



# Coming Soon!

## Cal OES Grants Central System



### THE CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES

is modernizing and simplifying the grant process with a streamlined, efficient, and automated system that will transform every phase of the grant life cycle.





## KEY FEATURES AND BENEFITS

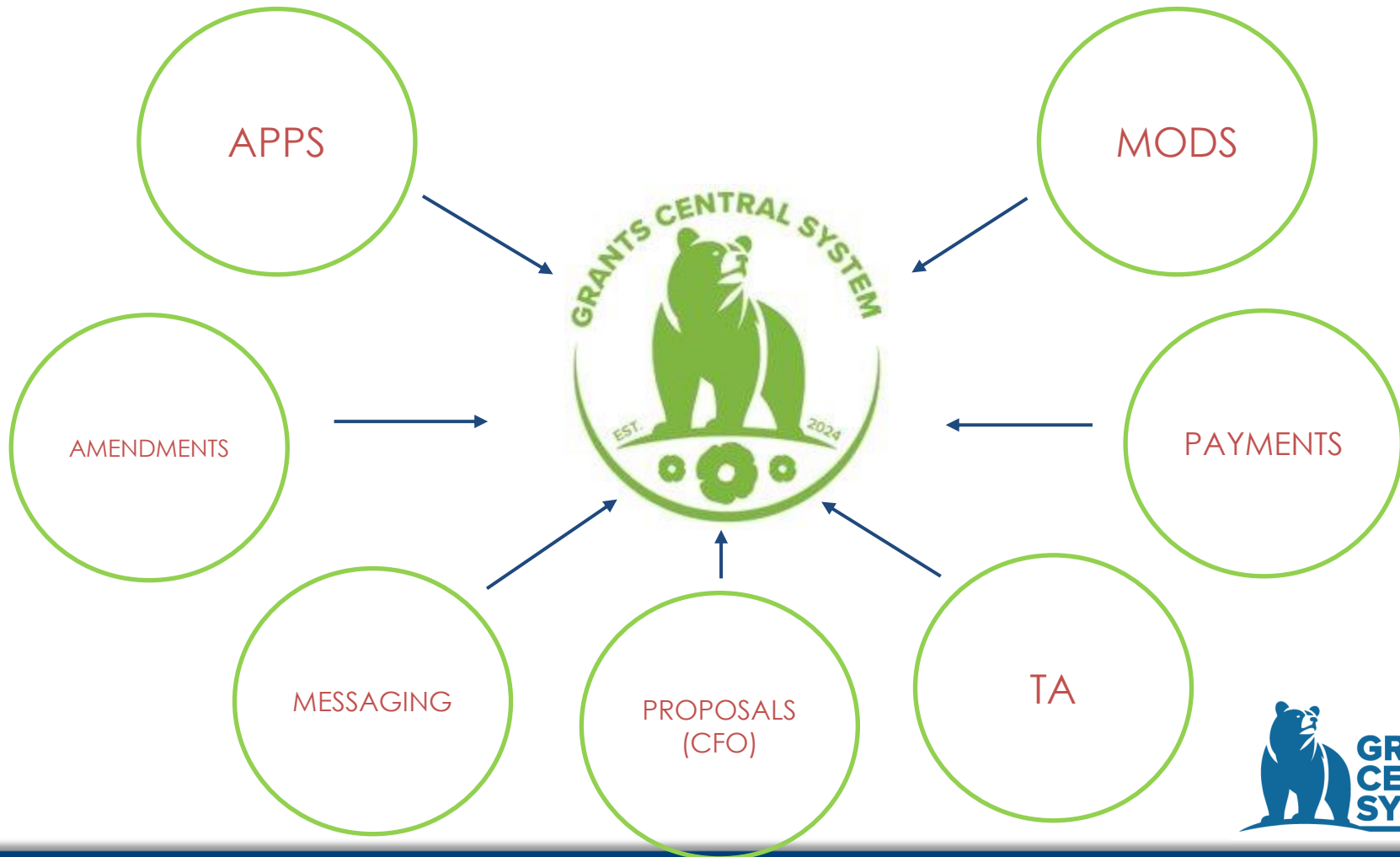
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- ✓ **Eliminate paper-driven processes**
- ✓ **Automate notifications**
- ✓ **Simplify the application process**
- ✓ **Improve Sub-recipient experience**





# One centralized location for:







# Next Steps:

Grants Management Memo going out late October will address:

- information/link to how to register in GCS
- Training on GCS coming in November - dates forthcoming.
- Technical support contacts for GCS
- More information to come about GCS NSGP Grant.







# Questions?





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# Fiscal Year (FY) 2024 NSGP Required Documents Webinar



# Agenda



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- Subaward Letters
- Required Documents
- Allowable Costs
- 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
- Expenditure Period
- Additional Application and 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 records. The award letters will be processed and are coming in the next few weeks. 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.



# 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

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

***Required Documents Deadline – February 10, 2025.***



# 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 2024 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 or Title of Authorized Agent)

is hereby authorized to execute for and on behalf of the named Applicant, a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining 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)

\_\_\_\_\_  
(Title)

Of the \_\_\_\_\_  
(Governing Body)

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

\_\_\_\_\_  
(Official Position)

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)



## 2) Payee Data Record/STD 204



**Cal OES**  
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- 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
  - 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 include 'Active Exclusions' information. Contact your Grants Analyst 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 payment from the State of California in lieu of IRS W-9 or W-7)

STD 204 (Rev. 03/2021)

**EXAMPLE**

### Section 1 – Payee Information

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

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

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

**CITY, STATE, ZIP CODE**

**E-MAIL ADDRESS**

### Section 2 – Entity Type

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

☐ **SOLE PROPRIETOR / INDIVIDUAL**

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

☐ **PARTNERSHIP**

☐ **ESTATE OR TRUST**

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

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

☐ **LEGAL** (e.g., attorney services)

☐ **EXEMPT** (e.g., nonprofit)

☐ **ALL OTHERS**

### Section 3 – Tax Identification Number

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

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

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

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

**OR**

**Federal Employer Identification Number (FEIN)**

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



### 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 the Federal Funding Accounting and Transparency Act (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): <input type="checkbox"/> State Gov. <input type="checkbox"/> Local Gov. <input type="checkbox"/> JPA <input checked="" type="checkbox"/> Non-Profit <input type="checkbox"/> 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 2024 Standard Assurances as part of their FY 2024 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 Grants Analyst. 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
	Bollard
	Camera
	Door

1927 13th St, Sacramento, CA 95811

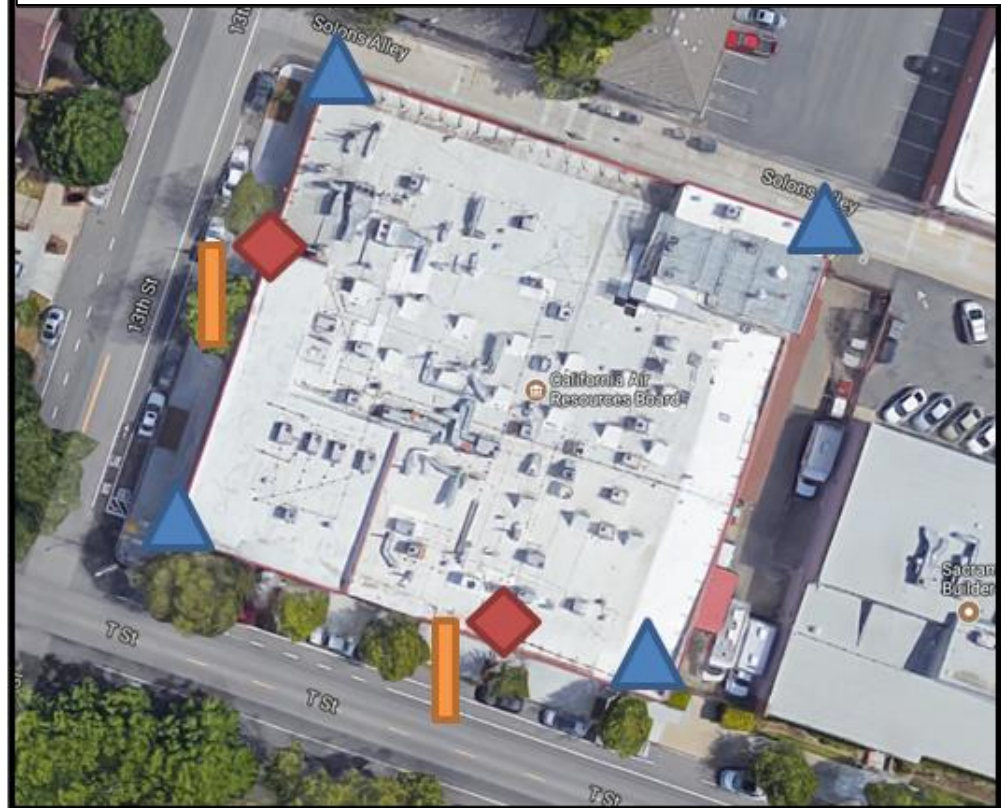


Figure 1. Example of labeled, color aerial photograph.



## 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.

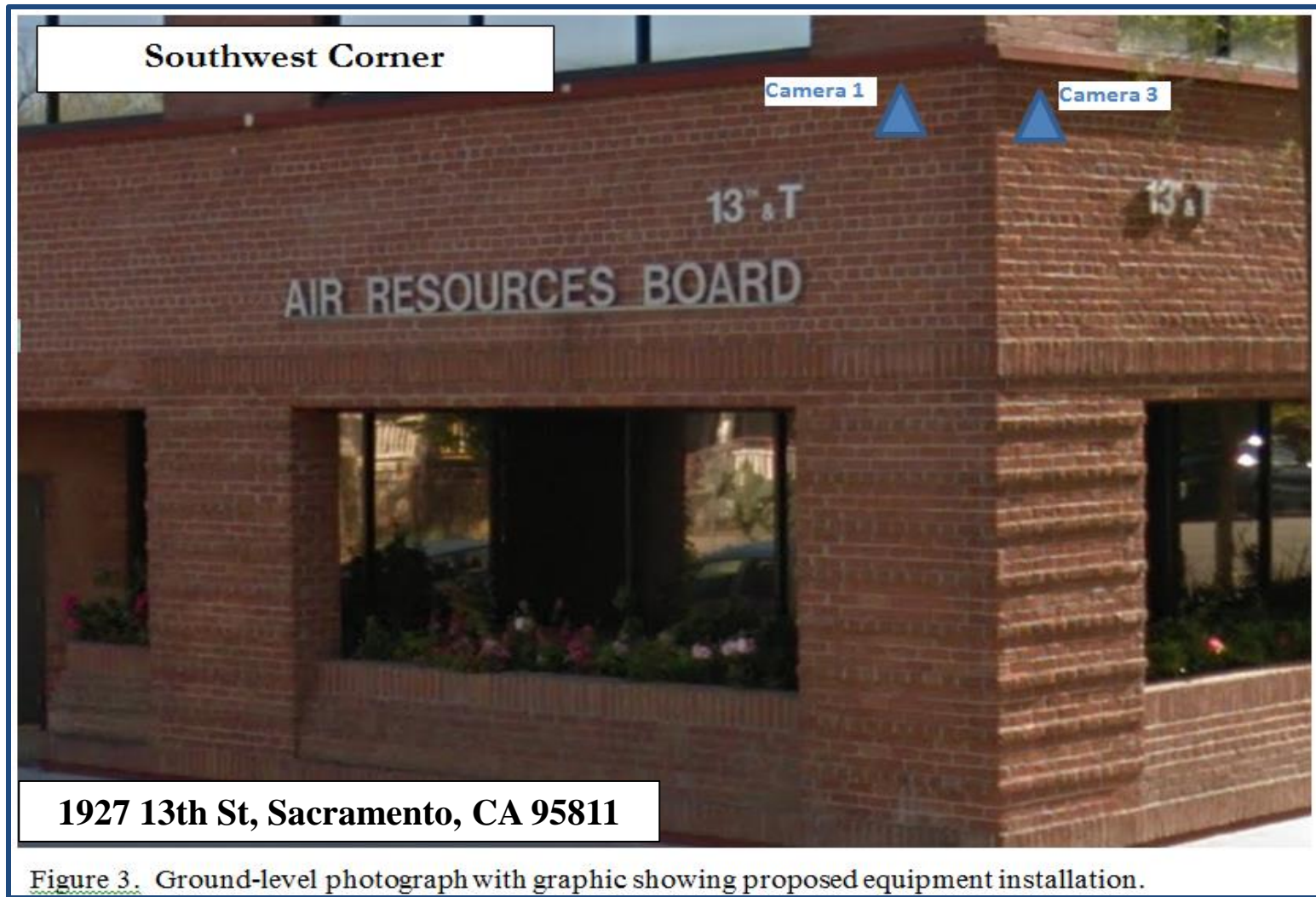
- EHP reviews **must be approved** by FEMA before work may begin or funds may be released for all equipment installation and may be required for training and exercise activities.
- EHP reviews are process driven; rarely any mandated outcomes.
- Legwork upfront can shorten project review timeframes.

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

1. Poor or absent ground-level photographs.
2. Poor or absent aerial photographs.
3. Inadequate project description.
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 Cal OES.
- 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.



## 8) EHP – 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
- Training
- Management and Administration (M&A)
- Organization
- Contracted Security



# Allowable Costs: Equipment



Allowable Costs are focused on target hardening activities. This equipment is limited to select items on the Authorized Equipment List (AEL) which can be located on the [FY 2024 NSGP NOFO](#).

Examples include:

- Physical Security Enhancement Equipment (category 14).
- Inspection and Screening Systems (category 15).
- Intercom/Intercom System (category 6)
- Applications, Software as a Service (category 4)

AEL Numbers and Titles 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.



# 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 Grants Analyst 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 option will be included in your initial application if you plan to use a paid grant consultant.
- May require the use of the Personnel option to include hourly billing rates and details regarding individuals working on the grant versus the use of a firm.





## Personnel Costs

- Applies to grant administrators or any paid personnel that work for the subawarded organization.
- 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.



# Submitting Cash Requests



**Cal OES**  
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- Ensure all Required Documents are Received and Approved by Cal OES.
- Ensure your EHP review has been approved by FEMA. Wait to receive your official EHP Clearance Letter.
- Ensure you have obtained the required Fidelity Bond/Certificate of Insurance.
- Your Grants Analyst will guide you through the rest of the process.

**It may take up to 8-12 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 Cal OES.
- Approved Reimbursements are received and processed by Cal OES initiating payments.
- Checks are issued and mailed directly to Subrecipients.





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 request to Cal OES **for preview/approval**.
4. Submit invoices and proof of payments **clearly identifying** the items for which you are seeking NSGP Reimbursements to CalOES.





**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



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

**EXAMPLE**

Company Name

License# 1234567

Your Logo Here

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

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

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

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

Quotation prepared by: John A. Doe

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





Acceptable Proofs of Payment include:

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

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



# Proof(s) of Payment



**Cal OES**  
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- 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: #00751 Amount: \$28.44 Date: 6/22/2015 [Print Check](#)

Check Front

**EXAMPLE**

NO. 7518 3211 7518

6-16 2015

PAY SAC. HEART & VASCULAR \$28.44

TO THE ORDER OF

TWENTY EIGHT & 44/100

SCHOOLS FINANCIAL CREDIT UNION

FOR 71697

7518

Check Back

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PAY TO THE ORDER OF  
FIRST CITIZENS BANK  
SACRAMENTO, CA 95814  
132037980  
FOR DEPOSIT ONLY  
SACRAMENTO HEART AND VASCULAR

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

06/19/15 Batch 13, 182

The security of the United States, as well as the peace and stability of the world, are dependent upon the security of the financial system. The Federal Reserve Bank of San Francisco is committed to the safety and soundness of the financial system and to the protection of the public interest. The Federal Reserve Bank of San Francisco is committed to the safety and soundness of the financial system and to the protection of the public interest.





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.
- For any changes, reach out to your Grants Analyst for assistance.





## **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**

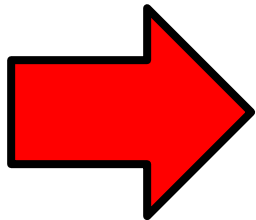




In accordance with [2 C.F.R. § 200.319](#), all procurement transactions must be conducted in a manner providing full and open competition consistent with the standards of this section.

## **Procurement Methods Grouped into 3 Categories**

NSGP award amounts qualify under Informal Procurements



**Informal**  
**CFR 200.320(a)**

- Micro-Purchases
- Simple Acquisitions

**Formal**  
**CFR 200.320(b)**

- Sealed Bids
- Competitive Proposals

**Non-Competitive**  
**CFR 200.320(c)**

- Non-Competitive Proposals





## Informal

[2 C.F.R. § 200.320\(a\)](#)

- Micro-Purchases
- Simple Acquisitions

### Micro Purchases § 200.320(a)(1)

- Purchases up to \$10,000
- Price/Rate Quotations **Not Required**

- Reasonableness of Price/Rate **must be documented**

Reasonableness can be determined by research, experience, purchase history or other information

### Simple Acquisitions §200.320(a)(2)

- Purchases \$10,001 to \$500,000
- **3** Price/Rate Quotations is Best Practice

- **Maintain all procurement records**, these include but are not limited to:

**WHO** – List of vendors

**WHEN** – Dates

**WHAT** – Quotes received

**WHY** – Reason for selection of vendor





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





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

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

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

Download a screenshot that shows the result "No Records Found" and place it in your grant records.





## 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 Grants Analyst, 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

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



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



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

- 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.





- 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)

**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, except for 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:

- 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 Administating 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, 2024, to May 31st, 2027. 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 2024 NSGP NOFO](#)
- [FY 2024 NSGP Preparedness Grants Manual](#)
- [FY 2024 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

***Required Documents Deadline – February 10, 2025.***





For more information contact Nonprofit Security Grant Program at:  
[Nonprofit.Security.Grant@caloes.ca.gov](mailto:Nonprofit.Security.Grant@caloes.ca.gov)