# 9) Financial Management Forms Workbook (FMFW)



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 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 your Cal OES Program Representative as an email attachment. Once approved, it should be signed by an Authorized Agent and the relevant pages emailed back to your Cal OES Program Representative.

Your Program Representative will provide the FY 2023 NSGP FMFW.



We will now open a copy of the workbook for a demonstration.



## The NSGP is a reimbursement grant program.

**Cash Reimbursements** - repay the nonprofit organization after they use their own funds to implement a project.

**Modification** - is used for making your budget or scope-of-work changes. Adding or eliminating equipment found in the Investment Justification (IJ) must be requested in writing. The request should be on nonprofit letterhead, bearing an Authorized Agent signature. A Modification Form must also be completed and approved.

**All documents must be APPROVED by your Cal OES Program Representative.**



- Ensure all of your Required Documents are Received and Approved by Cal OES.
- Make sure you are utilizing the **most recent approved FMFW** before you begin.
- Ensure your EHP review has been approved by FEMA. Wait to receive your official EHP Clearance Letter.
- **Email** a draft FMFW Cash Reimbursement Request to your Program Representative. The Program Representative will then guide you through the rest of the process.

**It may take up to 6-8 weeks to receive any funds from the State Controller's Office once your Reimbursement is APPROVED.**



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



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 as a new workbook. Always 'save-as' a macro-enabled workbook.
2. Click on the most recent approved "Project Ledger" tab.
3. Click on "NEW REQUEST" macro button on the "Project Ledger" tab to make a copy of the "Project Ledger."
4. Enter the name of your new Request. (For example: PL CA1 or PL CR1).
5. Click on "Reimbursement Request" macro button. Enter Request #.



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 “Auth Agent” tab. Make a copy of the tab. Select “Reimbursement” macro button. Enter the total amount of the Reimbursement Request.
9. Email the FMFW to your Program Representative for preview/approval of all tabs before you date and sign the Authorized Agent tab.
10. Email the completed FMFW to the Cal OES Program Representative. Once your Program Representative has approved it you will be provided with additional instructions.



1. **Have or Create a tracking system** that will track the NSGP funds in and out of the account used.
2. Follow your own **procurement policy** and/or the CFR for each approved project, or whichever policy is most restrictive.
3. Subrecipient submits FMFW Request to Cal OES **via email for preview/approval.**
4. Do not request funds for one project (example: lighting) and use them for a different project (example: fencing).
5. Email invoices and proof of payments **clearly identifying** the items for which you are seeking NSGP Reimbursements to your Program Specialist.





**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 costs 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



**EXAMPLE**

Company Name

License# 1234567




[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.)



Acceptable Proofs of Payment include:

- Bank Checks
- Cashier's Checks
- Money Orders
- Credit/Debit charges must be supported by transaction slip or bank statement.

*All invoices must be accompanied by proof of payment for Reimbursements.*

# Proof(s) of Payment



- Must be Legible
- Bank Names
- Routing Dates
- Routing Sequence
- Routing Batch
- "For"= Invoice #
- Vendor
- Endorsement
- Checks must be drawn from Subrecipient's business accounts

8/10/2015 SchoolsOnline

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

Check Front

**EXAMPLE**

NO. 7502 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

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

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

Branch: 492  
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 features to protect your funds. For more information, please contact your branch manager. Thank you for choosing First Citizens Bank.

First Citizens Bank  
13203790  
SACRAMENTO, CA 95814

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In accordance with [2 CFR §200.313](#) Equipment, you must keep an 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)
- AEL #s and Titles
- Vendor Identification
- Equipment Cost
- Acquisition Date
- Title/Title Holder



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 a 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.



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)
- Per [CFR 200.326](#), all contracts must contain the applicable provisions described in Appendix II to Part 200

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](#).



## **NSGP Investment Modifications – Changes in Scope or Objective:**

Changes in scope or objective of the award—whether as a result of intended actions by the recipient or Subrecipients—require FEMA's prior written approval, in accordance with 2 C.F.R. §§ 200.308(c)(1)(i), 200.407.

NSGP is competitive, with applications recommended for funding based on threat, vulnerability, consequence, and mitigation to a specific facility/location, consistent with 2 C.F.R § 200.308(c)(1)(i),

Change in Scope Notification, DHS/FEMA requires the prior written approval of any change in scope/objective of the grant-funded activity after the award is issued. See 2 C.F.R. § 200.308(b), (c).

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 NSGP awards.





## **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. The request should be on nonprofit letterhead and include the Authorized Agent signature.
- Organization must complete the **Cal OES Modification Request Form**.
- Cal OES will review the Request and forward it to FEMA for consideration, as appropriate.
- Your Modification may require submission of a revised EHP Screening Form.
- 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.



## **If a Subrecipient wants to seek a Modification, they must:**

Have a written request submitted on letterhead, outlining the scope or objective change, including the approved projects from the Subrecipient's Investment Justification (IJ), the funds and relative scope or objective significance allocated to those projects, the proposed changes, and any resulting reallocations as a result of the change of scope or objective;

- An explanation of why the change of scope or objective is necessary;
- Include supporting documents, i.e. assessments, bids, estimates, and regulations.
- Validation from the SAA that any deviations from the approved IJ are addressed in the Vulnerability Assessment submitted by the Subrecipient at the time of application; and,
- The Subrecipient request must also address whether the proposed changes will impact its ability to complete the project within the award's period of performance.

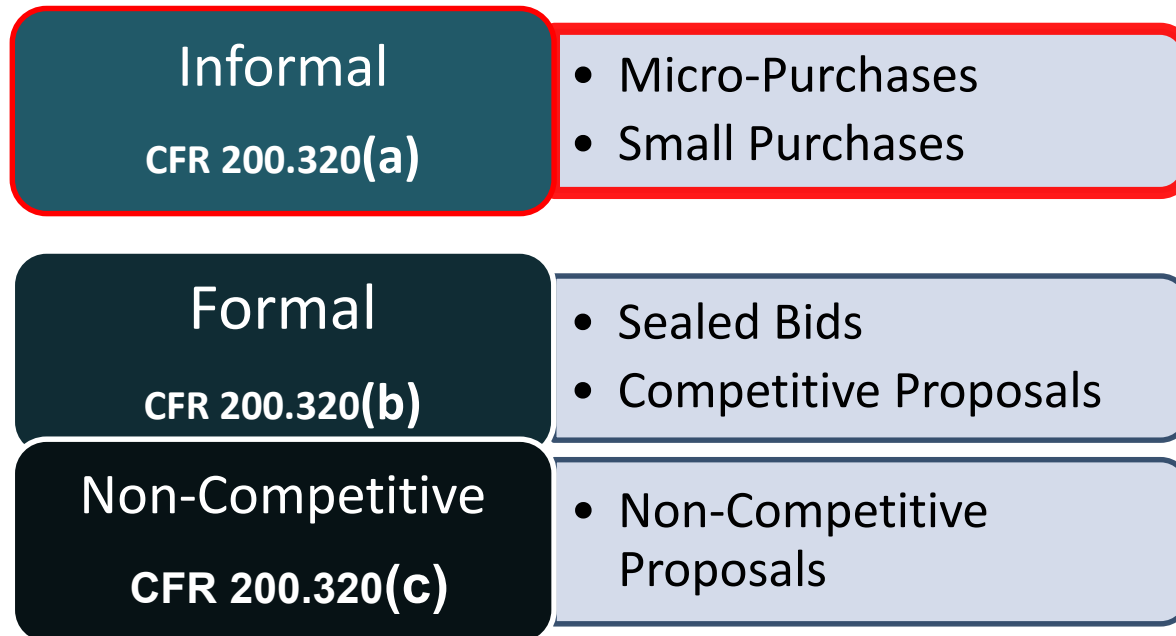
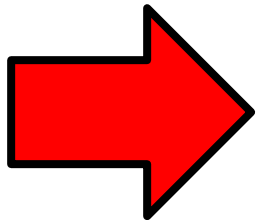
**The Subrecipient must also fill out the Cal OES Modification Form**



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

NSGP award amounts qualify under Informal Procurements





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



- 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.



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.





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 NSGP 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.



- Biannual Strategy Implementation Report
- Semi-Annual Drawdown Requirements
- Grants Monitor Review
- Grant Binder

*\* Let your Program Representative know if your organization has previous open Fiscal Year NSGP Subawards, or California State Nonprofit Security Grant (CSNSGP) Subawards*



## Grant Binder

Keep **all** grant-related documents in your grant binder, including:

- HOLD Documents and HOLD Release Letter, if applicable
- EHP Screening Form and FEMA Approval Letter
- Bids, Contracts, Vendor Selection Reasoning, (if applicable), Invoices, Proof of Payments - separated by each Cash Request
- Modification Documents
- All Official Cal OES and FEMA Notifications
- All Grants Monitor Review Documents, if applicable



- The Purpose of the BSIR is to measure the performance of the subawarded organization in the 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 [2 CFR § 200.328](#), Monitoring and reporting program performance, will report via the Grants Reporting Tool
- All subawarded organizations ***must*** participate in at least one BSIR training each reporting period.
- The reporting requirement begins once the organization receives the official Award Letter from Cal OES.

[Grants Reporting Tool](#)

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



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

- Reporting cycle for the BSIR is every 6 months
  - Summer BSIR: January 1 through June 30
  - Winter BSIR: July 1 through December 31
- Provides progress on implementation of projects and how expenditures support Planning, Organization, Equipment, Training, and Exercise (POETE)
- Data collected from the GRT are used in reports to Congress

**Timely submission is a must.** Failure to submit a BSIR could result in Subaward reduction, termination, or suspension.



- 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.



Cal OES reviews all Subrecipients who received grant awards.

Reviews may include, but are not limited to:

- Entries recorded on the FMFW 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;
- Confirming compliance with:
  - Procurement and Conflict of Interest Policies,
  - Grant Assurances, and
  - Information provided on performance reports and payment requests.



Cal OES will close-out Subrecipient awards when it determines all applicable administrative actions, and all required work of the federal award has 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 BSIR showing all grant funds have been expended.





- Title 2, Code of Federal Regulations (CFR) Part 200 - UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS
- Subrecipient – the organization in receipt of the grant funding from the State Administrating Agency (SAA)
- FEMA Information Bulletin (IB's) – provide stakeholders with administrative instructions and guidelines critical to supporting the effectiveness and efficient delivery of FEMA Grant Programs
- Grants Management Memorandum (GMM) – provides stakeholders with instructions and guidelines critical to the delivery of Cal OES supported programs within the Grants Management Division
- Period of Performance – September 1st, 2023, to May 31st, 2026. Activities that occur between these dates are reimbursable with some conditions.



- [Authorized Equipment List](#)
- [Bureau of Security & Investigative Services](#)
- [Cal OES Grants Management Documents](#)
- [Department of Consumer Affairs, Contractors State License Board](#)
- [Environmental Planning and Historic Preservation Compliance](#)
- [National Historic Preservation Act](#)
- [FY 2023 NSGP NOFO](#)
- [FY 2023 NSGP Preparedness Grants Manual](#)
- [FY 2023 NSGP State Supplement](#)
- [Title 2, Code of Federal Regulations, Part 200](#)

# Recap: Required Documents



1. Governing Body Resolution
2. Payee Data Record (STD 204) Printout of IRS, SOS, FTB, DOJ
3. 501(c)(3) Certification
4. Federal Funding Accountability and Transparency Act (FFATA) Financial Disclosure
5. Subrecipient Grant Management Assessment Form
6. Certification Regarding Lobbying
7. Grant Assurances
8. Environmental Planning and Historic Preservation (EHP) Screening Form
9. Financial Management Forms Workbook (FMFW)

***Please submit All Required Documents via email to your Program Representative By **November 17, 2023.*****

***Required Documents Deadline - December 29, 2023.***



Contact us at:

IPGU Unit 1

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# Questions?



**Please submit all Required Documents via email  
to your Program Representative By  
November 17, 2023.**

***Required Documents Deadline  
December 29, 2023.***