



***Cal* OES**

**GOVERNOR'S OFFICE
OF EMERGENCY SERVICES**

**Fiscal Year 2015
Homeland Security Grant Program**

***California Supplement to the
Federal Notice of Funding Opportunity***

July 2015

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Director's Message

I am pleased to present the FY2015 Homeland Security Grant Program (HSGP) California Supplement to the Federal Notice of Funding Opportunity Announcement.

I have long believed that leveraging effective partnerships with our federal partners at the U.S. Department of Homeland Security and Federal Emergency Management Agency in conjunction with local jurisdictions will succeed in the development of a powerful workforce; a workforce employed to build upon enhancements in critical infrastructure including areas of technology, communication and mitigation. I believe promoting a culture of "Get it Done" begins from within California on behalf of all Californians; a culture that must be of the highest priority, accomplished through intelligence and vision.

HSGP has a rich history in providing precise resources to aid California jurisdictions accomplish much of their immediate and some long-term homeland security needs. With dedicated people working collaboratively at the local, state and federal level, we can Get it Done and therefore make California resilient for not only this year, but for future generations.

I've positioned some very talented people in key authority to assist you as a reliable resource during our march forward toward protecting people, property and the environment. I encourage you to continue to reach out to these people for guidance on how we as a State and as a Nation can Get the Job Done.



MARK S. GHILARDUCCI
Director

Federal Notice of Funding Opportunity Announcement	In March 2015, the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) issued the <i>Fiscal Year 2015 Homeland Security Grant Program, Federal Notice of Funding Opportunity Announcement</i> (NOFO) available for download at https://www.fema.gov/fy-2015-homeland-security-grant-program .
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 FY2015 <i>California Supplement to the Federal Notice of Funding Opportunity Announcement</i> is intended to complement, rather than replace, the Guidance published by DHS. The Supplement will emphasize the differences between the FY2014 and FY2015 Homeland Security Grant Programs (HSGP), and will include additional California policies and requirements applicable to the FY2015 HSGP.
Key Changes to the FY2015 Homeland Security Grant Program	<ul style="list-style-type: none"> • The FY2015 federal period of performance is thirty-six months. • Updates to the State and Urban Area Homeland Security Strategies are no longer required. • DHS adopted 2 C.F.R. Part 200, which applies to all new FEMA grant awards made on or after December 26, 2014 and supersedes 44 C.F.R. Part 13, and the Office of Management and Budget (OMB) Circulars A-21, A-87, A-102, A-110, A-122, A-133 and A-50.
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.calema.ca.gov/cal-oes-divisions/grants-management/homeland-security-prop-1b-grant-programs/memos .
Eligible Subrecipients	Eligible applicants, referred to as subrecipients, differ for each program. Generally, eligible HSGP subrecipients include: <ul style="list-style-type: none"> • Operational Areas (OA) <ul style="list-style-type: none"> ▪ Includes Native American Tribes • 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	The FY2015 NOFO strongly encourages Cal OES to provide access to HSGP funds directly to Native American Tribes in California. To implement this requirement, a special Request for Proposal (RFP) will be issued to California's 109 federally-recognized Tribes and Indian organizations as described in the

Native American Allocations (cont.)	Cal OES Consultation Policy. All subrecipients are encouraged to coordinate with Tribal Governments to ensure that Tribal needs are considered in their grant applications. ¹
Subrecipient Allocations	FY2015 Homeland Security Grant Program (HSGP) subrecipient allocations are included in Appendix A. All HSGP-funded work must be completed within the subrecipient period of performance.
NIMS Implementation	Prior to allocation of any federal preparedness awards in FY2015, recipients 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. Subrecipients 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	Subrecipients may contract with any other public or private organizations to perform eligible activities on approved projects.
Debarred/Suspended Parties	Subrecipients 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. Subrecipients must obtain documentation of eligibility prior to making any subaward or contract funded by HSGP awards and must be prepared to present supporting documentation to monitors/auditors.
Cal OES Contact Information	All subrecipient application materials, related questions, comments and correspondence should be directed to: California Governor's Office of Emergency Services ATTN: Grants Management, HSGU 3650 Schriever Avenue Mather, CA 95655 Homeland Security Grants Unit (HSGU): (916) 845-8186; Fax: (916) 636-3780

¹ US Department of Homeland Security, Fiscal Year 2015 Homeland Security Notice of Funding Opportunity Announcement, page 46

² *Ibid.*, page 51

**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.caloes.ca.gov/GrantsManagementSite/Documents/HSGP%20Regional%20Assignments.pdf>.

**FY2015
Program
Priorities**

DHS/FEMA annually publishes the National Preparedness Report (NPR) to evaluate National progress in building, sustaining, and delivering the core capabilities outlined in the goal of a secure and resilient Nation. This analysis provides a National perspective on critical preparedness trends for whole community partners to use to inform program priorities, allocate resources, and communicate with stakeholders about issues of concern.

Grant subrecipients are required to consider national areas for improvement identified in the FY2014 NPR, which includes the following core capabilities:

- Cybersecurity;
- Infrastructure Systems;
- Health and Social Services;
- Housing; and
- Long-term Vulnerability Reduction.

Additionally, the DHS requires grant subrecipients to prioritize investments that address capability targets and gaps identified through the annual Threat and Hazard Identification and Risk Assessment (THIRA) and State Preparedness Report (SPR) process. These assessments set capability targets and measure current ability to meet those targets.

Minimum funding amounts are not prescribed by the DHS for these priorities; however, grant subrecipients must support state, local, regional and national efforts in achieving the desired outcomes of these priorities.

**25% Law
Enforcement**

As in past years, at least 25% of FY2015 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.³

5% M&A

The Management and Administration (M&A) allowance for subrecipients is set at a maximum of 5% for the FY2015 HSGP.⁴

Indirect Costs

Indirect costs are allowable under the FY2015 HSGP grant award. Subrecipients wishing to claim indirect costs may do so using either of the following two methods:

1. Subrecipients with an indirect cost rate approved by their cognizant federal agency may claim indirect costs based on the established rate.

³ *Ibid.*, page 5

⁴ *Ibid.*, page 16

Indirect costs claimed must be calculated using the base approved in the indirect cost Negotiation Agreement. A copy of the approved Negotiation Agreement is required at the time of application.

2. Subrecipients who have never received a negotiated indirect cost rate and receive *less than* \$35 million in *direct* federal funding per year may claim the 10% de minimis indirect cost rate based on Modified Total Direct Costs (MTDC) as described in 2 C.F.R. Part 200, §200.68 and Subpart E.

Indirect costs are *in addition to* the M&A allowance, and must be included in the grant award application as a “Project” and reflected in the Financial Management Forms Workbook on the Indirect cost category ledger if being claimed under the award.

Organization New rules apply to overtime and operational overtime. Allowable costs are limited, and must be formally pre-approved by FEMA.⁵

Personnel Cap FY2015 SHSP and UASI funds have a personnel cap of 50%.⁶

Equipment Typing and Identification Subrecipients that wish to purchase equipment with FY2015 HSGP 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. Special rules apply to pharmaceutical purchases and medical counter measures.⁷

Equipment Maintenance/Sustainment Use of HSGP funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable as described in FEMA Information Bulletin (IB) 379.⁸

Construction and Renovation All funded construction projects must comply with the Davis-Bacon and related Acts, U.S. Department of Labor rules and other requests for the purpose of Davis-Bacon compliance. All construction projects must first receive written pre-approval from FEMA.⁹

Exercises, Improvement Plans, and After Action Reporting Subrecipients must conduct threat and performance-based exercises in accordance with DHS Homeland Security Exercise and Evaluation Program (HSEEP) manuals.

Exercises, Pursuant to Grant Programs Directorate Information Bulletin No. 366,

⁵ *Ibid.*, page 52

⁶ *Ibid.*, page 51

⁷ *Ibid.*, page 53

⁸ *Ibid.*, page 53-54

⁹ *Ibid.*, page 55-56

**Improvement
Plans, and After
Action
Reporting
(cont.)**

July 7, 2011, subrecipients must conduct an annual Training and Exercise Plan Workshop (TEPW) to develop a Multi-Year Training and Exercise Plan (TEP) and update it annually. The TEP should be submitted to hseep@fema.dhs.gov no later than June 1 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 hseep@fema.dhs.gov within 90 days after conducting the TEPW.

Note: No later than September 30th, subrecipients will email their Training & Exercise Schedules to Cal OES Program Representative Rachel Magaña at rachel.magana@caloes.ca.gov.

All subrecipients 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#`.

Grant subrecipients must report on all exercises conducted with HSGP grant funds. An After Action Report (AAR) and Improvement Plan (IP) or Summary Report (for Seminars & Workshops) must be completed and submitted to Cal OES within 90 days after the exercise/seminars/workshops are conducted. It is acceptable to submit an Exercise Summary Report for Seminars and Workshops in lieu of a full AAR/IP.

Please ensure all AAR/IP or Summary Report documents are encrypted (password-protected) and the password and a copy of the AAR/IP or Summary Report is sent to Cal OES Program Representative Rachel Magaña at rachel.magana@caloes.ca.gov and to hseep@fema.dhs.gov via separate emails. For more information on this process please contact Kevin Leisher at kevin.leisher@caloes.ca.gov or Steve Nunez at steve.nunez@caloes.ca.gov.

Subrecipients scheduled to participate in Capstone California (CC), formerly known as Golden Guardian, exercise activities should include the details in their FY2015 application. Cal OES program staff will be reviewing applications for adequate exercise funding for subrecipients scheduled to participate in CC activities within the FY2015 HSGP grant period of performance.

For exercise-related issues and/or questions, please contact Daniel Shemenski at (916) 845-8590 or Daniel.Shemenski@caloes.ca.gov.

Emergency

Subrecipients' Emergency Operations Plans must comply with rules regarding

Operation Plans evaluation matrices and the Comprehensive Preparedness Guide. Subrecipients should refer to IB 388a for additional guidance located at this link <https://www.fema.gov/grant-programs-directorate-information-bulletins> regarding this reporting requirement. Subrecipients must update their EOP at least once every two years to comply with Comprehensive Preparedness Guide (CPG) 101 version 2.0. Recipients will use the State Preparedness Report (SPR) to report their compliance with this reporting requirement.

Special Needs Population Subrecipients conducting major planning projects (including, but not limited to Evacuation, Mass Care and Shelter, Disaster Recovery, etc.) should address access and functional needs, including the needs of children, within their planning documents in order to maintain eligibility for HSGP.

Conflict of Interest Subrecipients must disclose to their grant Program Representative, in writing, any real or potential conflict of interest as defined by the federal, state, local, or Tribal statutes or regulations or their own existing policies, which may arise during the administration of the HSGP subaward within five days of learning of the conflict of interest.

FY2015 SHSP Priorities	<p>While the State Homeland Security Strategy broadly describes goals, objectives, and implementation steps, its priorities for FY2015 HSGP are:</p> <ol style="list-style-type: none"> 1. Information Analysis and Sharing 2. Critical Infrastructure Protection 3. Communication Capabilities 4. Community Preparedness and Resilience 5. Catastrophic Planning 6. Medical and Public Health Preparedness 7. Food and Agriculture Preparedness 8. Security Exercise, Evaluation and Training
State Initiative Funding	For FY2015 HSGP, Cal OES shall retain 20% of the SHSP and 20% of the UASI funding for the state initiatives.
“On Behalf Of”	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.
Regional Approach	Subrecipients 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 FY2015 HSGP application.
Strategy, Planning and Metrics Workshop	In the Spring of 2015, 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 subrecipient application.
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.calema.ca.gov/Cal-OES-Divisions/California-Specialized-Training-Institute</p>
FFATA Financial Disclosure	<p>On November 23, 2010, the DHS and FEMA issued Information Bulletin #350 to clarify requirements under the Federal Funding Accountability and Transparency Act (FFATA).</p> <p>As the State Administrative Agency (SAA), Cal OES is required to report subaward information for federal subawards 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</p>

FFATA (cont.) compensated individuals. Please see Grant Management Memoranda (GMM) 2012-01 for more information.

Tactical Interoperable Communication Plan (TICP) Due to significant legislation impacting public safety communications, Cal OES is reminding all subrecipients to update their Tactical Interoperable Communications Plan (TICP) and make it available upon request. Updating a TICP is an eligible activity under the FY2015 HSGP.

**Financial
Management
Forms
Workbook**

The FY2015 Cal OES Financial Management Forms Workbook (FMFW) can be accessed at <http://www.calema.ca.gov/cal-oes-divisions/grants-management/grants-processing-programs/homeland-security-grants-processing> and 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 for each Project. 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 Reimbursements, Grant Award Modifications, and Cash Advances.

Equipment Inventory Ledger – It is an HSGP requirement that detailed information be provided under the equipment description on all grant-funded equipment. Included will be all Authorized Equipment List (AEL) numbers. AEL information can be found on the Lessons Learned Information Sharing website at <https://www.llis.dhs.gov/hseep>. An alternate website is http://www.fema.gov/media-library-data/1421348378965-84ffa3400cd2ce7c9ff4c2486145b683/DHS_AEL_1009-2014.pdf

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

Training Ledger – Provide detailed information on grant-funded Training activities.

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

Exercise Ledger – Provide detailed information on grant-funded Exercise activities.

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

**Financial
Management
Forms
Workbook
(cont.)**

Consultant Ledger – Provide detailed information on grant-funded consultants.

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

Indirect Ledger – If claiming indirect costs under the subaward, provide detailed information on the total estimated indirect costs and the indirect cost rate at which you will be claiming. If you have a federally-approved rate, provide information on the direct cost base on which the rate is calculated, e.g., Salary and Wages (S/W), Salary, Wages and Benefits (SW&B), Total Direct Costs (TDC), Modified Total Direct Costs (MTDC), the De Minimis Rate of 10% of MTDC (10% MTDC), or another base (Other).

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

**Narrative
Attachments**

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

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

Personnel Cap – Describe how the subrecipient will not exceed the federally mandated 50% personnel cap.

Emergency Operations Plan (EOP) – Please describe your EOP and any progress in meeting the requirements identified in the FY2015 NOFO.¹⁰

Training with AAR/Exercise Detail – Pursuant to the federal NOFO, 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. Subrecipients must 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 – Pursuant to the federal NOFO, Cal OES must have certificates for completion of training for fusion center analytical personnel.¹¹ Provide copies of certificates for each intelligence analyst.

¹⁰ *Ibid.*, page 59-60

¹¹ *Ibid.*, page 51

Narrative Attachments (cont.)	<p>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.</p> <p>Indirect Cost Rate Negotiation Agreement – If claiming indirect costs at a federally-approved rate, please provide a copy of your approved indirect cost rate Negotiation Agreement.</p>
Grant Assurances	<p>The Grant Assurances list the requirements to which the subrecipients will be held accountable. All applicants will be required to submit a signed, original copy of the FY2015 Grant Assurances as part of their FY2015 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.</p> <p>Note: Self-created Grant Assurances will not be accepted.</p>
Training	<p>Cal OES shall afford subrecipients the opportunity to develop a “placeholder” for future training conferences when an agenda has not been established at the time subrecipient applications are due. Please work with your Cal OES Program Representative and the Training Branch to identify a possible “placeholder” for these types of training activities. CERT programs must be registered and updated.¹²</p>
Operational Areas Only	<p>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 HSGP 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:</p> <ul style="list-style-type: none"> • 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) <p>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</p>

¹² *Ibid.*, page 53

**Operational
Areas Only
(cont.)**

submitted with the FY2015 HSGP application. Contact your Cal OES 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 subaward. All applicants are required to submit a **certified** copy of their FY2015 Governing Body Resolution with their FY2015 HSGP application. A sample Resolution is 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

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. It also must be inclusive of local Citizen Corps Council and Tribal representatives. 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. Additional group composition criteria is found in the federal NOFO.¹³

¹³ *Ibid.*, page 43-44

**State Agencies
& Tribes only**

Project Narrative – In addition to the FMFW Project Descriptions, state agencies and Tribes must complete a Project Narrative Form (included as Attachment E).

Signature Authority – 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 Signature Authority Form with the Application (included in Attachment D).

Application Submittal

The completed FMFW V 1.15 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 must 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 28, 2015 (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 subrecipients, at the sole discretion of Cal OES.

Application Approval

The subrecipient will receive written notice of the State's approval of its application not later than 45 days after the federal grant award. Subrecipient 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 1.15, signed by the subrecipient's Authorized Agent, and submitted to the subrecipient's Program Representative in the Cal OES HSGU.

The subrecipient may implement the modifications, and incur associated expenses, only after receiving written final approval of the modification from Cal OES. 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.

Sole Source Procurements

To be eligible for reimbursement, sole source (or noncompetitive) procurements exceeding the *simplified acquisition threshold* (which is established by the Federal Acquisition Regulation at 48 CFR Subpart 2.1 and is currently set at \$150,000) require Cal OES *prior* written approval.

Please note that this method of procurement must be approved by your local Purchasing Agent prior to submitting a request for Cal OES approval. A copy of the Purchasing Agent's approval must be included with the Cal OES submission; additional documentation supporting the procurement effort may also be requested for review by Cal OES.

Payment Request Process

To request an advance or cash reimbursement payment of FY2015 HSGP funds, subrecipients must first complete a payment request using the Cal OES Financial Management Forms Workbook, and then return it to the appropriate Cal OES HSGU Program Representative. Subrecipients who fail to follow the workbook instructions may experience delays in processing the payment request.

Payments can only be made if the subrecipient 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.**

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

Advances and Interest Earned on Advances

DHS allows subrecipients to request FY2015 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, subrecipients must also inform the Cal OES HSGU Program Representative of any interest returned on program funds.

Performance Bond	<p>Many subrecipients 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 subrecipients to obtain a “performance bond” wherein subrecipients 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 subrecipient’s performance period.</p> <p>Subrecipients must obtain a performance bond for any equipment item over \$250,000 or any vehicle, aircraft or watercraft, financed with homeland security dollars. Subrecipients must provide a copy of all performance bonds to their HSGP Program Representative not later than the time of reimbursement.</p>
Inventory Control and Property Management	<p>FY2015 HSGP recipients must use standardized resource management concepts for resource typing and credentialing, in addition to maintaining an inventory by which to facilitate the effective identification, dispatch, deployment, tracking and recovery of resources.¹⁴</p>
Performance Reporting	<p>Subrecipients must prepare and submit performance reports to the State for the duration of the grant period of performance, or until all grant activities are completed and the grant is formally closed by Cal OES.</p> <p>Beginning with the FY2015 HSGP award, subrecipients will be required to provide performance reports to their Grant Program Representative on a semi-annual basis (Spring and Fall) using the Cal OES Performance Report template found on the Cal OES website. Monthly progress reporting will be required when project milestones are missed and will continue until such time as projects are back on schedule.</p> <p>Subrecipients must also complete a Biannual Strategy Implementation Report (BSIR) using the DHS/FEMA Grants Reporting Tool (GRT).</p> <p>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.”</p> <p>For additional assistance with the GRT, please contact: Dora Gomez at Dora.Gomez@caloes.ca.gov or (916) 845-8656</p>

¹⁴ *Ibid.*, page 51

Failure to Submit Required Reports Periodic reporting is required by the grant. Subrecipients 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.

Extension Requests Extensions to the initial period of performance identified in the subaward will only be considered through formal, written requests to your Grant Program Representative. Upon receipt of extension requests, Cal OES will: (1), verify compliance with performance reporting requirements by confirming the subrecipient has submitted all necessary performance reports; (2), confirm that the subrecipient has provided sufficient justification for the request; and (3), if applicable, confirm that the subrecipient has demonstrated sufficient progress in past situations where an extension was authorized by Cal OES.

To be considered, extension requests must be received no later than 60 days prior to the end of the subrecipient’s period of performance, and must contain specific and compelling justifications as to why an extension is required.

Progress Reports on Extensions All subrecipients that receive Cal OES approval to extend their grant period of performance must submit monthly progress reports indicating completed and future project milestones for all extended projects. The progress reports must be submitted to Cal OES.

Monitoring The Cal OES Monitoring Branch is actively monitoring subrecipients, both through desk and on-site field reviews. Monitoring is based on the cost principals and the administrative requirements addressed in local, state and federal controlling authority, in addition to applicable financial guidelines. Reviews may include, but are not limited to:

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

**Monitoring
(cont.)**

Many subrecipients receive “findings” that necessitate a Corrective Action Plan (CAP) on their part. Those subrecipients 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 subrecipients that pass through funds 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**

Cal OES may suspend or terminate grant funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failure to submit required reports.
- Failure to expend funds in a timely manner consistent with the grant milestones, guidance and assurances.
- Failure to comply with the requirements or statutory progress toward the goals or objectives of federal or state law.
- Failure to make satisfactory progress toward the goals or objectives set forth in the subrecipient application.
- Failure 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.
- Failure to adequately manage, monitor or direct the grant funding activities of their subrecipients.

Closeout

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

Cal OES will close a subrecipient’s subaward after:

- Receiving a subrecipient 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 subawards, modifications and payments.

If the closeout review and reconciliation indicates that the subrecipient:

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

**Closeout
(cont.)**

In the Grant Closeout Letter, Cal OES will notify the subrecipient 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	1,573,254	75,000	419,329	1,257,986	1,677,315
ALPINE	1,079	75,000	19,025	57,074	76,099
AMADOR	36,151	75,000	27,955	83,864	111,819
BUTTE	222,316	75,000	75,356	226,067	301,423
CALAVERAS	44,650	75,000	30,119	90,356	120,475
COLUSA	21,660	75,000	24,265	72,795	97,060
CONTRA COSTA	1,087,008	75,000	295,522	886,565	1,182,087
DEL NORTE	28,131	75,000	25,913	77,738	103,651
EL DORADO	182,404	75,000	65,193	195,580	260,773
FRESNO	964,040	75,000	264,212	792,636	1,056,848
GLENN	28,353	75,000	25,969	77,908	103,877
HUMBOLDT	134,648	75,000	53,034	159,101	212,135
IMPERIAL	180,672	75,000	64,752	194,257	259,009
INYO	18,590	75,000	23,483	70,450	93,933
KERN	873,092	75,000	241,055	723,165	964,220
KINGS	150,181	75,000	56,989	170,966	227,955
LAKE	64,699	75,000	35,224	105,670	140,894
LASSEN	32,581	75,000	27,046	81,137	108,183
LOS ANGELES	10,041,797	75,000	2,575,573	7,726,718	10,302,291
MADERA	153,897	75,000	57,935	173,805	231,740
MARIN	255,846	75,000	83,893	251,679	335,572
MARIPOSA	18,467	75,000	23,452	70,356	93,808
MENDOCINO	89,029	75,000	41,418	124,256	165,674
MERCED	264,922	75,000	86,204	258,612	344,816
MODOC	9,197	75,000	21,092	63,275	84,367
MONO	14,143	75,000	22,351	67,053	89,404
MONTEREY	425,756	75,000	127,155	381,466	508,621
NAPA	139,255	75,000	54,207	162,620	216,827
NEVADA	97,225	75,000	43,505	130,516	174,021
ORANGE	3,113,991	75,000	811,628	2,434,885	3,246,513
PLACER	366,115	75,000	111,969	335,909	447,878
PLUMAS	19,140	75,000	23,623	70,871	94,494
RIVERSIDE	2,279,967	75,000	599,271	1,797,812	2,397,083
SACRAMENTO	1,454,406	75,000	389,068	1,167,204	1,556,272
SAN BENITO	57,517	75,000	33,395	100,185	133,580
SAN BERNARDINO	2,085,669	75,000	549,799	1,649,397	2,199,196
SAN DIEGO	3,194,362	75,000	832,092	2,496,277	3,328,369
SAN FRANCISCO	836,620	75,000	231,769	695,305	927,074
SAN JOAQUIN	710,731	75,000	199,715	599,145	798,860
SAN LUIS OBISPO	272,357	75,000	88,097	264,291	352,388
SAN MATEO	745,193	75,000	208,490	625,468	833,958
SANTA BARBARA	433,398	75,000	129,101	387,303	516,404
SANTA CLARA	1,868,558	75,000	494,519	1,483,555	1,978,074

SANTA CRUZ	271,595	75,000	87,903	263,709	351,612
SHASTA	179,412	75,000	64,432	193,294	257,726
SIERRA	3,089	75,000	19,537	58,609	78,146
SISKIYOU	45,231	75,000	30,267	90,800	121,067
SOLANO	424,233	75,000	126,767	380,302	507,069
SONOMA	490,486	75,000	143,637	430,909	574,546
STANISLAUS	526,042	75,000	152,690	458,069	610,759
SUTTER	95,733	75,000	43,125	129,376	172,501
TEHAMA	63,717	75,000	34,973	104,921	139,894
TRINITY	13,389	75,000	22,159	66,477	88,636
TULARE	459,446	75,000	135,733	407,200	542,933
TUOLUMNE	53,604	75,000	32,399	97,195	129,594
VENTURA	842,967	75,000	233,385	700,153	933,538
YOLO	206,381	75,000	71,298	213,895	285,193
YUBA	73,682	75,000	37,511	112,532	150,043
Total	38,340,074	4,350,000	10,849,578	32,548,719	43,398,297

Tribal Allocation

Coordinating Group	Population	Base Amount	25% LE	SHSP	Total Award
Tribal	362,801	75,000	161,126	483,377	644,503

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	80% Allocation to UASI	20% State Initiatives
ANAHEIM/SANTA ANA AREA	5,500,000	4,400,000	1,100,000
BAY AREA	28,400,000	22,720,000	5,680,000
LOS ANGELES/LONG BEACH AREA	69,500,000	55,600,000	13,900,000
RIVERSIDE AREA	3,000,000	2,400,000	600,000
SAN DIEGO AREA	16,874,000	13,499,200	3,374,800
Total	123,274,000	98,619,200	24,654,800

DHS Announcement of 2015 HSGP	April 2, 2015
SAA Application Due to DHS	May 19, 2015
2015 HSGP California Supplement (Including Subrecipient Allocations) Release	August 3, 2015
Subrecipient Application Workshops	August 2015*
Subrecipient Applications Due to Cal OES	September 11, 2015*
DHS Award to California	August 31, 2015*
Subrecipient Awards (45 days from DHS award)	October 9, 2015*
Subrecipient-Period of Performance Begins	September 1, 2015*
Subrecipient Performance Period Ends	May 31, 2018*
Final Requests for Reimbursement Due	June 20, 2018*
SAA Performance Period Ends	August 31, 2018*

*Date approximate depending on DHS award date

Attachment C—Sample Governing Body Resolution | 2015

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)

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

OF THE _____
(Name of the Organization)

I hereby authorize the following individual(s) to execute for and on behalf of the named 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 (agency/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 FY2015

Please check the appropriate box:

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

Subrecipient: _____

FIPS # _____

Cal OES Regional Rep: _____

OPERATIONAL/URBAN AREAS

STATE AGENCIES / TRIBES

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

- ___ Financial Management Forms Workbook
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 - ___ Organization Ledger
 - ___ Training Ledger
 - ___ Planning Ledger
 - ___ Exercise Ledger
 - ___ Personnel Ledger
 - ___ Consultant Ledger
 - ___ Management and Administration Ledger
 - ___ Indirect Cost Ledger
 - ___ 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
 - ___ Indirect Cost Rate Negotiation Agreement

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

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

- ___ Approval Authority:
 - ___ 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

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 Capabilities	
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 Incident Planning, Response and Recovery

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