



REQUEST FOR APPLICATION

The California Governor's Office of Emergency Services (Cal OES), Victim Services (VS) Branch, is soliciting applications for the following program:

HOMELESS YOUTH AND EXPLOITATION (HX) PROGRAM

Release Date: April 11, 2023

This Request for Application (RFA) provides detailed information and forms necessary to prepare a proposal for Cal OES grant funds. The terms and conditions of this RFA supersede previous RFAs and conflicting provisions stated in the [Subrecipient Handbook \(SRH\)](#).

PROGRAM SYNOPSIS

Description:

The purpose of the Program is to provide comprehensive services to help homeless youth exit street life, with a focus on providing specialized services for youth experiencing sexual exploitation. Homeless youth is defined in [Government Code §12957](#). Services provided under the HX Program include access to food; shelter/housing; counseling; outreach; screening/referrals for basic health needs; linkage to other services offered by public and private agencies; long-term stabilization planning; and follow-up services.

Eligibility:

The only eligible Applicants are the HX Program Subrecipients funded in the prior fiscal year.

Grant Subaward Performance Period:

July 1, 2023 – June 30, 2024

Available Funding:

Individual Applicants may request up to the amount listed on the funding chart in Part I, Section F of the RFA.

Submission Deadline:

June 6, 2023



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(916) 845-8264 TELEPHONE

[CalOES Website](#)

HOMELESS YOUTH AND EXPLOITATION (HX) PROGRAM RFA

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PART I – OVERVIEW

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A. PUBLIC RECORDS ACT NOTICE

Proposals are subject to the California Public Records Act, Government Code Section 6250, *et seq.* Do not put any personally identifiable information or private information on this proposal. If you believe that any of the information you are putting on this proposal is exempt from the Public Records Act, please indicate what portions of the proposal and the basis for the exemption. Your statement that the information is not subject to the Public Records Act will not guarantee that the information will not be disclosed.

B. CONTACT INFORMATION

Questions concerning this RFA, the application process, or programmatic issues must be submitted in writing by email to:

Nicole Kriger, Program Specialist
Nicole.Kriger@caloes.ca.gov

C. SUBMISSION DEADLINE AND REQUIREMENTS

Applications must be emailed to VSapplications@caloes.ca.gov by **11:59 pm on Tuesday, June 6, 2023.**

D. ELIGIBILITY

The only eligible Applicants are the HX Program Subrecipients funded in the prior fiscal year.

Before the Grant Subaward performance period begins, Applicants:

- Must have a Unique Entity Identifier (Unique Entity ID) registered in the federal System for Award Management (SAM). Applicants who do not currently have a Unique Entity ID will need to register at SAM.gov to obtain one.

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- Must **not** have an exclusion record in SAM. An exclusion record in the SAM indicates that a contractor (agency) is listed in the (federal) government-wide system for debarment and suspension. An agency that is debarred or suspended is excluded from activities involving federal financial and nonfinancial assistance and benefits.
[Check SAM status.](#)
- Must be registered with the California Department of Justice's Registry of Charitable Trusts with a "current," "exempt," or "pending" status (applies to non-governmental organizations only).
[Check nonprofit status.](#)

E. GRANT SUBAWARD PERFORMANCE PERIOD

The Grant Subaward performance period is July1, 2023 – June 30, 2024.

F. FUNDING INFORMATION

There is \$1,088,310 available for the Program for the Grant Subaward performance period. Funding is contingent upon availability of funds and passage of the 2023-24 State Budget Act.

1. Funding Amount

Applicants may apply for up to the amount listed in the chart below, for the 12-month Grant Subaward performance period.

Please see the chart for the breakdown of the fund sources (by four-character code) and match.

Subrecipient	Grant Subaward Number	2021 VOCA	2023 HY05 (21VOCA Match)	2023 HY05	2023 HY00	Total Project Cost
Bill Wilson Center	HX23221430	\$97,077	\$24,269	\$61,731	\$0	\$183,077
Children's Hospital Los Angeles	HX23221185	\$97,078	\$24,270	\$61,730	\$213,963	\$397,041
Larkin Street Youth Services	HX23221352	\$97,078	\$24,270	\$61,730	\$142,037	\$325,115
San Diego Youth Services	HX23221093	\$97,077	\$24,269	\$61,731	\$0	\$183,077
Totals		\$388,310	\$344,000	\$356,000	\$356,000	\$1,088,310

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2. Funding Source(s)

Detailed information on all VS Branch federal fund sources can be found in the [VS Branch Federal Fund Information Guide](#). Applicants are **strongly encouraged** to review this document to familiarize themselves with the requirements for all fund sources that support this Program.

The Program is supported through the following funds:

- a. Victims of Crime Act (VOCA) Victim Assistance Formula Grant Program (Formula Grant Program)
 - Supports eligible crime victim assistance programs.
 - Requires the use of volunteers unless there is a compelling reason to waive this requirement.
 - To request a volunteer waiver, Applicants must submit the Volunteer Waiver Request Form (Cal OES Form 2-155) with their application.
 - Requires a cash and/or in-kind match equal to 20 percent of the total project cost. **All match required for VOCA funds on the HX Program will be met using state penalty funds; see funding chart above.**
 - Cal OES's four-character code for this federal fund is VOCA. This code will be in the drop-down on the Grant Subaward Face Sheet (Cal OES Form 2-101).
 - The federal award number for 2021 VOCA is 15POVC-21-GG-00613-ASSI.
- b. State Penalty Funds/Child Sexual Abuse & Exploitation
 - Provide funding to support victim services programs, amongst others.
 - There is no match requirement for this funding source.
 - Cal OES's four-character code for this state fund is HY05. This code will be in the drop-down on the Grant Subaward Face Sheet (Cal OES Form 2-101).

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- c. State General Funds/Homeless Youth
 - Provide funding to support victim services program, amongst others.
 - There is no match requirement for this funding source.
 - Cal OES's four-character code for this state fund is HY00. This code will be in the drop-down on the Grant Subaward Face Sheet (Cal OES Form 2-101).

G. PROGRAMMATIC INFORMATION

1. Background Information/Program Description

The Homeless Youth and Exploitation (HX) Program was created in 2002 and encompasses the requirements of Welfare and Institutions (W&I) Code Sections 13700, 13701, 13703, Penal Code (PC) Section 13837, and most recently, W&I Code Section 8255. In fiscal year 2021-22, California's 2017 implementation of the Housing First Model was expanded to include state shelter programs, requiring the Program to abide by the guidelines and regulations of the Housing First Model. (See [W&I Code Section 8255](#) for the core components of Housing First).

The purpose of the Program is to provide comprehensive services to help homeless youth exit street life, with a focus on providing specialized services for youth experiencing sexual exploitation. Homeless youth is defined in [Government Code §12957](#). Services provided under the HX Program include access to food; shelter/housing; counseling; outreach services; screening/referrals for basic health needs; linkage to other services offered by public and private agencies; long-term stabilization planning; and follow-up services.

2. Programmatic Components

The required Programmatic Components below were established in alignment with [Welfare & Institutions Code §13701](#), and [Penal Code §13837](#). Subrecipients must emphasize client choice through collaborative decision making when implementing the Programmatic Components for the HX Program.

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a. Food/Meals

Subrecipients must provide food/meals to homeless youth.

b. Access to Shelter

Subrecipients must provide shelter services to homeless youth. This includes immediate emergency shelter, and if possible, access to and coordination with medium to long-term shelter facilities, which provide more structure and independent living arrangements, such as subsidized apartments and transitional housing. The shelter must have a staff-to-youth ratio that is sufficient to ensure adequate supervision and treatment. Transportation to the shelter should be available, as needed, and barriers to entry should be low enough that it is easily accessible to youth.

c. Counseling

Subrecipients must:

- Provide counseling, or mental health services to include immediate crisis counseling to address homeless youths' immediate issues. Crisis counseling refers to crisis intervention, emotional support, guidance, and counseling provided by advocates, counselors, mental health professionals, or peers.
- Provide ongoing crisis intervention, emotional support, guidance. This can include professional psychological and/or psychiatric treatment, suicide intervention, drug abuse counseling, or other types of individual counseling sessions as appropriate.
- Provide case management services to assess the needs of youth, schedule necessary appointments, and assist in service coordination.
- Provide in-person counseling to sexually exploited youth to include ongoing therapy to help the youth overcome related issues, as well as other mental health issues. Therapy refers to intensive professional psychological and/or psychiatric treatment for youth, which should also be intended for

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providing emotional support.

Sexual exploitation of a youth up to age 18 includes “survival sex,” exchanging sexual favors for money or other payments to include shelter, clothing, or other goods and services, and commercial exploitation such as stripping and pornography.

This component must be measured by the number of sexually exploited youth who receive in-person ongoing counseling. To determine if a youth meets eligibility criteria for being sexually exploited, the counselor/case manager must document in the case file the reason why the counselor/case manager believes the youth has been sexually exploited. The number should be an unduplicated measurement; each sexually exploited youth should be counted only once regardless of the number of sessions attended.

d. Outreach Services

Subrecipients must provide outreach services to locate homeless youth and link them with services and drop-in facilities to make services accessible to youth living on the street. Drop-in centers offer low barrier-type of community-based services and can be a first step toward engaging homeless youth into more intensive services.

e. Screening and Referrals for Basic Health Care Needs

Subrecipients must screen for basic health care needs of homeless youth and provide referral for basic health care services (e.g., basic medical services, HIV tests, and pregnancy tests). Subrecipients should also provide transportation services to ensure the youth access the services.

f. Linkage to Other Services Offered by Public and Private Agencies

Subrecipients must have a referral system, as demonstrated through Operational Agreements (OA)/Second-Tier Subawards, established with other public and private agencies providing services appropriate for homeless youth. At a minimum, this referral system must include coordination with employment services agencies; law enforcement agencies; social service agencies; schools; mental health and health care providers; and

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the local Victim/Witness Assistance Center. Subrecipients should also provide transportation and follow-up services to ensure the youth follows through with the referral.

g. Long-Term Stabilization Planning

Subrecipients must provide homeless youth with long-term stabilization planning to help them exit street life. Long-term stabilization planning includes planning so the youth may return home under circumstances favoring long-term reunification with the family, or so the youth can be suitably placed in a situation outside the family when family reunification is not possible. Activities under this objective may include providing counseling services to the youth so the youth can return home or developing an individualized plan to help the youth prepare for emancipation, which may include employment training; educational services to aid youth in obtaining a high school diploma or GED certificate; household management skills; and personal health education.

h. Follow-Up Services

Subrecipients must provide follow-up services to ensure the return of the youth to the family or the placement outside the family is stable. Follow-up refers to in-person contacts, telephone contacts, and written communications with the youth.

i. Staff and Volunteer Background Checks

Before staff and volunteers have contact with youth, Subrecipients must:

- Require a formal application, including three references, checked by the Subrecipient's staff.
- Conduct a criminal background check. If Program staff and volunteers have resided in California less than three years, an out-of-state criminal history check (FBI check) is also required. For information on guidelines please refer to the Attorney General's Office [website](#). Subrecipients must have a policy for how negative background checks are handled and the policy must be made available to Cal OES upon request.

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- Check driving records through the Department of Motor Vehicles for staff and volunteers who transport clients.

j. Staff and Volunteer Requirements

Subrecipients must:

- Ensure staff and volunteers receive 40 hours of formal training. Training must include, but not be limited to, the following training topics:
 - Issues of homelessness and exploited youth
 - Substance abuse
 - Sexually transmitted diseases
 - Crisis intervention
- Ensure that staff and volunteers comply with PC Section 11165.7 regarding mandated reporters.
- Provide supervision by Subrecipient's paid staff.
- Have staff and volunteers sign a confidentiality agreement.

k. Personnel Records

Subrecipients must have personnel records for program staff and volunteers that include, but are not limited to, the following:

- Copies of applicable licenses and degrees.
- Documentation of training specific to the services performed through the Program.
- Documentation of the hours worked/volunteered for the Program.
- Documentation of the completed background checks/clearances, including the results and applicable waivers, such as applications, reference checks, background history check/clearance, Department of Motor Vehicles Clearance (if applicable), signed mandated reporter agreement, and signed confidentiality agreement.

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I. Confidentiality

Subrecipients must protect the privacy and confidentiality of clients. This protection should include, but is not limited to, maintaining confidential client files in a locked filing cabinet in a locked room for a period of no less than three years. Subrecipients are obligated to maintain protocols ensuring the confidentiality of client information from the point of collection to the point of destruction.

m. Homeless Management Information System (HMIS)

In accordance with requirements described in [Welfare & institutions Code § 8261\(a\)\(2\)\(B\)](#), sharing among state and county agencies and service providers is a condition of receipt of any state funding for programs related to youth homelessness and its prevention. All recipients of such funds are required to share any relevant data from their HMIS with the California Interagency Council on Homelessness when requested. Data collection and sharing shall be conducted and maintained in accordance with all applicable state and federal privacy and confidentiality laws and regulations.

n. Assistance with California Victim Compensation Board Claims

Subrecipients are strongly encouraged to assist victims/survivors with applying for compensation benefits through the California Victim Compensation Board. Activities may include:

- Advising of the availability of such benefits.
- Assisting with application forms and understanding procedures.
- Obtaining necessary documentation to support the claim.
- Monitoring claim status.

Subrecipients are also strongly encouraged to allocate funds for tablets or mobile communication devices and cellular service to swiftly facilitate the on-line application process in the office or in the field.

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o. California Victims Resource Center

The California Victims Resource Center helps victims/survivors find necessary resources and learn about their rights in the criminal justice system. Subrecipients are strongly encouraged to use the California Victims Legal Resource Center (VLRC) when assisting victims/survivors.

The VLRC provides victims/survivors, their families, and service providers with information about victims' legal rights and provides tailored resource referrals. Upon request, the VLRC provides publications on victims' rights, legal research on victims' rights to service providers, and educational presentations.

Services are free and can be accessed through the VLRC's confidential, toll-free hotline: 1-800-VICTIMS (842-8467), or through the www.1800victims.org website.

p. Operational Agreements/Second-Tier Subawards

The Subrecipient must have a goal of ensuring the congruency of services, consistency of care, and reduction of duplication of services. The Subrecipient must demonstrate the ability to collaborate with other service providers serving the needs of homeless youth in the Subrecipient's service area.

Subrecipients are required to enter into either Operational Agreements (OAs) or Second-Tier Subawards with the following:

- California Coalition for Youth
- Employment services agency(ies)
- Local law enforcement agency(ies)
- Social services agency(ies)
- K-12 schools (local McKinney-Vento liaison)
- Local colleges
- Mental health and healthcare provider(s)
- Local Victim Witness Assistance Center(s)

These are in addition to OAs and/or Second Tier Subawards the Subrecipient may need to have with homeless youth service providers (in the Subrecipient's service area) to provide the required services, if applicable.

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An OA is a formal agreement, without the exchange of money, between an implementing agency and one or more participating agencies (SRH Section 7.005). A Second-Tier Subaward is a formal agreement that includes the exchange of money between an implementing agency and a participating agency to further the goals of the Grant Subaward (SRH Section 7.010).

3. Reporting Requirements

Progress Reports serve as a record for the implementation of the Grant Subaward. Statistics for Progress Reports must be collected on a quarterly basis, even when reporting occurs less frequently. The following reports are required:

a. Cal OES Progress Reports

There are four Progress Reports required for the Program. See the chart below for report periods and due dates.

Report	Report Period	Due Date
1 st Report	July 1, 2023 – September 30, 2023	October 30, 2023
2 nd Report	October 1, 2023 – December 31, 2023	January 30, 2024
3 rd Report	January 1, 2024 – March 31, 2024	April 30, 2024
Final Report	April 1, 2024 – June 30, 2024	July 30, 2024

b. Office for Victims of Crime (OVC) Reports

There are two, on-line OVC reports Subrecipients will also need to complete:

1) Subgrant Award Report (SAR)

This on-line report must be completed by both the Subrecipient and Cal OES within 90 days of the beginning of the Grant Subaward performance period. Cal OES will initiate access and the Subrecipient will have **60 days to complete** the remainder of the report in the OVC Performance Measurement Tool. Then, Cal OES will have 30 days to either approve the SAR, or work with the Subrecipient on corrections, and then approve the SAR.

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2) Subgrantee Report

Subrecipients receiving Victims of Crime Act funds must complete this report no later than two weeks following the end of each federal fiscal year quarter. Subrecipients will report data directly into the OVC PMT database no later than the due dates listed, unless otherwise instructed by your Program Specialist.

Report Period	Due Date (on or about)
July 1, 2023 – September 30, 2023	October 14, 2023
October 1, 2023 – December 31, 2023	January 14, 2024
January 1, 2024 – March 31, 2024	April 14, 2024
April 1, 2024 – June 30, 2024	July 14, 2024

*Exact dates will be provided by your Program Specialist at the end of each quarter.

For technical assistance, issues, or questions regarding the OVC PMT database, please contact the OVC PMT Help Desk at ovcpmt@csrincorporated.com or call toll-free (844) 884-2503.

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PART II – RFA INSTRUCTIONS

- A. SUBRECIPIENT HANDBOOK
 - B. APPLICATION FORMS
 - C. ADDITIONAL DOCUMENTS
 - D. BUDGET POLICIES
 - E. ADMINISTRATIVE REQUIREMENTS
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A. SUBRECIPIENT HANDBOOK

Applicants are strongly encouraged to review the [SRH](#). The SRH outlines the terms and conditions that apply to Cal OES VS Branch Grant Subawards and provides helpful information for developing a proposal, including a Glossary of Terms.

B. APPLICATION FORMS

Applicants must use the forms provided on our website. The forms must be printed on plain white 8½" x 11" paper and single sided. **Applicants may not alter the formatting of any forms, including the Grant Subaward Programmatic Narrative ([Cal OES Form 2-108](#)) – with a revision date of 4/2021 or later – and the Grant Subaward Budget Narrative ([Cal OES Form 2-107](#)) – with a revision date of 4/2021 or later.**

Applicants must complete and submit all required forms. **Required forms for this Program are identified on the Checklist in Part III.** All forms have written instructions. If a form requires a Grant Subaward number, leave this information blank. General information regarding each form is below.

1. Grant Subaward Face Sheet (Cal OES Form 2-101)

This form is the title page of the Grant Subaward that is signed by the Official Designee (*SRH Section 3.030*) and the Cal OES Director (or designee). **This form is always required.**

2. Grant Subaward Contact Information (Cal OES Form 2-102)

This form provides Cal OES with contact information for all relevant Subrecipient personnel. Information for each individual should be direct contact information. **This form is always required.**

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3. Grant Subaward Signature Authorization (Cal OES Form 2-103)

This form provides Cal OES with signatures of authorized signers and who they authorize to sign on their behalf for all Grant Subaward-related matters. **This form is always required.**

4. Grant Subaward Certification of Assurance of Compliance (Cal OES Form 2-104)

This form is a binding affirmation that the Subrecipient will comply with the following regulations and restrictions:

- State and federal civil rights laws
- Drug Free Workplace
- California Environmental Quality Act
- Federal grant fund requirements
- Lobbying restrictions
- Debarment and Suspension requirements
- Proof of Authority documentation from the city council/governing board

This form is always required.

5. Grant Subaward Budget Pages (Cal OES Form 2-106a-b)

These forms demonstrate how the Applicant will implement the proposed plan with the funds available through this Program. This is the basis for management, fiscal review, and audit. **Grant Subaward Budget Pages (Cal OES Form 2-106a-b) are subject to Cal OES modifications and approval.** Failure of the Applicant to include required items does not eliminate responsibility to comply with those requirements during the implementation of the Grant Subaward. **One of these forms is always required.**

The Grant Subaward Budget Pages (Cal OES Form 2-106a-b) automatically calculate the subtotal at the end of each budget category and provide the total of the three spreadsheets at the bottom of the Equipment Costs page. Applicants may add additional columns to the Grant Subaward Budget Pages (Cal OES Form 2-106a-b) when necessary.

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Cal OES requires the Applicant to develop a line-item budget that includes a **calculation and justification in the left column for all costs**.

The Grant Subaward Budget Pages (Cal OES Form 2-106a-b) must:

- Cover the entire Grant Subaward performance period.
- Include costs related to the objectives and activities of the Grant Subaward.
- Strict adherence to required and prohibited expenses.
- Include costs in the correct category (i.e., Personnel Costs, Operating Costs, and Equipment Costs – see below).

Include **only** those items covered by Grant Subaward funds, including match funds, when applicable. Applicants may supplement Grant Subaward funds with funds from other sources. However, since approved line items are subject to audit, Applicants should not include matching funds (if applicable) in excess of the required match on the Grant Subaward Budget Pages (Cal OES Form 2-106a-b).

a. Personnel Costs – Salaries/Employee Benefits

1) Salaries

Personnel includes Grant Subaward services performed by Grant Subaward staff **directly employed by the Applicant** (not a contract or Participating Agency) and must be identified by position, cost and time spent on allowable activities for the Grant Subaward (e.g., Clerical Staff @ \$20/hour x 980 hours; or Victim Advocate @ \$1,500/month x 12 months x .50 FTE). Personnel may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must also be allocated as a part of salaries. If the Applicant's personnel have accrued sick leave or vacation time prior to the approval of the Grant Subaward, they may not take time off using Grant Subaward funds.

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2) Benefits

Employee benefits must be identified by type and include a calculation. The Applicant may use fixed percentages of salaries to calculate benefits. Allocated benefits cannot exceed those already established by the Applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable. Benefits, such as uniforms or California Bar Association dues, are allowable if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 FTE clerical positions).

Additional information on Personnel Expenses can be found in *SRH Part 3*.

b. Operating Costs

Operating costs are defined as necessary expenditures other than personnel salaries, benefits, and equipment. The costs must be Grant Subaward-related (i.e., to further the Program objectives as defined in the Grant Subaward) and be encumbered during the Grant Subaward performance period.

Examples of common operating costs include, but are not limited to:

- Audit costs (SRH Section 14.035)
- Computers with an acquisition cost of \$4,999 or less
- Computer equipment rentals
- Consultant services (SRH Section 6.050)
- Equipment service and maintenance agreements
- Financial Assistance for clients (SRH Section 4.040)
- Furniture and office equipment (\$4,999 or less)
- Indirect costs (SRH Section 4.045)

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- Insurance (e.g., vehicle, fire, bonding, theft, and liability)
- Internet access
- Office supplies
- Office rental space (SRH Section 4.055)
- Postage
- Printing
- Second-Tier Subawards (SRH Section 7.010)
- Software
- Training materials
- Travel and per diem (SRH Section 4.065)
- Utilities
- Vehicle maintenance

Additional information on Operating Expenses can be found in *SRH Part 4*.

c. Equipment Costs

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and a cost of \$5,000 or more per unit (excluding tax).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three copy machines must be one line item, not three).

Additional information on Equipment Costs can be found in *SRH Part 5*.

6. Grant Subaward Budget Narrative (Cal OES Form 2-107)

This form should describe the following:

- How the line items on the Grant Subaward Budget Pages (Cal OES Form 2-106a-b) support the objectives and activities.
- How funds are allocated to minimize administrative costs and support direct services.
- How shared costs are allocated.
- How Grant Subaward-funded staff duties and time commitments support the proposed objectives and activities.

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- The necessity for subcontracts and unusual costs.
Need for mid-year salary range adjustments.

This form may be required.

7. Grant Subaward Programmatic Narrative (Cal OES Form 2-108)

This form is the main body of information describing the problem to be addressed, the plan to address the identified problem through appropriate and achievable objectives and activities, and the ability of the Applicant to implement the proposed plan. **This form is always required, however a Problem Statement may not.**

a. Problem Statement

Please provide any significant changes or updates regarding homeless and/or exploited youth, or the service provisions of your program since the last Application was submitted. If you do not have any updates or changes, a Problem Statement is not required.

b. Plan

In narrative form, address the following:

- 1) Describe how the Subrecipient's practices and procedures align, or will be adapted, to the Housing First Model as outlined in Welfare and Institutions Code, Section 8255. If your agency's implementation of the HX Program does not follow the Housing First model, please explain.
- 2) Describe the plan for addressing Programmatic Components a. through h. in Part I, G, 2. For each component:
 - Provide a quantified estimate of the services to be provided;
 - Explain how those services will be provided; and
 - Describe the activities that will be performed to support those services.

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The information provided for each component must describe the source documentation collected and maintained to measure results and demonstrate proof of successful objective measurements. Source documentation is defined as records used to validate program activities and achievements pertaining to the components using intake logs, client files, progress notes, attendance rosters, and sign-in sheets. Explain any significant increases or decreases in your targeted numbers for the components.

8. Federal Fund Grant Subaward Assurances (Cal OES Forms 2-109a-g)

These forms list all the assurances and are a binding affirmation that Subrecipients will comply with the assurances to receive a federal fund source. Subrecipients may be asked to sign and submit one or more Federal Fund Grant Subaward Assurances (Cal OES Form 2-109a-g).

Every year, Cal OES updates the Federal Fund Grant Subaward Assurances (Cal OES Form 2-104a-g) to ensure that any new assurances placed upon the federal award are passed down to Subrecipients. Subrecipients will be notified if this change is needed.

This form is required for the applicable federal fund source(s) included in the Grant Subaward.

9. Petty Cash Victim Fund Certification (Cal OES Form 2-153)

A Petty Cash Victim Fund is a small amount of discretionary funds, in the form of cash, used for disbursements for unforeseen financial intervention paid directly to the victim. Subrecipients providing direct victim services may budget up to two percent of the total Grant Subaward cost for petty cash.

This form identifies the procedures to maintain safeguards and accountability of these funds. **This form is required only if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a-b) that meets the definition of Petty Cash in SRH Section 4.040.**

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10. Grant Subaward Service Area Information (Cal OES Form 2-154)

This form identifies the counties, cities, and congressional districts served by the Grant Subaward. **This form is always required.**

11. Volunteer Waiver Request (Cal OES Form 2-155)

This form provides information to support a request to waive a volunteer requirement per Part I of this RFA. **This form is only required if the Program requires volunteers, and the Applicant wants to request a waiver.**

12. Non-Competitive Procurement Request (Cal OES Form 2-156)

A Non-competitive procurement transaction is a purchase of property/goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. See *SRH Section 6.045* for additional information.

This form provides information to support a request for approval of a non-competitive procurement. **This form is only required if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a or b) that meets the definition of a non-competitive procurement in *SRH Section 6.045*.**

13. Out-of-State Travel Request (Cal OES Form 2-158)

This form provides information to support a request for out-of-state travel. **This form is only required if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a or b) for out-of-state travel.**

14. VOCA Match Waiver Request (Cal OES 2-159)

This form is required to waive a portion, or all, of the required match. See Part I, F., 1 for additional information. Match waiver requests are not considered during the Proposal Rating process. **This form is only required if the Program is supported with VOCA funds AND the Applicant wants to request to waive match.**

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15. Operational Agreement Summary Form (Cal OES Form 2-160)

This form lists the OAs a Subrecipient has with participating agencies/organizations. **This form is only required when the Program requires OAs, outlined in Part I, Subpart G.**

16. Independent Contractor/Consultant Rate Exemption Request (Cal OES Form 2-164)

The maximum rate for an independent contractor/consultant is \$650 per eight-hour day or \$81.25 per hour per *SRH Section 6.050*.

This form provides information to support a request for approval of an exemption to the maximum rate. **This form is only required if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a or b) for an independent contractor above the maximum rate.**

17. Lodging Rate Exemption Request (Cal OES Form 2-165)

This form provides information to support a request for approval of an exemption to the maximum lodging rate per *SRH Section 4.070*. **This form is only required if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a or b) with lodging above the maximum rate.**

18. Subrecipient Grants Management Assessment

Per title 2 CFR § 200.331, Cal OES is required to evaluate the risk of noncompliance with federal statutes, regulations, and terms and conditions posed by each Subrecipient of pass-through funding. The assessment is made in order to determine and provide an appropriate level of technical assistance, training, and oversight to Subrecipients. **This form is always required.**

C. ADDITIONAL DOCUMENTS

Applicants may be required to submit additional documents. **Required documents for this Program are identified on the Checklist in Part III.**

General information regarding each document is below:

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1. Indirect Cost Rate Agreement

The Indirect Cost Rate Agreement documents the agreed upon indirect cost rate negotiated between the federal government and an organization. **This document is only required if an Applicant has a negotiated indirect cost rate and costs are included in the Grant Subaward Budget Pages (Cal OES 2-106a or b).**

2. Organizational Chart

The Organizational Chart should clearly depict the structure of the Applicant's organization and the specific unit within the organization responsible for the implementation of the Grant Subaward. This chart should also depict supporting units within the organization (e.g., the Accounting Unit) and the lines of authority within the organization. Job titles on the Organizational Chart must match those on the Grant Subaward Budget Pages (Cal OES Form 2-106a or b) and Grant Subaward Budget Narrative (Cal OES 2-107). **This document may or may not be required. Please see the Checklist in Part III.**

D. BUDGET POLICIES

The following sections of the [SRH](#) may be helpful in developing the Grant Subaward Budget Pages (Cal OES 2-106a) and Grant Subaward Budget Narrative (Cal OES 2-107):

- Additional Rental Space (*SRH Section 4.055*)
- Audit Costs (*SRH Section 14.055*)
- Automobiles (*SRH Section 5.020*)
- Contracting and Procurements Requirements (*SRH Part 6*)
- Equipment and Equipment Costs Requirements (*SRH Part 5*)
- Expert Witness Fees (*SRH Section 6.050*)
- Independent Contractor/Consultant (*SRH Section 6.050*)
- Indirect Cost or Facilities and Administration (*SRH Section 4.045*)
- Match Requirements (*SRH Section 9.060*)
- Facility Rental (*SRH Section 4.055*)
- Prohibited Operating Costs (*SRH Section 4.070*)
- Grant Subaward and Other Income (*SRH Section 9.075*)
- Supplanting Prohibited (*SRH Section 1.065*)
- Travel (*SRH Section 4.065*)

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E. ADMINISTRATIVE REQUIREMENTS

Subrecipients must administer their Grant Subawards in accordance with all [SRH](#) requirements. Failure to comply with these requirements can result in the withholding or termination of the Grant Subaward. The following section may be helpful for developing a proposal and for planning purposes:

- Audit Requirements (*SRH Part 14*)
- Communication and Internet Access (*SRH Section 1.070*)
- Intellectual Property, Copyright, and Patent Requirements (*SRH Part 8*)
- Fidelity Bond/Certificate of Insurance (*SRH Section 2.015*)
- Monitoring (*SRH Part 13*)
- Report of Expenditures and Request for Funds (*SRH Section 9.025*)
- Records Requirements (*SRH Part 12*)

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PART III – CHECKLIST

This checklist is provided to ensure that a complete proposal is submitted to Cal OES. This also provides the order documents/forms should be organized.

The following forms/documents are required for all Subrecipients.

- GRANT SUBAWARD FACE SHEET ([Cal OES Form 2-101](#)) – Signed by the Official Designee authorized to enter into the Grant Subaward.
- GRANT SUBAWARD CONTACT INFORMATION ([Cal OES Form 2-102](#))
- GRANT SUBAWARD SIGNATURE AUTHORIZATION ([Cal OES Form 2-103](#))
- GRANT SUBAWARD CERTIFICATION OF ASSURANCE OF COMPLIANCE ([Cal OES Form 2-104](#)) – Signed by the Official Designee who signed the Grant Subaward Face Sheet and by the official delegating that authority
- GRANT SUBAWARD BUDGET PAGES (EXCEL SPREADSHEET FORMAT) ([Cal OES Form 2-106a](#)) Pages Multiple Fund Source – Include a detailed description of each line item
- GRANT SUBAWARD PROGRAMMATIC NARRATIVE ([Cal OES Form 2-108](#))
 - PLAN
- VOCA FEDERAL FUND GRANT SUBAWARD ASSURANCES ([Cal OES Form 2-109a](#)) – Signed by the Official Designee who signed the Grant Subaward Face Sheet
- [SUBRECIPIENT GRANTS MANAGEMENT ASSESSMENT](#)
- GRANT SUBAWARD SERVICE AREA INFORMATION ([Cal OES Form 2-154](#))
- ORGANIZATIONAL CHART

The following forms/documents may be required depending on the Subrecipient's application and/or Program requirements.

- PETTY CASH VICTIM FUND CERTIFICATION ([Cal OES Form 2-153](#))
- VOLUNTEER WAIVER REQUEST ([Cal OES Form 2-155](#))
- NON-COMPETITIVE PROCUREMENT REQUEST ([Cal OES Form 2-156](#))
- OUT-OF-STATE TRAVEL REQUEST ([Cal OES Form 2-158](#))
- OPERATIONAL AGREEMENT SUMMARY ([Cal OES Form 2-160](#))
- INDEPENDENT CONTRACTOR/CONSULTANT RATE EXEMPTION REQUEST ([Cal OES Form 2-164](#))
- LODGING RATE EXEMPTION REQUEST ([Cal OES Form 2-165](#))
- FEDERAL INDIRECT COST RATE AGREEMENT