



***Cal* OES**

**GOVERNOR'S OFFICE
OF EMERGENCY SERVICES**

**Fiscal Year 2014
Homeland Security Grant Program**

***California Supplement to the
Federal Funding Opportunity Announcement and
Application Kit***

May 2014

STATE OF CALIFORNIA
Edmund G. Brown Jr, Governor

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Director's Message

I am pleased to present you with the FY 2014 Homeland Security Grant Program (HSGP) – California Supplement to the Federal Program Funding Opportunity Announcement. This program will serve to expand your efforts that continue to make California a national leader in emergency management and homeland security.

As a direct result of leveraging effective partnerships, developing our workforce, enhancing our technology, maintaining a culture of continuous improvement, and through collaboration with our federal partners at the U.S. Department of Homeland Security and the Federal Emergency Management Agency we are realizing our vision of building towards a safer more resilient California. This year, HSGP changes have been implemented to allow greater flexibility, envelop greater areas of risk, and pinpoint capability gaps, in an effort to improve our ability to protect our state from all hazards and threats.

Last year, the California Governor's Office of Emergency Services (Cal OES) was renamed, underwent an organizational structure change, and merged with the Public Safety Communications Office, all of which have enabled us to strengthen our capabilities and sharpen our focus to ensure that we are prepared for when disaster strikes. This year's HSGP has also gone through some changes, as it now encompasses more urban areas for its Urban Areas Security Initiative (UASI), and has shifted away from identifying program-specific priorities and instead directs grantees to prioritize grant funds to increase a jurisdiction's capabilities based on the annual Threat and Hazard Identification and Risk Assessment and capability gaps identified through the annual State Preparedness Report. These changes will help us accomplish our mission of protecting lives and property, build capabilities, and support our communities for a resilient California.

The capable and dedicated staff at Cal OES continues to serve as a resource for you as we develop a united and innovative combined effort to serve the public, our communities, and the state of California. I encourage you to contact them for guidance and advice throughout the duration of the grant.



MARK S. GHILARDUCCI
Director

Federal Funding Opportunity Announcement	In March 2014, the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) issued the <i>FY14 Homeland Security Grant Program, Funding Opportunity Announcement</i> (FOA) available for download at: http://www.fema.gov/fy-2014-homeland-security-grant-program-hsgp .
Information Bulletins	DHS issues Information Bulletins to provide updates, clarification, and new requirements throughout the life of the grant. Information Bulletins may be obtained at: http://www.fema.gov/grants/grant-programs-directorate-information-bulletins .
Purpose of the California Supplement	The 2014 <i>California Supplement to the Federal Funding Opportunity Announcement and application kit</i> is intended to complement, rather than replace, the Guidance published by DHS. The Supplement will emphasize the differences between the FY13 and FY14 Homeland Security Grant Programs (HSGP), and will include additional California policies and requirements applicable to the FY14 HSGP.
Grant Management Memoranda	Cal OES also issues Grant Management Memoranda (GMMs) that provide additional information regarding HSGP funds. GMMs can be located at: http://www.caloes.ca.gov/GrantsProcessing/Pages/Grant-Management-Memos.aspx .
Eligible Subgrantees	Eligible applicants, referred to as Subgrantees, differ for each program. Generally, eligible HSGP Subgrantees include: <ul style="list-style-type: none"> • Operational Areas (OA) <ul style="list-style-type: none"> ▪ Includes Native American Tribes-represented by a single coordinating group • Urban Areas Security Initiative (UASI) Jurisdictions • State Agencies (SA), Departments, Commissions, Boards, etc. who have or can obtain, appropriate state Department of Finance budget authority for awarded funds
Native American Allocations	Federal FY14 grant guidance strongly encourages Cal OES to provide access to HSGP funds directly to Native American Tribes in California. To implement this requirement, a single coordinating group representing the California tribes will be eligible to receive a share of this funding on a base plus population basis. To submit an application for funding, California's 111 tribes shall develop a single coordinating group that represents all or substantially all of the tribes. The single coordinating group shall have until October 1, 2014 to submit to Cal OES its membership, organizational structure and plan for developing coordinated funding priorities among all or substantially all of the California Tribes.

All Subgrantees are encouraged to coordinate with Tribal Governments to ensure that Tribal needs are considered in the Subgrantee applications.¹

Subgrantee Allocations

FY14 Homeland Security Grant Program (HSGP) Subgrantee allocations are included in Appendix A. All HSGP-funded work must be completed within the subgrantee performance period.

NIMS Implementation

Prior to allocation of any federal preparedness awards in FY14, grantees must ensure and maintain adoption and implementation of the National Incident Management System (NIMS). Additional information can be found at http://www.fema.gov/pdf/emergency/nims/nims_alert_cred_guideline.pdf

Supplanting

Grant funds must be used to supplement existing funds, not replace (supplant) funds that have been appropriated for the same purpose. Subgrantees will be required to supply documentation certifying that a reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds.²

Public/Private Organizations

Subgrantees may contract with any other public or private organizations to perform eligible activities on approved projects.

Debarred/Suspended Parties

Subgrantees must not make or permit any award (subgrant or contract) at any tier to any party that is debarred, suspended, or otherwise excluded from, or ineligible for, participation in federal assistance programs. Subgrantees must obtain documentation of eligibility prior to any sub-award of HSGP funds and be prepared to present supporting documentation to monitors/auditors.

Cal OES Contact Information

All Subgrantee application materials, related questions, comments and correspondence should be directed to:

California Governor’s Office of Emergency Services
 ATTN: Grants Management, HSGU
 3650 Schriever Ave.
 Mather, CA 95655

Homeland Security Grants Unit (HSGU): (916) 845-8186; Fax: (916) 636-3780

¹ U.S. Department of Homeland Security, Fiscal Year 2014 Homeland Security Funding Opportunity Announcement, Page 41.

² *Ibid.*, page 55.

**HSGU Program
Representatives**

Joseph Anderson at joseph.anderson@caloes.ca.gov or (916) 845-8426
Cameron Bardwell at cameron.bardwell@caloes.ca.gov or (916) 845-8428
Bill Canepa at bill.canepa@caloes.ca.gov or (916) 845-8744
Justin Duke at justin.duke@caloes.ca.gov or (916) 845-8296
Maybel Garing-Espilla at maybel.garing-espilla@caloes.ca.gov or (916) 845-8429
Rachel Magana at rachel.magana@caloes.ca.gov or (916) 845-8451

Cal OES representatives may be located on the HSGU regional map at:
<http://www.calema.ca.gov/EMS-HS-HazMat/Documents/HSGP/HSGU%20Regional%20map%203-5-14.pdf>.

**FY14 Program
Priorities**

The purpose of the 2014 HSGP is to prevent terrorism and to prepare the Nation for the threats and hazards that pose the greatest risk to the security of the United States; therefore, all HSGP-funded investments must have a terrorism nexus.³

Subgrantees are expected to consider National areas for improvement identified in the 2013 National Preparedness Report, which include cybersecurity, recovery-focused core capabilities, the integration of individuals with access and functional needs, enhancing the resilience of infrastructure systems, and maturing the role of public-private partnerships.⁴

Using the core capabilities, the FY 2014 HSGP Program supports the achievement of the goal by:

- Preventing a threatened or an actual act of terrorism;
- Protecting our citizens, residents, visitors, and assets against the greatest threats and hazards;
- Mitigating the loss of life and property by lessening the impact of future disasters;
- Responding quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident; and/or
- Recovering through a focus on the timely restoration, strengthening, and revitalization of infrastructure, housing, and a sustainable economy, as well as the health, social, cultural, historic, and environmental fabric of communities affected by a catastrophic incident.

**25% Law
Enforcement**

As in past years, at least 25% of FY14 HSGP funds must be dedicated to Law Enforcement Terrorism Prevention-oriented Activities (LETPA). In order to leverage funds for LETPA, activities outlined in the *National Prevention Framework*, and *National Protection Framework* are eligible for use of LETPA focused funds. All other terrorism prevention activities proposed for funding under LETPA must be formally pre-approved by FEMA.⁵

5% M&A

The Management and Administration (M&A) allowance for Subgrantees is set at a maximum of 5% for the FY14 HSGP.⁶

³ *Ibid.*, pages 4-5.

⁴ *Ibid.*, page 5.

⁵ *Ibid.*, pages 52-53.

⁶ *Ibid.*, page 9.

Indirect Costs	Subgrantees may use all or part of their M&A allowance for indirect costs. Subgrantees must have an approved indirect cost rate with the cognizant federal agency. A copy of the approved rate is required at the time of application and must be evaluated to determine if costs are allowable and reasonable. ⁷
Organization	New rules apply to overtime and operational overtime. Allowable costs are limited to federally requested participation in fusion centers, which must be formally pre-approved by FEMA. ⁸
Personnel Cap	FY14 HSGP funds have a personnel cap of 50%. ⁹
Equipment Typing and Identification	Subgrantees that wish to purchase equipment with FY14 funds are required to type and identify the capability associated with that equipment. Also, per FEMA policy, the purchase of weapons and weapon accessories is not allowed with HSGP funds. ¹⁰ Special rules apply to pharmaceutical purchases and medical counter measures. ¹¹
Equipment Maintenance and Sustainment	The use of HSGP funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted. With the exception of maintenance plans purchased incidental to the original purchase of the equipment, the period covered by a maintenance agreement or warranty plan must not exceed the period of performance of the specific grant funds used to purchase the plan or warranty, and address the requirements identified in FEMA Information Bulletin (IB) 379. ¹²
Construction and Renovation	All funded construction projects must comply with the Davis-Bacon and related Acts, US Department of Labor rules and other requests for the purpose of Davis-Bacon compliance. Construction projects must be formally approved by FEMA. ¹³

⁷ *Ibid.*, page 10.

⁸ *Ibid.*, pages 50-51.

⁹ *Ibid.*, page 49.

¹⁰ *Ibid.*, page 57.

¹¹ *Ibid.*, page 51.

¹² *Ibid.*, page 52.

¹³ *Ibid.*, pages 53-54.

**Exercises,
Improvement
Plans, and After
Action
Reporting**

Subgrantees must conduct threat and performance-based exercises in accordance with DHS Homeland Security Exercise and Evaluation Program (HSEEP) manuals. Grant recipients must report on all HSGP-assisted scheduled exercises at <https://www.llis.dhs.gov/hseep>. For each exercise conducted with HSGP grant funds, Subgrantees must submit an After Action Report (AAR) AND Improvement Plan (IP) within 90 days following the completion of the exercise. For more information on this process please contact the Cal OES Exercise representative for your region:

Inland Region: Duane Valenzuela at duane.valenzuela@caloes.ca.gov

Coastal Region: Kevin Leisher at kevin.leisher@caloes.ca.gov

Southern Region: Nick Lowe at nicholas.lowe@caloes.ca.gov

State Agencies: Elaine Viray at elaine.viray@caloes.ca.gov

All Subgrantees will post their exercises to the National Exercise Schedule (NEXS) by creating it in the Design & Development System (DDS) portion of the Homeland Security Exercise and Evaluation Program (HSEEP) Toolkit. Once the exercise is approved by an Exercise Administrative Authority (EAA) in the Cal OES Exercise Division, the exercise is automatically posted to the NEXS and assigned a unique ID number. The unique ID number will be used to establish a standard naming convention for tracking purposes. The standard naming convention will be exercisename_uniqueID#.

Example: GG12TFWorkshop_205-104-12-00

An After Action Report/Improvement Plan (AAR/IP) or Summary Report (for Seminars & Workshops) must be completed and submitted to <https://www.llis.dhs.gov/hseep>, with a copy to your Grant Program Manager within 90 days after conduct of an exercise. Please ensure the AAR/IP or Summary Report document is encrypted (password-protected) and the password is also sent to <https://www.llis.dhs.gov/hseep> via a separate email with a copy to your Grant Program Manager.

It is acceptable to submit an Exercise Summary Report for Seminars and Workshops in lieu of a full AAR/IP.

Per Grant Programs Directorate Information Bulletin No. 366, July 7, 2011, Subgrantees must conduct an annual Training and Exercise Plan Workshop (TEPW) to develop a Multi-Year Training and Exercise Plan (TEP) and update it annually. All TEPs developed at the UASI level should roll-up to one overarching State TEP, which should be submitted to your respective FEMA Regional Exercise Officer (points of contact listed on the HSEEP website) and to <https://www.llis.dhs.gov/hseep> within 90 days after conducting the TEPW.

Note: No later than September 30th, Subgrantees will email their Training & Exercise Schedules to the jurisdictions supporting Cal OES Exercise Division representative with a copy to the Cal OES Unit Supervisor of the Homeland Security Grants Unit.

**Emergency
Operation Plans**

Subgrantees' Emergency Operations Plans must comply with rules regarding evaluation matrices and the Comprehensive Preparedness Guide. Subgrantees should refer to IB 388a for additional guidance located at this link: <http://www.fema.gov/library/viewRecord.do?id=6440> regarding this reporting requirement. Subgrantees must update their EOP at least once every two years to comply with Comprehensive Preparedness Guide (CPG) 101 version 2.0, Developing and Maintaining Emergency Operations Plans. Grantees will use the State Preparedness Report (SPR) to report their compliance with this reporting requirement.¹⁴

**Special Needs
Population**

Populations whose members may have additional access and functional needs before, during, and after an incident must be included in planning, response and recovery documents. Subgrantees conducting major planning projects (including, but not limited to: Evacuation, Mass Care and Shelter, Disaster Recovery, etc.) will be required to address access and functional needs, including the needs of children, within their planning documents in order to maintain eligibility for HSGP.¹⁵

¹⁴ *Ibid.*, page 8.

¹⁵ *Ibid.*, page 42.

FY14 SHSP Priorities	<p>While the State Homeland Security Strategy broadly describes goals, objectives, and implementation steps, the State’s priorities for FY14 HSGP are:</p> <ol style="list-style-type: none"> 1. Interoperable Communications 2. Catastrophic Planning 3. Citizen Preparedness and Participation 4. Medical Surge 5. Critical Infrastructure Protection 6. Mass Prophylaxis 7. Training for First Responders 8. Food and Agriculture Safety
State Initiative Funding	<p>For FY14 HSGP, Cal OES shall retain 20% of the SHSP and 17% of the UASI funding for the state initiatives.</p>
“On Behalf Of”	<p>Cal OES may, in conjunction with local approval authorities, designate funds “on behalf of” local entities that choose to decline or fail to utilize their homeland security award in a timely manner.</p>
Regional Approach	<p>Subgrantees must take a regional approach and consider the needs of local units of government and applicable volunteer organizations in the projects and activities included in their FY14 HSGP application.</p>
Strategy, Planning and Metrics Workshop	<p>In the fall of 2014, Cal OES plans to conduct its annual Strategy, Planning and Metrics Workshop to receive statewide input across all disciplines. Costs associated with this eligible planning activity should be included in the Subgrantee application.</p>
Non- DHS/FEMA Training	<p>When seeking approval of non-DHS/FEMA developed courses, course materials must be submitted with the approval requests. Conditional approvals are no longer offered.</p> <p>For more information on this or other training-related inquiries, contact the Cal OES Training Branch at (916) 845-8752 or their website at: http://www.caloes.ca.gov/TrainingandExercises/Pages/Training.aspx</p>
Capstone California	<p>Subgrantees scheduled to participate in Capstone California (CC), formerly known as Golden Guardian, exercise activities should include the details in their FY14 application. Cal OES program staff will be checking applications from Subgrantees scheduled to participate in CC activities within the FY14 HSGP grant performance period for adequate exercise funding.</p>

For exercise-related issues and/or questions, please contact Jim Woodward at (916) 845-8499 or james.woodward@caloes.ca.gov or Steven Goff at (916) 845-8486 or steven.goff@caloes.ca.gov.

**FFATA
Financial
Disclosure**

On November 23, 2010, the United States Department of Homeland Security (US DHS) and the Federal Emergency Management Agency (FEMA) issued Information Bulletin #350 to clarify requirements under the new Federal Funding Accountability and Transparency Act (FFATA).

As the State Administrative Agency (SAA), Cal OES is required to report sub-award information for federal awards of \$25,000 or more made on or after October 1, 2010 as well as compensation for highly paid individuals. Specifically, the name and total compensation of the five most highly compensated individuals. Please see Grant Management Memoranda (GMM) 2012-01 for more information.

TICP

Due to significant legislation impacting public safety communications, Cal OES is reminding all Subgrantees to update their Tactical Interoperable Communications Plan (TICP) and make it available upon request. Updating a TICP is an eligible activity under the FY14 HSGP.

**Financial
Management
Forms
Workbook**

2014 HSGP FMFW can be accessed at: <http://www.caloes.ca.gov/EMS-HS-HazMat/Pages/Homeland-Security-Grant-Program-Documents.aspx>

The Cal OES Financial Management Forms Workbook (FMFW) includes:

Face Sheet – Use the Cover Sheet to apply for grant programs. The application cover sheet must be signed **in blue ink**.

Authorized Body of 5 Sheet – Use the Authorized Body of 5 Sheet to list the Authorized Body of 5, Authorized Agents, and Points of Contact.

FFATA Financial Disclosure Sheet – Use the FFATA Financial Disclosure Sheet to list the name and compensation of the top five paid individuals, where applicable.

Project Descriptions – Describe the various details of each Project (letter/name, IJs/Goals and Objectives, brief description, need/status, milestones). A maximum of 20 projects are allowed.

Project Ledger – The project ledger is used in the application process to submit funding information and is used in the post-award phase for submitting Cash Requests, Modifications, and Advances.

Equipment Inventory Ledger – Provide detailed information on grant-funded equipment including the Authorized Equipment List (AEL) numbers. All AEL information can be found on the Lessons Learned Information Sharing website at <https://www.llis.dhs.gov/>.

Organization Roster – Provide detailed information on grant-funded Organizational activities.

Training Roster – Provide detailed information on Training activities.

Planning Ledger – Provide detailed information on Planning activities with a final product identified.

Exercise Roster – Provide detailed information on Exercise activities.

Personnel Roster – Provide detailed information on grant-funded Personnel activities.

Consultant Roster – Provide detailed information on grant-funded Consultants.

Management and Administration Roster – Provide detailed information on grant-funded Management and Administration activities.

Authorized Agent Sheet – The Authorized Agent Sheet must be submitted with the application, and all Cash Requests, Modifications, or Advances, with appropriate signatures.

Narrative Attachments

Explanation of 25% Law Enforcement – Describe how the Subgrantee will meet the minimum federal requirement for funding Law Enforcement Terrorism Prevention-oriented Activities.

Management and Administration (M&A) Cap – Describe how the Subgrantee will not surpass the federally mandated 5% cap on M&A.

Personnel Cap – Describe how the Subgrantee will not surpass the federally mandated 50% personnel cap.

Emergency Operations Plan (EOP) – Please describe your EOP and any progress in meeting the requirements identified in the FY14 FOA.¹⁶

Training with AAR/Exercise Detail – Per the Federal FOA, all training conducted using HSGP funds must be in support of the development or maintenance of an identified team or capability. Additionally, all training should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or build a capability that will be evaluated through an exercise. Subgrantees will explain in a narrative the type of training, the capability, the gap identified, and provide access to the AAR or details for the upcoming exercise.

Intelligence Analysts Certificates – Per the FOA, Cal OES must have certificates for completion of training for fusion center analytical personnel.¹⁷ Provide copies of certificates for each intelligence analyst.

Equipment Typing Narrative – All equipment procured under this grant must be in support of the development or maintenance of an identified team or capability. Please describe what typed capability the equipment purchased with this grant supports.

Grant Assurances

The Grant Assurances list the requirements to which the Subgrantees will be held accountable. All applicants will be required to submit a signed, **original** copy of the FY14 Grant Assurances with their FY14 HSGP application. The required Grant Assurances can be found only in PDF format on the Cal OES website and will be available within 14 days of the federal award.

Note: Self-created Grant Assurances will not be accepted.

¹⁶ *Ibid.*, page 36.

¹⁷ *Ibid.*, page 50.

Training

Cal OES shall afford Subgrantees the opportunity to develop a “placeholder” for future training conferences when an agenda has not been established at the time Subgrantee applications are due. Please work with your Program Representative and the Training Branch to identify a possible “placeholder” for these types of training activities. CERT programs must be registered and updated.¹⁸

Operational Areas Only

Approval Authority Body—Operational Areas (OA’s) must appoint an Anti-Terrorism Approval Body (Approval Authority) to have final approval of the OA’s application for SHSP funds. Each member of the Approval Authority must provide written agreement with the OA’s application for HSGP funds. The Approval Authority shall consist of the following representatives, and additional voting members may be added by a simple majority vote of the following standing members:

- County Public Health Officer or designee responsible for Emergency Medical Services
- County Fire Chief or Chief of Fire Authority
- Municipal Fire Chief (selected by the Operational Area Fire Chiefs)
- County Sheriff
- Chief of Police (selected by the Operational Area Police Chiefs)

Note: A list of the Approval Authority Body members and their associated contact information, as well as a written agreement from each member, must be submitted with the FY14 HSGP application. Contact your program representative for more information.

Governing Body Resolution – The Governing Body Resolution appoints Authorized Agents (identified by the individual’s name or by a position title) to act on behalf of the governing body and the applicant by executing any actions necessary for each application and subgrant. All applicants will be required to submit a **certified** copy of their FY14 Governing Body Resolution with their FY14 HSGP application. A sample Resolution can be found as Attachment C.

Authorized Agent Information Form – For each person or position appointed by the governing body, submit the following information to Cal OES, along with the Resolution, **on the applicant’s letterhead**:

- Name
- Title
- Jurisdiction
- Grant Program
- Phone & Fax Number(s)
- E-Mail Address
- Street Address, City & Zip Code

¹⁸ *Ibid.*, pages 47-48.

Note: Changes can be made to the Authorized Agent if/when necessary. If the Governing Body Resolution identifies the Authorized Agent by name, a new Resolution and corresponding Authorized Agent Information Sheet are needed when any changes are made. If the Governing Body Resolution identified the Authorized Agents by position and/or title, changes can be made by submitting a new Authorized Agent Information Sheet.

**Urban Areas
only**

Urban Area Working Groups (UAWGs) – Membership in the UAWG must provide either direct or indirect representation for all relevant jurisdictions and response disciplines (including law enforcement, fire service, EMS, and emergency management) that comprise the defined Urban Area. Each UASI must include the geographical boundaries and footprint of their UASI designation. The UAWG should also ensure the integration of local emergency management, public health, and health care systems into a coordinated, sustained local capability to respond effectively to a mass casualty incident.¹⁹

**State Agencies
only**

Project Narrative – In addition to the FMFW Project Descriptions, State Agencies must complete a State Agency Project Narrative Form (included as Attachment E).

Signature Authority – State Agency applications must be signed by the highest-level person, or their designee. If a designee is signing, the highest-level person must execute and submit a State Agency Signature Authority Form with the Application (included in Attachment D).

¹⁹ *Ibid.*, page 43.

Application Submittal

The completed FMFW V 1.14 must be mailed in hardcopy with original signatures and also submitted electronically via e-mail to the Cal OES Program Representative.

All application documents requiring an original signature will need to be mailed in hardcopy. Signatures must be in *blue ink* only.

HAND-DELIVERED APPLICATIONS WILL NOT BE ACCEPTED

Late or Incomplete Application

All application materials are due no later than **Friday, August 1, 2014** (see **Timeline in Attachment B**). Only applications postmarked by the due date will be accepted. Applications lost in transit are the responsibility of the applicant and may not be considered for funding. Late or incomplete applications will be reviewed and/or denied, and additional information will be requested and/or accepted from Subgrantees, at the sole discretion of Cal OES.

Application Approval

The Subgrantee will receive written notice of the state's approval of the subgrant application not later than 45 days after the federal grant award. Subgrantee reimbursements will not be made until all required application components have been approved by Cal OES.

Post Award Modifications

Post award budget, scope and time modifications must be requested using the Cal OES Financial Management Forms Workbook V 1.14, signed by the Subgrantee’s Authorized Agent, and submitted to the Subgrantee’s Program Representative in the Homeland Security Grants Unit at Cal OES.

The Subgrantee may implement the modifications, and incur associated expenses, only after receiving written final approval of the modification from the State. Failure to submit modification requests, and receive written approval prior to expenditure, could result in a reduction or disallowance of that part of the grant.

Payment Request Process

To request advance or reimbursement payment of FY14 HSGP funds, complete a payment request form using the Cal OES Financial Management Forms Workbook and return it to the appropriate Program Representative in the Homeland Security Grants Unit at Cal OES. Subgrantees who fail to follow the workbook instructions may experience delays in processing.

Payments can only be made if the Subgrantee has submitted a completed and approved application. **Exercise costs will not be reimbursed until an AAR has been posted and access to the AAR has been granted to Cal OES Program Representative Rachel Magaña.**

Rachel can be reached at (916) 845-8451 or rachel.magana@caloes.ca.gov.

Advances and Interest Earned on Advances

DHS allows Subgrantees to request FY14 HSGP funds up to 120 days prior to expenditure/disbursement or on a reimbursement basis. Federal rules require advances to be deposited in interest-bearing accounts. Interest earned should be returned quarterly to Cal OES.

In addition to returning interest in accordance with the prescribed federal guidance, Subgrantees must also inform the Grantee’s Program Representative in the Homeland Security Grants Unit at Cal OES of any interest returned on program funds.

Performance Bond

Many subgrantees were unable to procure large equipment items due to vendor delivery scheduled to occur after the federal reporting period had expired. To assist with this issue, DHS allowed subgrantees to obtain a “performance bond” wherein subgrantees procured the item(s) in question, paid the money up front, and obtained a performance bond to ensure delivery of the item within 90 days of the subgrantees’ performance period. Subgrantees must obtain a performance bond for any equipment item over \$250,000 or any vehicle, aircraft or watercraft, financed with homeland security dollars. **Subgrantees must provide a copy of all performance bonds to their HSGP Program Representative and make additional copies available upon request.**

Subgrantee Performance Reports Subgrantees must prepare and submit performance reports to the state for the duration of the grant performance period, or until all grant activities are completed and the grant is formally closed by Cal OES. Subgrantees must complete a Biannual Strategy Implementation Report (BSIR) using the DHS/FEMA Grants Reporting Tool (GRT).

To obtain access to the online GRT, please log on to their website at www.reporting.odp.dhs.gov. To create a new account, follow the instructions that read, “If you need to register for an account, please click here.”

For additional assistance with the GRT, please contact:
Huy Tram at huy.tram@caloes.ca.gov or (916) 845-8649

Failure to Submit Required Reports Periodic reporting is required by the grant. Subgrantees who miss a single reporting deadline may receive a letter addressed to their Board of Supervisors informing them of the failure to report. County Operational Areas and Tribal Native Americans who fail to report twice in a row may have subsequent awards reduced by 10% until timely reporting is reestablished. UASIs may have a “hold” placed on any future reimbursements.

Monitoring The Cal OES Monitoring Branch is actively conducting monitoring visits, both desk review and on-site, among Subgrantees. These reviews may include, but are not limited to:

- Eligibility of expenditures.
- Comparing actual Subgrantee activities to those approved in the subgrant application and subsequent modifications, if any.
- Ensuring that advances have been disbursed in accordance with applicable guidelines.
- Confirming compliance with:
 - Grant Assurances;
 - Information provided on performance reports and payment requests; and
 - Needs and threat assessments and strategies.

Many Subgrantees receive “findings” that necessitate a Corrective Action Plan (CAP) on their part. Those Subgrantees who fail to submit a CAP as required shall have a “hold” placed on any future reimbursements until the “finding” is resolved.

Note: It is the responsibility of all Subgrantees to monitor and audit the grant activities of their Subrecipients. This requirement includes, but is not limited to, on-site verification of grant activities, as required.

**Suspension/
Termination**

The State may suspend or terminate subgrant funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to submit required reports.
- Failing to expend funds in a timely manner consistent with the grant milestones, guidance and assurances.
- Failing to comply with the requirements or statutory progress toward the goals or objectives of federal or state law.
- Failing to make satisfactory progress toward the goals or objectives set forth in the subgrant application.
- Failing to follow grant agreement requirements or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- False certification in the application or document.
- Failing to adequately manage, monitor or direct the grant funding activities of their Subrecipients.

Before taking action, the State will provide the Subgrantee reasonable notice of intent to impose corrective measures and will make every effort to resolve the problem informally.

Closeout

The State will close a Subgrantee award after:

- Receiving a Subgrantee Performance Report indicating that all approved work has been completed, and all funds have been distributed;
- Completing a review to confirm the accuracy of reported information;
- Reconciling actual costs to awards, modifications and payments.

If the closeout review and reconciliation indicates that the Subgrantee:

- Is owed additional funds, then the State will send the final payment automatically to the Subgrantee.
- Did not use all funds received, then the State will issue an Invoice or Grant Modification letter to recover unused funds.

In the Grant Closeout Letter, the State will notify the Subgrantee of the start of the record retention period for all programmatic and financial grant-related records.

Note: Failure to maintain all grant records for the required retention period could result in a reduction of grant funds, and an invoice to return costs associated with the unsupported activities.

State Homeland Security Program (SHSP)					
Operational Area	Population	Base Amount	25% LE	SHSP	Total Award (25% LE + SHSP)
ALAMEDA	1,548,681	75,000	415,756	1,247,268	1,663,024
ALPINE	1,087	75,000	19,029	57,086	76,115
AMADOR	36,741	75,000	28,169	84,506	112,674
BUTTE	221,485	75,000	75,528	226,584	302,112
CALAVERAS	44,932	75,000	30,268	90,805	121,073
COLUSA	21,674	75,000	24,306	72,918	97,225
CONTRA COSTA	1,074,702	75,000	294,251	882,753	1,177,004
DEL NORTE	28,380	75,000	26,025	78,076	104,101
EL DORADO	182,286	75,000	65,479	196,438	261,917
FRESNO	952,166	75,000	262,839	788,516	1,051,355
GLENN	28,349	75,000	26,017	78,052	104,069
HUMBOLDT	135,209	75,000	53,411	160,233	213,644
IMPERIAL	180,061	75,000	64,909	194,726	259,635
INYO	18,573	75,000	23,511	70,534	94,045
KERN	857,882	75,000	238,669	716,007	954,676
KINGS	152,007	75,000	57,717	173,151	230,869
LAKE	64,531	75,000	35,293	105,878	141,170
LASSEN	33,422	75,000	27,318	81,953	109,271
LOS ANGELES	9,958,091	75,000	2,571,517	7,714,552	10,286,069
MADERA	152,711	75,000	57,898	173,693	231,591
MARIN	254,007	75,000	83,865	251,595	335,460
MARIPOSA	18,026	75,000	23,371	70,113	93,484
MENDOCINO	88,291	75,000	41,383	124,150	165,534
MERCED	262,478	75,000	86,037	258,110	344,146
MODOC	9,522	75,000	21,191	63,573	84,764
MONO	14,493	75,000	22,465	67,396	89,861
MONTEREY	421,494	75,000	126,800	380,401	507,202
NAPA	138,383	75,000	54,225	162,674	216,899
NEVADA	97,019	75,000	43,621	130,863	174,484
ORANGE	3,081,804	75,000	808,774	2,426,321	3,235,095
PLACER	357,463	75,000	110,386	331,158	441,544
PLUMAS	19,643	75,000	23,786	71,357	95,142
RIVERSIDE	2,255,059	75,000	596,837	1,790,510	2,387,347
SACRAMENTO	1,445,806	75,000	389,384	1,168,152	1,557,536
SAN BENITO	56,669	75,000	33,277	99,831	133,109
SAN BERNARDINO	2,076,274	75,000	551,005	1,653,015	2,204,020
SAN DIEGO	3,150,178	75,000	826,302	2,478,905	3,305,206
SAN FRANCISCO	825,111	75,000	230,268	690,804	921,072
SAN JOAQUIN	698,414	75,000	197,789	593,368	791,157
SAN LUIS OBISPO	272,177	75,000	88,523	265,569	354,091
SAN MATEO	735,678	75,000	207,342	622,026	829,367
SANTA BARBARA	429,200	75,000	128,776	386,328	515,104
SANTA CLARA	1,842,254	75,000	491,014	1,473,041	1,964,055

SANTA CRUZ	266,662	75,000	87,109	261,327	348,436
SHASTA	178,601	75,000	64,535	193,604	258,138
SIERRA	3,166	75,000	19,562	58,685	78,246
SISKIYOU	44,796	75,000	30,234	90,701	120,934
SOLANO	418,387	75,000	126,004	378,012	504,016
SONOMA	490,423	75,000	144,470	433,411	577,882
STANISLAUS	524,124	75,000	153,110	459,329	612,439
SUTTER	95,851	75,000	43,322	129,965	173,286
TEHAMA	63,772	75,000	35,098	105,294	140,392
TRINITY	13,443	75,000	22,196	66,588	88,785
TULARE	455,599	75,000	135,543	406,630	542,173
TUOLUMNE	54,360	75,000	32,685	98,056	130,741
VENTURA	835,436	75,000	232,915	698,745	931,660
YOLO	205,999	75,000	71,558	214,674	286,232
YUBA	73,439	75,000	37,576	112,728	150,305
Total	37,966,471	4,350,000	10,820,246	32,460,737	43,280,982

Tribal Allocation

Coordinating Group	Population	Base Amount	25% LE	SHSP	Total Award
Tribal	362,801	75,000	111,754	335,263	447,018

Regional Threat Assessment Center (RTAC)

Region	Total Award
SAN FRANCISCO BAY AREA	1,000,000
SACRAMENTO/CENTRAL VALLEY AREA	1,000,000
GREATER LOS ANGELES AREA	1,000,000
SAN DIEGO AREA	1,000,000
Total	4,000,000

Urban Areas Security Initiative (UASI)

*A minimum of 25% of UASI funding must be utilized for Law Enforcement purposes

Urban Area	Federal Allocation to State	83% Allocation to UASI	17% State Initiatives
ANAHEIM/SANTA ANA AREA	5,500,000	4,565,000	935,000
BAY AREA	27,400,000	22,742,000	4,658,000
LOS ANGELES/LONG BEACH AREA	67,500,000	56,025,000	11,475,000
RIVERSIDE AREA	1,000,000	830,000	170,000
SACRAMENTO AREA	1,000,000	830,000	170,000
SAN DIEGO AREA	16,874,000	14,005,420	2,868,580
Total	119,274,000	98,997,420	20,276,580

DHS Announcement of FY14 HSGP	March 2014
FY14 HSGP California Supplement (Including Subgrantee Allocations) Release	May 2014
SAA Application Due to DHS	May 23, 2014
Subgrantee Application Workshops	July 2014*
DHS Award to California	July 26, 2014*
Subgrantee Applications Due to Cal OES	August 1, 2014*
Subgrantee Awards (45 days from DHS award)	August 10, 2014*
Subgrantee Performance Period Begins	September 1, 2014*
Subgrantee Performance Period Ends	May 31, 2016*
Final Requests for Reimbursement Due	June 10, 2016*
SAA Performance Period Ends	August 31, 2016

*Date approximate depending on DHS award date

Attachment C—Sample Governing Body Resolution | 2014

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 sub-granted through the State of California.

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)

Attachment D—State Agency Signature Authority Form | 2014

AS THE _____
(Secretary/Director/President/Chancellor)

OF THE _____
(Name of the State Organization)

I hereby authorize the following individual(s) to execute for and on behalf of the named state organization, any actions necessary for the purpose of obtaining federal financial assistance provided by the federal Department of Homeland Security and sub-granted through the California Governor's Office of Emergency Services.

_____, OR

_____, OR

_____ ,

Signed and approved this _____ day of _____, 20_____

(Signature)

Applicant (state organization) _____

NOTE: Complete a separate Project Description for each proposed project

Project Title: _____

Indicate the State Priority Objective Supported by the Project:

- Interoperable Communications**
- Catastrophic Planning**
- Medical Surge**
- Citizen Preparedness and Participation**
- Mass Prophylaxis**
- Critical Infrastructure Protection**
- Training for First Responders**
- Food and Agriculture Safety**

Provide a detailed description of the proposed project and how it supports the state priority indicated.

For construction and/or renovation projects, provide the following additional information:

- A description and location of the facility;
- A description of the vulnerability assessment and the date the assessment was conducted (the assessment does not have to be submitted with the application);
- A description of how the proposed project will address the vulnerabilities identified in the assessment;
- A description of the consequences if the project is not funded under HSGP FY14

Please check the appropriate box:

- Our agency currently has spending authority for the requested funds.
- Our agency does not currently have spending authority for the requested funds. See below for explanation:

Subgrantee: _____ FIPS #: _____

Cal OES Regional Rep: _____

OPERATIONAL/URBAN AREAS

STATE AGENCIES

- ___ Financial Management Forms Workbook
 - ___ Face Sheet
 - ___ Authorized Body of 5 Sheet
 - ___ FFATA Financial Disclosure Sheet
 - ___ Project Descriptions
 - ___ Project Ledger
 - ___ Equipment Inventory Ledger
 - ___ Organization Roster
 - ___ Training Roster
 - ___ Planning Ledger
 - ___ Exercise Roster
 - ___ Personnel Roster
 - ___ Consultant Roster
 - ___ Management and Administration Roster
 - ___ Authorized Agent Sheet

- ___ Financial Management Forms Workbook
 - ___ Face Sheet
 - ___ Authorized Body of 5 Sheet
 - ___ FFATA Financial Disclosure Sheet
 - ___ Project Descriptions
 - ___ Project Ledger
 - ___ Equipment Inventory Ledger
 - ___ Organization Roster
 - ___ Training Roster
 - ___ Planning Ledger
 - ___ Exercise Roster
 - ___ Personnel Roster
 - ___ Consultant Roster
 - ___ Management and Administration Roster
 - ___ Authorized Agent Sheet

- ___ Narrative Attachments:
 - ___ 25% Law Enforcement – Minimum
 - ___ 5% M&A Cap
 - ___ 50% Personnel Cap
 - ___ Training w/AAR/Exercise Detail
 - ___ Describe your EOP
 - ___ Intelligence Analysts Certificates
 - ___ Equipment Typing

- ___ Narrative Attachments:
 - ___ 25% Law Enforcement – Minimum
 - ___ 5% M&A Cap
 - ___ 50% Personnel Cap
 - ___ Training w/AAR/Exercise Detail
 - ___ Describe your EOP
 - ___ Equipment Typing

- ___ Approval Authority:
 - ___ Contact Information for each member
 - ___ Written Agreement from each member

- ___ Project Narrative Form
- ___ Signature Authority – Authorized Agent

- ___ Governing Body Resolution (Certified)
- ___ Authorized Agent(s) Information Form
- ___ Grant Assurances (Signed Originals)

- ___ Authorized Agent(s) Information Form
- ___ Grant Assurances (Signed Originals)

IJ #1: Strengthen Information Sharing and Collaboration Capabilities and Law Enforcement Investigations

Goal 1: Enhance Information Analysis and Law Enforcement Capabilities	
Objective 1.1	Strengthen Information Sharing and Collaboration Among All Levels of Government, Private Industry, Non-Governmental and Community Based Organizations
Objective 1.2	Strengthen California's Ability to Identify and Counter Emerging Threats

IJ #2: Enhance Protection of Critical Infrastructure and Key Resources

Goal 2: Protect Critical Infrastructure and Key Resources	
Objective 2.1	Implement the California Critical Infrastructure Protection Program

IJ#3: Strengthen Communications Capabilities

Goal 3: Strengthen Communications Capabilities	
Objective 3.1	Implement the California Statewide Communications Interoperability Plan
Objective 3.2	Strengthen Alert and Warning Systems to Ensure the Delivery of Clear and Consistent Public Information

IJ#4: Enhance Community Resilience

Goal 4: Enhance Planning and Community Preparedness	
Objective 4.1	Enhance Citizen Preparedness While Integrating the Needs of Vulnerable Populations
Objective 4.2	Strengthen Volunteer Management and Donations

IJ#5: Enhance Catastrophic CBRNE and All Hazards Incident Planning and Response Capabilities

Goal 5: Strengthen Catastrophic CBRNE and All Hazards Incident Planning, Detection and Response Capabilities	
Objective 5.1	Strengthen All Hazards Incident Management Capabilities Across California
Objective 5.2	Enhance Resource Management Through Implementation of the California Metrics Project
Objective 5.3	Implement the California Preventative Radiological and Nuclear Detection Program
Objective 5.4	Implement a California Disaster Recovery Framework

IJ#6: Enhance Medical and Public Health Preparedness

Goal 6: Improve Medical and Health Capabilities	
Objective 6.1	Enhance Health and Public Health Preparedness and Disaster Response Capabilities for All Hazards
Objective 6.2	Enhance Medical Preparedness and Disaster Response Capabilities for All Hazards

IJ #7: Strengthen Food and Agriculture Preparedness

Goal 7: Strengthen Food and Agriculture Preparedness	
Objective 7.1	Enhance Agriculture Food Systems and Animal Health Preparedness

IJ# 8: Homeland Security Exercise, Evaluation and Training Programs

Goal 8: Enhance Homeland Security Exercise, Evaluation and Training Programs	
Objective 8.1	Expand Statewide Training Across All Mission Areas, While Enhancing Professional Training For Emergency Management and Homeland Security Disciplines
Objective 8.2	Expand Statewide Exercises Across All Mission Areas