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3 **AGREEMENT TO TRANSFER FUNDS**

4 **FOR 2015 EMERGENCY MANAGEMENT PERFORMANCE GRANT PROGRAM**

5 **THIS AGREEMENT** is entered into this _____ day of _____ 20____, which date is
6 enumerated for purposes of reference only, by and between the COUNTY OF ORANGE, a political
7 subdivision of the State of California, hereinafter referred to as "COUNTY," and
8 _____, a municipal corporation, hereinafter referred to as
9 "SUBRECIPIENT."

10 **WHEREAS**, COUNTY, acting through its Sheriff-Coroner Department, hereinafter referred to
11 as SHERIFF, in its capacity as the lead agency for the Operational Area, has applied for, received and
12 accepted the Emergency Management Performance Grant (hereinafter referred to as "the grant") from
13 the California Office of Emergency Services ("CalOES").

14 **WHEREAS**, the purpose of the grant is to support comprehensive emergency management at
15 the state, tribal and local levels and to encourage the improvement of prevention, protection, mitigation,
16 response and recovery capabilities for all hazards, as set forth in Attachment A hereto (FY2015
17 Emergency Management Performance Grants [EMPG] Program Funding Opportunity Announcement
18 [FOA]), which is attached hereto and incorporated herein by reference.

19 **NOW, THEREFORE, IT IS MUTUALLY AGREED AS FOLLOWS:**

20 1. COUNTY shall transfer to SUBRECIPIENT grant funds, in arrears, as necessary to
21 reimburse SUBRECIPIENT for reasonable and permissible expenditures for the grant purposes. In
22 order to obtain grant funds, SUBRECIPIENT shall comply with the instructions and submit to SHERIFF
23 all required information and documentation, as set forth in Attachment B (EMPG City Financial
24 Management Forms Workbook), which is attached hereto and incorporated herein by reference.

25 2. Throughout their useful life, grant property and equipment shall be used by
26 SUBRECIPIENT only for grant purposes in accordance with Attachment A hereto.

27 3. SUBRECIPIENT shall exercise due care to preserve and safeguard grant property and
28 equipment from damage or destruction and shall provide regular maintenance and such repairs for grant

1 property and equipment as are necessary, in order to keep said grant property and equipment
2 continually in good working order.

3 4. If grant property or equipment becomes obsolete, SUBRECIPIENT shall dispose of it
4 only in accordance with the instructions of COUNTY or the agency from which COUNTY received the
5 grant funds.

6 5. SUBRECIPIENT shall submit to the COUNTY grant program reporting documents and
7 information in accordance with requirements set out in the Attachment C (Emergency Management
8 Performance Grant Program: California Supplement to the Federal Program Funding Opportunity
9 Announcement; or, The State Guidance), which is attached hereto and incorporated herein by reference.

10 6. By executing this Agreement, SUBRECIPIENT agrees to comply with and be fully
11 bound by this Agreement and all applicable provisions of Attachments A, B, C, and D (FY15
12 Emergency Management Performance Grant Agreement Articles, Assurances, Certifications, Terms,
13 and Conditions) hereto. SUBRECIPIENT shall notify COUNTY immediately upon discovery that it has
14 not abided or no longer will abide by any applicable provision of this Agreement or Attachments A, B,
15 C, or D hereto.

16 7. SUBRECIPIENT agrees to indemnify, defend and save harmless COUNTY and the
17 agency from which COUNTY received grant funds, and their elected and appointed officials, officers,
18 agents and employees from any and all claims and losses accruing or resulting to any and all contractors,
19 subcontractors, laborers, and any other person, firm or corporation furnishing or supplying work,
20 services, materials or supplies in connection with SUBRECIPIENT's performance of this Agreement,
21 including Attachments A, B, C, and D hereto, and from any and all claims and losses accruing or
22 resulting to any person, firm, or corporation who may be injured or damaged by SUBRECIPIENT in the
23 performance of this Agreement, including Attachments A, B, C, and D hereto.

24 8. No alteration or variation of the terms of this Agreement shall be valid unless made in
25 writing and signed by duly authorized representatives of the parties hereto, and no oral understanding or
26 agreement not incorporated herein shall be binding on any of the parties hereto.

27 9. SUBRECIPIENT may not assign this Agreement in whole or in part without the express
28 written consent of COUNTY.

1 10. SUBRECIPIENT shall provide to COUNTY all records and information requested by
2 COUNTY for inclusion in quarterly reports and such other reports or records as COUNTY may be
3 required to provide to the agency from which COUNTY received grant funds or other persons or
4 agencies.

5 11. For a period of three years after the final Federal Financial Report hereunder or until all
6 claims related to this Agreement are finally settled, whichever is later, SUBRECIPIENT shall preserve
7 and maintain all documents, papers and records relevant to the work performed or property or equipment
8 acquired in accordance with this Agreement, including Attachments A, B, C, and D hereto. For the
9 same time period, SUBRECIPIENT shall make said documents, papers and records available to
10 COUNTY and the agency from which COUNTY received the grant funds or their duly authorized
11 representative(s), for examination, copying, or mechanical reproduction on or off the premises of
12 SUBRECIPIENT, upon request, during usual working hours.

13 12. SUBRECIPIENT and COUNTY shall be subject to examination and audit by the State
14 Auditor General with respect to this Agreement for a period of three years after the final Federal
15 Financial Report hereunder.

16 13. COUNTY may terminate this Agreement and be relieved of the payment of any
17 consideration to SUBRECIPIENT if a) SUBRECIPIENT fails to perform any of the covenants
18 contained in this Agreement, including the applicable terms of Attachments A, B, C, and D hereto, at the
19 time and in the manner herein provided, or b) COUNTY loses funding under the grant. In the event of
20 termination, COUNTY may proceed with the work in any manner deemed proper by COUNTY.

21 14. SUBRECIPIENT and its agents and employees shall act in an independent capacity in
22 the performance of this Agreement, including Attachments A, B, C, and D hereto, and shall not be
23 considered officers, agents or employees of COUNTY or SHERIFF or of the agency from which
24 COUNTY received grant funds.

25 15. By signing this Agreement, SUBRECEIPIENT understands and agrees that:

- 26 a. Failure to follow grant guidance, including those detailed below, will result in
27 ineligibility for any reimbursement under the FY15 EMPG:

- b. A SUBRECIPIENT representative must attend half of the Orange County Emergency Managers Organization meetings held from July 1, 2015 through June 30, 2016;
- c. SUBRECIPIENT must maintain National Incident Management System (NIMS) compliance;
- d. For any personnel whose salary is charged to the grant, that specific individual must meet the training and exercise requirements set forth in the grant guidance; and
- e. Only those expenditures specifically detailed in the Financial Management Forms Workbook are approved for funding; any changes must be pre-approved by the California Office of Emergency Services.

IN WITNESS WHEREOF, the parties have executed this Agreement in the County of Orange, State of California.

DATED: _____, 20__

COUNTY OF ORANGE, a political subdivision of the State of California

By _____
 Sheriff-Coroner
 "COUNTY"

APPROVED AS TO FORM:

COUNTY COUNSEL

By *Nicole A. Sims*
 Nicole A. Sims, Deputy

DATED: 11/20, 2015

DATED: _____, 20__

SUBRECIPIENT: _____

By _____

ATTEST:

 City Clerk

DATED: _____, 20__

Department of Homeland Security
Notice of Funding Opportunity

FY 2015 Emergency Management Performance Grant Program

NOTE: If you are going to apply for this funding opportunity and have not obtained a Data Universal Numbering System (DUNS) number and/or are not currently registered in the System for Award Management (SAM), please take immediate action to obtain a DUNS Number, if applicable, and then to register immediately in SAM. It may take 4 weeks or more after you submit your SAM registration before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information. Information on obtaining a DUNS number and registering in SAM is available from Grants.gov at:

<http://www.grants.gov/web/grants/applicants/applicant-resources.html>.

A. Notice of Funding Opportunity (NOFO) Description

Issued By

U.S. Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA), Grant Programs Directorate (GPD)

Catalog of Federal Domestic Assistance (CFDA) Number

97.042

CFDA Title

Emergency Management Performance Grant (EMPG) Program

Notice of Funding Opportunity Title

Emergency Management Performance Grant Program

NOFO Numbers

Grant Program Title	NOFO Number
Emergency Management Performance Grants (EMPG) – Region I	DHS-15-GPD-042-001-01
Emergency Management Performance Grants (EMPG) – Region II	DHS-15-GPD-042-002-01
Emergency Management Performance Grants (EMPG) – Region III	DHS-15-GPD-042-003-01
Emergency Management Performance Grants (EMPG) – Region IV	DHS-15-GPD-042-004-01
Emergency Management Performance Grants (EMPG) – Region V	DHS-15-GPD-042-005-01
Emergency Management Performance Grants (EMPG) – Region VI	DHS-15-GPD-042-006-01
Emergency Management Performance Grants (EMPG) – Region VII	DHS-15-GPD-042-007-01
Emergency Management Performance Grants (EMPG) – Region VIII	DHS-15-GPD-042-008-01
Emergency Management Performance Grants (EMPG) – Region IX	DHS-15-GPD-042-009-01
Emergency Management Performance Grants (EMPG) – Region X	DHS-15-GPD-042-010-01

Authorizing Authority for Program

Section 662 of the *Post-Katrina Emergency Management Reform Act of 2006* (PKEMRA), as amended, (Pub. L. No. 109-295) (6 U.S.C. § 762); the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, as amended (Pub. L. No. 93-288) (42 U.S.C. §§ 5121 et seq.); the *Earthquake Hazards Reduction Act of 1977*, as amended (Pub. L. No. 95-124) (42 U.S.C. §§ 7701 et seq.); and the *National Flood Insurance Act of 1968*, as amended (Pub. L. No. 90-448) (42 U.S.C. §§ 4001 et seq.).

Appropriation Authority for Program

Department of Homeland Security Appropriations Act, 2015, (Pub. L. No. 114-4)

Program Type

New

Program Overview, Objectives, and Priorities**Overview**

The purpose of the Emergency Management Performance Grant (EMPG) Program is to provide Federal funds to states to assist state, local, territorial, and tribal governments in preparing for all hazards, as authorized by Section 662 of the *Post Katrina Emergency Management Reform Act* (6 U.S.C. § 762) and the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (42 U.S.C. §§ 5121 et seq.). Title VI of the *Stafford Act* authorizes FEMA to make grants for the purpose of providing a system of emergency preparedness for the protection of life and property in the United States from hazards and to vest responsibility for emergency preparedness jointly in the Federal Government, states, and their political subdivisions. The Federal Government, through the EMPG Program, provides necessary direction, coordination, and guidance, and provides necessary assistance, as authorized in this title, to support a comprehensive all hazards emergency preparedness system. The FY 2015 EMPG will provide Federal funds to assist state, local, tribal, and territorial emergency management agencies to obtain the resources required to support the National Preparedness Goal's (the Goal's) associated mission areas and core capabilities. The Federal government, through the EMPG Program, provides necessary direction, coordination, and guidance, and provides necessary assistance, as authorized in this title, to support a comprehensive all hazards emergency preparedness system.

Objectives

The EMPG Program supports a comprehensive, all-hazard emergency preparedness system by building and sustaining the core capabilities contained in the Goal.

Examples of EMPG funded activities include:

- Initiating or achieving an all-of-Nation/whole community approach to security and emergency management;
- Strengthening a state or community's emergency management program;
- Updating emergency plans;

- Completing the State Preparedness Reports (SPR), including the Threat and Hazard Identification and Risk Assessment (THIRA) process;
- Designing and conducting exercises that engage an all-of-Nation/whole community of stakeholders and validate core capabilities; and
- Conducting training

Priorities

The National Preparedness System is the instrument the Nation employs to build, sustain, and implement core capabilities to achieve the Goal of a secure and resilient Nation. Complex and far-reaching threats and hazards require a collaborative and all-of-Nation/whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government. The guidance, programs, processes, and systems that support each component of the National Preparedness System allow for the integration of preparedness efforts that build, sustain, and deliver core capabilities and achieve the desired outcomes identified in the Goal.

The Department of Homeland Security expects EMPG recipients to prioritize grant funding to address capability targets and gaps identified through the annual THIRA and SPR process. Recipients should prioritize the use of grant funds to maintain/sustain current capabilities, to validate capability levels, and to increase capability for high-priority core capabilities with low capability levels. Additional information, including guidelines for completing the THIRA and SPR, can be found at: <https://www.fema.gov/media-library/assets/documents/26335> and <https://www.fema.gov/media-library/assets/documents/24748>.

Minimum funding amounts are not prescribed by the Department for these priorities; however, recipients are expected to support state, local, regional, tribal, territorial and national efforts to achieve the desired outcomes for these priorities.

For additional details on priorities for the EMPG Program, please refer to Appendix A – FY 2015 EMPG Program Priorities.

B. Federal Award Information

Award Amounts, Important Dates, Extensions

Available Funding for the FY 2015 EMPG NOFO: \$350,100,000

Period of Performance: Twenty-four (24) Months

Extensions to the period of performance are allowed. For additional information on period of performance extensions, refer to Section H of this NOFO, Additional Information (Extensions).

Period of Performance Start Date(s): 10/1/2014

Period of Performance End Date(s): 9/30/2016

Funding Instrument: Grant

C. Eligibility Information

Eligible Applicants

State governments (State Administrative Agency [SAA] or the State's Emergency Management Agency [EMA])

Eligibility Criteria

All 56 states and territories, as well as the Republic of the Marshall Islands and the Federated States of Micronesia, are eligible to apply for FY 2015 EMPG Program funds. Either the SAA or the EMA is eligible to apply directly to FEMA for EMPG Program funds on behalf of each state or territory. However, only one application will be accepted from each state or territory.

Other Eligibility Criteria:

Emergency Management Assistance Compact (EMAC) Membership

In support of the Goal, EMPG recipients must belong to, be located in, or act as temporary member states of EMAC, except for American Samoa, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Commonwealth of the Northern Mariana Islands, which are not currently required to belong to EMAC. All assets supported in part or entirely with FY 2015 EMPG Program funding must, where applicable, be readily deployable to support emergency or disaster operations per existing EMAC agreements.

National Incident Management System (NIMS) Implementation

Prior to allocation of any Federal preparedness awards in FY 2015, recipients must ensure and maintain adoption and implementation of NIMS.

Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs. Utilization of the standardized resource management concepts such as typing, credentialing, and inventorying promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and NIMS resource typing definitions and job titles/position qualifications is available under <http://www.fema.gov/resource-management-mutual-aid>.

FEMA developed the NIMS Guideline for Credentialing of Personnel to describe national credentialing standards and to provide written guidance regarding the use of those standards. This guideline describes credentialing and typing processes, and identifies tools which Federal Emergency Response Officials (FEROs) and emergency managers at all levels of government may use both routinely and to facilitate multijurisdictional coordinated responses.

Although state, local, tribal, and private sector partners—including nongovernmental organizations—are not required to credential their personnel in accordance with these guidelines, FEMA strongly encourages them to do so in order to leverage Federal investment in the Federal Information Processing Standards (FIPS) 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction. Additional information is available from the [NIMS Guideline for the Credentialing of Personnel](#).

Maintenance of Effort

There is no Maintenance of Effort requirement for this program.

Cost Match Criteria

A cost match is required under this program.

The Federal share that is used towards the EMPG Program budget shall not exceed 50 percent of the total budget. The state must equally match (cash or in-kind) the Federal contribution pursuant to Sections 611(j) and 613 of the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Pub. L. No. 93-288), as amended, (42 U.S.C. §§ 5121-5207). Unless otherwise authorized by law, Federal funds cannot be matched with other Federal funds.

FEMA administers cost matching requirements in accordance with 2 C.F.R. § 200.306. To meet matching requirements, the recipient contributions must be verifiable, reasonable, allowable, allocable, and necessary under the grant program and must comply with all Federal requirements and regulations. In accordance with 48 U.S.C. § 1469a, match requirements are waived for the insular areas: the U.S. territories of American Samoa, Guam, the U.S. Virgin Islands, the Federated States of Micronesia, the Northern Mariana Islands, and the Republic of the Marshall Islands.

D. Application and Submission Information

Submission Date and Other Key Dates and Times

Date Posted to Grants.gov: March 25, 2015

Application Submission Deadline: April 24, 2015 at 11:59:59 p.m. (EDT)

All applications **must** be received by the established deadline. The Non-Disaster (ND) Grants System has a date stamp that indicates when an application is submitted. Applicants will receive an electronic message confirming receipt of the full application. In general, FEMA will not review applications that are not received by the deadline or consider them for funding. FEMA may, however, extend the application deadline on request for any applicant who can demonstrate that good cause exists to justify extending the deadline. Good cause for an extension may include technical problems outside of the applicant's control that prevent submission of the application by the deadline, or other

exigent or emergency circumstances. Extensions based on exigent or emergency circumstances will be made on case by case basis with the final determination resting with FEMA. If you experience technical issues, you must notify the respective EMPG Regional Program Analyst as soon as possible.

Anticipated Award Date: No later than 9/30/2015

Other Key Dates

The chart below outlines suggested/estimated deadlines for completing the five steps required for a successful application submission prior to the deadline. These dates are only recommendations as applicants are responsible for planning far enough in advance to complete their application. The requirements outlined in the chart below are outside of FEMA's purview. Therefore, FEMA does not guarantee the timeframes for completing those processes. Failure of an applicant to comply with any of the required steps before the deadline for submitting their application may disqualify their application from funding.

Applicants are encouraged to register early for Authorized Organizational Representative (AOR) authorization. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines.

Task	Suggested timeframe for completion of task to meet submission deadline
Obtain DUNS Number	March 31, 2015
Obtain valid Employer Identification Number (EIN)	March 31, 2015
Update SAM registration	April 10, 2015
Submit initial application in grants.gov	April 17, 2015

Address to Request Application Package

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "Applicants" then "Apply for Grants," read the registration requirements and register if necessary (**Allow up to 7-10 business days after you submit before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information**). In order to obtain the application package, select "Download a Grant Application Package," enter the CFDA and/or the funding opportunity number located on the cover of this NOFO, select "Download Package," and then follow the prompts to download the application package.

If you experience difficulties accessing information or have any questions, please call the [grants.gov](http://www.grants.gov) customer support hotline at (800) 518-4726.

Hard copies of the NOFO can be downloaded from the common electronic "storefront" in Grants.gov.

In addition, the Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this Notice is: (800) 462-7585.

Applications will be processed through the Grants.gov portal and FEMA's Non-Disaster Grants (ND Grants) System.

Content and Form of Application Submission

Applying for an award under this program is a multi-step process and requires time to complete. To ensure that an application is submitted on time, applicants are advised to start the required steps well in advance of their submission. Please review the table above under "Submission Dates and Other Key Dates and Times" for estimated deadlines to complete each of the six steps listed below. Failure of an applicant to comply with any of the required steps before the deadline for submitting their application may disqualify their application from funding.

The steps involved in applying for an award under this program are:

1. Applying for, updating or verifying their DUNS Number;
2. Applying for, updating or verifying their EIN Number;
3. Updating or verifying their SAM number;
4. Establishing an Authorized Organizational Representative (AOR) in Grants.gov;
5. Submitting an initial application in Grants.gov; and
6. Submitting the complete application in ND Grants.

For additional information regarding the DUNS Number, EIN Number, SAM Number, and AOR requirements, please see the section below entitled [Dun and Bradstreet Universal Numbering System \(DUNS\) Number, System for Award Management \(SAM\), and Authorized Organizational Representative \(AOR\).](#)

Submitting an Initial Application in Grants.gov.

All applicants must submit their initial application through [Grants.gov](#). Applicants may need to first create a Grants.gov user profile by visiting the Get Registered section of the Grants.gov website. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Applicants should complete this initial step on-line, which requires completing:

- Standard Form 424 (SF-424), Application for Federal Assistance, and
- Grants.gov (GG) Form Certification Regarding Lobbying Form.

Both forms are available in the Forms tab under SF-424 Family. The initial application cannot be started or submitted in Grants.gov until the applicant's registration in SAM is confirmed.

Application forms and instructions are available at [Grants.gov](#) by selecting *Apply for Grants*. Enter the CFDA number or the Opportunity ID Number noted in this NOFO, select *Download Application Package*, and follow the prompts to download the application package. The information submitted in Grants.gov will be retrieved by ND

Grants, which will allow FEMA to determine if an applicant is eligible. **Applicants are encouraged to submit their initial application in Grants.gov at least seven days before the April 24, 2015, 11:59:59 p.m. (EDT) application deadline.**

If you need assistance applying through Grants.gov, please go to the [Grant Application page](#), contact support@grants.gov, or call 800-518-4726. *FEMA cannot assist applicants with questions related to registering with Grants.gov.*

Submitting the Complete Application in Non Disaster Grants System (ND Grants).

Eligible applicants will be notified by FEMA and asked to proceed with submitting their complete application package in [ND Grants](#). Applicants can register early with ND Grants and are encouraged to begin their ND Grants registration at the time of this announcement. Early registration will allow applicants to have adequate time to start and complete their application.

In ND Grants, applicants will be prompted to submit all of the information contained in the following forms. Applicants should review these forms before applying to ensure they include all required information:

- Standard Form 424A, Budget Information (Non-construction);
- Standard Form 424B, Standard Assurances (Non-construction); and
- Standard Form LLL, Disclosure of Lobbying Activities (if the recipient has engaged or intends to engage in lobbying activities).

In addition applicants must submit copies of the following in ND Grants:

- Standard Form 424D, Standard Assurances (Construction) if applying for funds to use for construction;
- Standard Form 424C, Budget Information (Construction) if applying for grants to support construction;
- Program Work Plan; and
- Indirect Cost Rate Agreement, if applicable

If you need assistance registering for the ND Grants system, please contact ndgrants@fema.gov or (800) 865-4076.

Dun and Bradstreet Universal Numbering System (DUNS) Number, System for Award Management (SAM), and Authorized Organizational Representative (AOR)

DHS is participating in the Grants.gov Initiative that provides the Grant Community a single site to find and apply for grant funding opportunities; therefore, applicants with electronic access are to submit their applications electronically through <http://www.grants.gov/web/grants/applicants/apply-for-grants.html>. Before you can apply for a DHS grant at grants.gov, you must have a DUNS number and must be registered in SAM.

Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) Number

The DUNS number must be included in the data entry field labeled "Organizational DUNS" on the SF-424 form. Instructions for obtaining a DUNS number can be found at

the following website: <http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

The applicant must provide a DUNS number with their application. This number is a required field for all subsequent steps in the application submission. Applicants should verify they have a DUNS number, or take the steps necessary to obtain one.

Applicants can receive a DUNS number at no cost by calling the DUNS number request line at (866) 705-5711. *FEMA cannot assist applicants with questions related to obtaining a current DUNS number.*

Obtain an Employer Identification Number (EIN)

FEMA requires both the EIN and a DUNS number prior to the issuance of a financial assistance award and for grant award payment; both EIN and DUNS are also required to register with SAM (see below). The EIN base for an organization is the Internal Revenue Service (IRS) Tax ID number; for individuals it is their social security number, both the EIN and social security numbers are nine-digit numbers. Organizations submitting their applications must correctly differentiate the EIN from the DUNS since both are 9-digit numbers. If these numbers are not correctly identified in the application, this may result in a delay in the issuance of the funding award and/or incorrect payment to a recipient organization.

Organization applicants [applying for an EIN](#) should plan on a minimum of two full weeks to obtain an EIN. If you need assistance registering an EIN please contact the [IRS helpline](#). *FEMA cannot assist applicants with questions related to obtaining a current EIN.*

Register with the System for Award Management (SAM)

Applicants applying for grant funds electronically through Grants.gov must register with the Federal System for Award Management (SAM). Step-by-step instructions for registering with SAM can be found at: <http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>. All applicants must register with SAM in order to apply online. Failure to register with the SAM will result in your application being rejected by Grants.gov during the submissions process.

Payment under any FEMA award is contingent on the recipient's having a current [SAM](#) registration. The SAM registration process must be completed by the applicant. It is imperative that the information provided by the applicant is correct and current. Please ensure that your organization's name, address, DUNS number, and EIN are up to date in SAM and that the DUNS number used in SAM is the same one used to apply for all other FEMA awards.

SAM registration is a multi-step process that includes validating your EIN with the IRS and obtaining a Commercial and Government Entity (CAGE) code. The CAGE code is only valid for one year after issuance and must be current at the time of application.

SAM sends notifications to the registered user via email 60, 30, and 15 days prior to expiration of the SAM registration for the Entity. SAM registration may lapse due to inactivity. To update or renew your Entity record(s) in SAM you will need to create a SAM User Account and link it to your migrated Entity records.

If you need assistance registering, please go to SAM.gov or call 866-606-8220. *FEMA cannot assist applicants with questions related to registering in SAM or obtaining a current CAGE code.*

Authorized Organizational Representative

The next step in the registration process is creating a username and password with Grants.gov to become an Authorized Organizational Representative (AOR). AORs will need the DUNS number of the organization for which they will be submitting applications to complete this process. To read more detailed instructions for creating a profile on Grants.gov visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>.

AOR Authorization

After creating a profile on Grants.gov, the E-Biz Point of Contact (E-Biz POC), a representative from your organization who is the contact listed for SAM, will receive an email to grant the AOR permission to submit applications on behalf of their organization. The E-Biz POC will then log in to Grants.gov and approve an applicant as the AOR, thereby giving him or her permission to submit applications. To learn more about AOR Authorization visit:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html>. To track an AOR status visit:

<http://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html>.

Applicants are encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines. After you have been approved as an AOR, you will be able to submit your application online.

Electronic Signature

Applications submitted through Grants.gov constitute a submission as electronically signed applications. The registration and account creation with Grants.gov with E-Biz POC approval establishes an AOR. When you submit the application through Grants.gov, the name of your AOR on file will be inserted into the signature line of the application. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR; this step often is overlooked and it is crucial for valid submissions.

FEMA may not make an EMPG award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time FEMA is ready to make an award, FEMA

may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

Intergovernmental Review

An intergovernmental review may be required. Applicants must contact their state's Single Point of Contact (SPOC) to comply with the state's process under Executive Order 12372 (see <http://www.fws.gov/policy/library/rgeo12372.pdf>). Name and addresses of the SPOCs are maintained at the Office of Management and Budget's home page at http://www.whitehouse.gov/omb/grants_spoc to ensure currency.

Funding Restrictions

Federal funds made available through this award may only be used for the purpose set forth in this award and must be consistent with the statutory authority for the award. Award funds may not be used for matching funds for any other Federal award, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

EMPG Program recipients may only fund activities and projects that were included in the FY 2015 EMPG Program Work Plan that was submitted to and approved by FEMA. Activities and projects may include the sustainment of capabilities supported by previous EMPG Program funds provided the sustainment activity is cited in the FY 2015 Work Plan.

Environmental Planning and Historic Preservation (EHP) Compliance

As a Federal agency, FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal EHP regulations, laws and Executive Orders as applicable. Recipients and subrecipients proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities, must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, FEMA also is required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed and approved before funds are released to carry out the proposed project. FEMA will not fund projects that are initiated without the required EHP review.

Additionally, all recipients are required to comply with FEMA EHP Policy Guidance. This EHP Policy Guidance can be found in FP 108-023-1, [*Environmental Planning and Historic Preservation Policy Guidance*](#), and FP 108.24.4, [*Environmental Planning and Historical Preservation Policy*](#).

SAFECOM

Recipients (including subrecipients) who receive awards under EMPG that wholly or partially provide funding for emergency communication projects and related activities must comply with the most recent version of the [SAFECOM Guidance on Emergency Communications Grants](#). This guidance provides recommendations to recipients regarding interoperable emergency communications projects, including allowable costs, eligible activities, grants management best practices for emergency communications grants, and information on technical standards that ensure greater interoperability. The guidance is intended to ensure that Federally-funded investments are compatible, interoperable, and support the national goals and objectives for improving emergency communications nationwide. Recipients (including subrecipients) investing in broadband-related investments should review [IB 386, Clarification on Use of DHS/FEMA Public Safety Grant Funds for Broadband-Related Expenditures and Investments](#), and consult their FEMA Regional Program Analyst on such investments before developing applications.

Pre-award costs

Pre-award costs are allowable only with the prior written approval of FEMA and if they are included in the award agreement. To request pre-award costs a written request must be included with the application, signed by the Authorized Representative of the entity. The letter must outline what the pre-award costs are for, including a detailed budget break-out of pre-award costs from the post-award costs, and a justification for approval.

Direct CostsCost Principles

Costs charged to this award must be consistent with the Cost Principles for Federal Awards located at 2 C.F.R. Part 200, Subpart E.

Planning

Planning related costs are allowed under this program only as described in this NOFO.

Organization

Organization costs are allowed under this program only as described in this NOFO.

Equipment

Equipment costs are allowed under this program only as described in this NOFO.

Training

Training related costs are allowed under this program only as described in this NOFO.

Exercise

Exercise related costs are allowed under this program only as described in this NOFO.

Travel

Domestic travel costs are allowed under this program, as provided for in this NOFO. International travel is not an allowable cost under this program unless approved in advance by FEMA.

Construction and Renovation

Construction and renovation costs are allowed under this program only as described in this NOFO.

Operational Overtime

Operational Overtime costs are allowed under this program only as described in this NOFO.

Maintenance and Sustainment

Funding may be used for the sustainment of programs that help achieve core capabilities that, while they may not be physically deployable, support national response capabilities such as Geographic/Geospatial Information Systems (GIS), interoperable communications systems, capabilities as defined under the Response Mission Area of the Goal, and fusion centers.

For additional details on the use of funds, please refer to Appendix B-FY 2015 EMPG Funding Guidelines.

Management and Administration (M&A)

Management and Administration (M&A) activities are those directly related to managing and administering the award, such as financial management and monitoring. It should be noted that salaries of state and local emergency managers are not typically categorized as M&A, unless the state or local EMA chooses to assign personnel to specific M&A activities.

M&A costs are allowable for both state and local-level EMAs. The state EMA may use up to five percent (5%) of the EMPG award for M&A purposes. In addition, local EMAs may retain and use up to five percent (5%) of the amount received from the state for local M&A purposes.

If the SAA is not the state-level EMA, the SAA is not eligible to retain funds for M&A.

Indirect or Facilities and Administrative (F&A) Costs

Indirect costs are allowable under this program as described in 2 C.F.R. § 200.414. With the exception of recipients who have never received a negotiated indirect cost rate as described in 2 C.F.R. § 200.414(f), recipients must have an approved indirect cost rate agreement with their cognizant Federal agency to charge indirect costs to this award. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant Federal agency) is required at the time of application, and must be provided to FEMA before indirect costs are charged to the award.

E. Application Review Information**Criteria**

FY 2015 EMPG Program applications will be evaluated for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed Work Plan. The results from the review process may require applicants to revise submissions before the release of EMPG funding.

Review and Selection Process**Initial Review**

Once program guidance and application requirements are released publicly, eligible applicants can submit applications for funding. Application release and review periods are primarily determined through the appropriations process. FEMA's Regional EMPG Program Managers conduct all pre-award reviews for Emergency Management Performance Grants. All EMPG Program Work Plans will require final approval by the appropriate FEMA regional office.

Funds for recipients who have not submitted their EMPG Program Work Plan as part of their application will not be released until such Work Plan is received, reviewed, and approved by FEMA. Recipients will be notified by their FEMA Regional Program Manager should any component of the EMPG Program application require additional information.

Overall Review

Submitted applications will undergo a complete content review within their respective FEMA Region. Each FEMA Regional EMPG Program Manager will be responsible for reviewing FY 2015 EMPG Program Work Plans for their respective states/territories in order to assess their emergency management sustainment and enhancement efforts for building, sustaining, and/or delivering the core capabilities.

For additional details on application review information please refer to Appendix C – FY 2015 EMPG Program Work Plan.

F. Federal Award Administration Information**Notice of Award**

Notification of award approval is made through the ND Grants system through an automatic e-mail to the awardee authorized official listed in the initial application. The "award date" for EMPG awards will be the date that FEMA approves the award. The awardee should follow the directions in the notification to confirm acceptance of the award.

Recipients must accept their awards no later than 90 days from the award date. The recipient shall notify FEMA of its intent to accept and proceed with work under the award, or provide a written notice of intent to decline. For instructions on how to accept

or decline and award in the ND Grants system, please see pages 40-43 in the [ND Grants Grantee Training Manual](#).

Funds will remain on hold until the recipient accepts the award through ND Grants and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the grant award within the 90 day timeframe may result in a loss of funds.

Pass through funding

Each state shall obligate 100 percent (100%) of its total EMPG Program allocation amount to the designated state-level EMA. If the SAA is also the EMA, this requirement is automatically met. If the SAA is a separate agency, or has a separate budget processes, then EMPG funds must be obligated to the EMA within 15 days of the grant award date. In instances where the state EMA is making sub-awards to local jurisdictions, FEMA expects the state EMA to make these awards as expeditiously as possible.

Administrative and National Policy Requirements

Successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions, which are available online at: <http://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions>.

Before accepting the award the authorized official should carefully read the award package. The award package contains instructions on administering the grant award, as well as terms and conditions with which the recipient must comply. Recipients must accept all the conditions in this NOFO as well as all Terms and Conditions in the Notice of Award to receive an award under this program.

Reporting

Recipients are required to submit various financial and programmatic reports as a condition of their award acceptance. Future awards and fund drawdowns may be withheld if these reports are delinquent.

Federal Financial Reporting Requirements

Federal Financial Report (FFR)

Recipients must report obligations and expenditures on a quarterly basis through the FFR (SF-425) to FEMA. Recipients must file the FFR electronically using the Payment and Reporting System (PARS). An FFR must be submitted quarterly throughout the period of performance, including partial calendar quarters, as well as for periods where no grant award activity occurs. The final FFR is due 90 days after the end date of the performance period. Future awards and fund drawdowns may be withheld if these reports are delinquent, demonstrate lack of progress, or are insufficient in detail. Recipients may review the FFR Form (SF-425) at:

http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf, SF-425 OMB #00348-0061.

Financial Reporting Periods and Due Dates

The following reporting periods and due dates apply for the FFR:

Reporting Period	Report Due Date
October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30

Financial and Compliance Audit Report

For audits of fiscal years beginning on or after December 26, 2014, recipients that expend \$750,000 or more from all Federal funding sources during the fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the requirements of U.S. Government Accountability Office's (GAO) Government Auditing Standards, located at

<http://www.gao.gov/govaud/ybk01.htm>, and the requirements of Subpart F of 2 C.F.R.

Part 200, located at [http://www.ecfr.gov/cgi-bin/text-](http://www.ecfr.gov/cgi-bin/text-idx?SID=55e12eead565605b4d529d82d276105c&node=2:1.1.2.1.1.6&rgn=div6)

[idx?SID=55e12eead565605b4d529d82d276105c&node=2:1.1.2.1.1.6&rgn=div6](http://www.ecfr.gov/cgi-bin/text-idx?SID=55e12eead565605b4d529d82d276105c&node=2:1.1.2.1.1.6&rgn=div6)

For audits of fiscal years beginning prior to December 26, 2014, recipients that expend \$500,000 or more from all Federal funding sources during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with GAO's Government Auditing Standards, located at <http://www.gao.gov/govaud/ybk01.htm>, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, located at

http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2012.

Program Performance Reporting Requirements

Performance Progress Reports (SF-PPR)

Recipients are responsible for providing updated performance reports to FEMA using the [SF-PPR](#) on a quarterly basis. The Quarterly Performance Progress Reports must be based on the approved EMPG Program Work Plan and are due no later than 30 days after the end of the quarter (i.e., on January 30, April 30, July 30, and October 30). Recipients must complete the cover page of the [SF-PPR \(OMB Control Number: 0970-0334\)](#) and submit it as an attachment to the ND Grants system.

Recipients are required to report quarterly on progress towards completing activities and projects approved in their EMPG Program Work Plans, how expenditures support maintenance and sustainment of current Goal core capabilities, and progress made towards implementing the National Preparedness System. This includes reporting on the following information:

- List of completed training courses and exercises and the Training and Exercise Data Table (templates are available in Appendix C – FY 2015 EMPG Program Work Plan).

- Percent completion of the Training and Exercise Plan (TEP) outlined in the FY 2015 EMPG Program Work Plan (templates are available in Appendix C – FY 2015 EMPG Program Work Plan).

Programmatic Reporting Periods and Due Dates

The following reporting periods and due dates apply for the PPR:

Reporting Period	Report Due Date
October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30

Standardized Reporting through the EMPG Program Work Plan Template

The EMPG Program Work Plan Template has been modified to standardize data collection for improved analysis and reporting. The EMPG Program Work Plan includes five components: (1) Program and Budget Narrative, (2) Personnel Data Table, (3) Training Data Table, (4) Exercise Data Table, and (5) Grant Activities Outline. Baseline data on Personnel, Training, and Exercise as well as the Grant Activities Outline must be provided in the EMPG Program Work Plan at the time of application and will form the basis of the Quarterly Performance Progress Report (SF-PPR) submissions. The Grant Activities Outline is structured to enable reporting of quarterly activities according to Emergency Management Function (EMF) projects, as well as standardized reporting of activity completion status.

The EMPG Program Work Plan must summarize program activities in the following areas:

- **Planning:** Planning efforts should span all five Goal mission areas. The EMPG Program Work Plan should provide a baseline for determining potential threats and hazards, required capabilities, required resources, and establish a framework for roles and responsibilities. Planning efforts should demonstrate the engagement of the whole community in the development of a strategic, operational, and/or community-based approach to preparedness.
- **Organization:** EMPG Program funds may be used for all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management, including hazard mitigation staffing of the State Hazard Mitigation Officer (SHMO) position, and staffing Community Emergency Response Team (CERT) and Citizen Corps positions at the state and local levels in order to promote whole community engagement in all phases of emergency management and across the mission areas.
- **Equipment:** Allowable equipment categories for the EMPG Program are listed on the web-based version of the Authorized Equipment List (AEL) available at <http://www.fema.gov/preparedness-non-disaster-grants> or <http://www.fema.gov/grants>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or FEMA-adopted standards to be eligible for purchase

using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

- **Training:** EMPG Program funds may be used for a range of emergency management-related training activities to enhance the capabilities of State and local emergency management personnel through the establishment, support, conduct, and attendance of training. Training activities should align to a current, Multi-Year Training and Exercise Plan (TEP) developed through an annual Training and Exercise Plan Workshop (TEPW).
- **Exercises:** Exercises conducted with grant funds should test and evaluate performance towards meeting capability targets, established through the development of a jurisdiction's THIRA for the core capabilities needed to address their greatest risks. Exercise priorities should align to a current, Multi-Year TEP developed through an annual TEPW.

For more details on the EMPG Program Work Plan, please refer to Appendix C-FY 2015 EMPG Program Work Plan.

Threat and Hazard Identification and Risk Assessment (THIRA)

Recipients must update their THIRA by December 31 annually. Further details on the THIRA as it relates to EMPG Program requirements can be found in Appendix A – FY 2015 EMPG Program Priorities. For additional guidance on THIRA, please refer to Comprehensive Preparedness Guide (CPG) 201, Second Edition, available at <https://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>

State Preparedness Report (SPR) Submittal

Section 652(c) of the *Post-Katrina Emergency Management Reform Act of 2006* (Pub. L. No. 109-295), 6 U.S.C. §752(c), requires any state that receives Federal preparedness assistance to submit an SPR (OMB Control Number: 1660-0131) to FEMA. States submitted their most recent SPRs in December 2014, thus satisfying this requirement to receive funding under the FY 2015 EMPG Program.

Emergency Operations Plan (EOP)

Recipients must update their EOP at least once every two years to comply with Comprehensive Preparedness Guide (CPG) 101 v.2, *Developing and Maintaining Emergency Operations Plans*. Recipients will use the SPR to communicate their compliance with this reporting requirement.

Biannual Strategy Implementation Reports (BSIR)

In addition to the Quarterly Performance Progress Reports, recipients are responsible for completing and submitting BSIR reports. The BSIR is due within 30 days of the end of the reporting period (July 30 for the reporting period of January 1 through June 30 (the summer BSIR); and January 30 for the reporting period of July 1 through December 31. Updated obligations and expenditure information must be provided within the BSIR to show progress made toward meeting strategic goals and objectives as well as how expenditures support Planning, Organization, Equipment, Training and Exercise

(POETE) activities. Accordingly, expenditures should support gaps identified in the recipient's THIRA and SPRs.

FY 2015 Unified Reporting Tool (URT)

The URT is FEMA's collection mechanism for THIRA/SPR and other related preparedness information. The FY 2015 SPR includes questions related to NIMS adoption and implementation, and CPG 101 v 2.0 compliance. Information on the URT, to include when recipients will receive the tool and how to use the tool, will be sent to recipients in summer 2015.

Closeout

FEMA will close out the grant award when it determines that all applicable administrative actions and all required work of the EMPG award have been completed by the recipient. This section summarizes the actions that the recipient must take to complete the closeout process in accordance with 2 C.F.R. § 200.343 at the end of the grant's period of performance or the expiration of an approved extension via Grant Adjustment Notice (GAN) issued to close out the grant.

Within 90 days of the end of the period of performance, or after expiration of a close out extension via GAN, recipients must submit a final FFR and final performance progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance, as well as all the following documentation:

- 1) Final request for payment, if applicable;
- 2) SF-425 –Final Federal Financial Report;
- 3) SF-PPR – Final Performance Progress Report to include final Activity Outline Report from Work Plan;
- 4) A qualitative summary of the impact of accomplishments throughout the entire period of performance. Summary is submitted to the respective Regional Program Manager in a Word document;
- 5) [SF-428 – Tangible Personal Property Report](#) – Inventory of all tangible personal property acquired using funds from this award; and
- 6) Other documents required by program guidance or terms and conditions of the award.

If applicable, an inventory of all construction projects that used funds from this program has to be reported using the Real Property Status Report (Standard Form SF 429) available at http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-429.pdf.

Additionally, the recipient must liquidate all obligations incurred under the EMPG award no later than 90 calendar days after the end date of the period of performance or expiration of a GAN that closes out the award, whichever comes first. Recipients who do not liquidate their obligations within this time period may have the costs of their unliquidated obligations disallowed. Recipients are also responsible for promptly

returning to FEMA the balance of any funds that have been drawn down, but remain unliquidated.

After final reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds the recipient has not drawn down that will be deobligated, and address requirements for record retention, and disposition and reporting requirements for any equipment or real property purchased using EMPG grant funding.

In addition, any EMPG recipient that issues subgrants to any subrecipients is responsible for closing out those subgrants as described in 2 C.F.R. § 200.343. EMPG recipients must ensure that they complete the closeout of their subgrants in time to submit all necessary documentation and information to FEMA during the closeout of their own grant award.

G. DHS Awarding Agency Contact Information

Contact and Resource Information

Centralized Services and Information Desk (CSID)

The Centralized Services Information Desk (CSID) is a non-emergency comprehensive management and information resource developed by DHS for grants stakeholders. CSID provides general information on all FEMA grant programs and maintains a comprehensive database containing key personnel contact information at the Federal, state, and local levels. When necessary, recipients will be directed to a Federal point of contact who can answer specific programmatic questions or concerns. CSID can be reached by phone at (800) 368-6498 or by e-mail at ASKCSid@fema.gov, Monday through Friday, 8:00 a.m. – 5:30 p.m. EST.

GPD Grant Operations Division

GPD's Grant Operations Division Business Office provides support regarding financial matters and technical assistance. Additional guidance and information can be obtained by contacting the FEMA Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov.

FEMA Regions

FEMA Regions manage, administer, and conduct the application budget review, create the award package, approve, amend, and close out awards, as well as conduct cash analysis, financial and programmatic monitoring, and audit resolution for the EMPG Program. The Regions also provide technical assistance to EMPG Program awardees.

Systems Information

Grants.gov. For technical assistance with Grants.gov, please call the Grants.gov customer support hotline at (800) 518-4726.

Non Disaster (ND) Grants. For technical assistance with the ND Grants system, please contact ndgrants@fema.gov or (800) 865-4076.

GPD Environmental Planning and Historic Preservation (GPD-EHP)

The FEMA GPD-EHP Team provides guidance and information about the EHP review process to recipients and subrecipients. All inquiries and communications about GPD projects or the EHP review process, including the submittal of EHP review materials, should be sent to gpdehpinfo@fema.gov. EHP Technical Assistance, including the EHP Screening Form, can be found at http://www.fema.gov/media-library-data/20130726-1806-25045-2839/gpd_ehp_screening_form_omb_1660_0115_june_2011.pdf.

Telephone Device for the Deaf (TDD)

The Telephone Device for the Deaf (TDD) and/or Federal Information Relay Service (FIRS) number available for this announcement is: (800) 462-7585.

Hard copies of the NOFO

Hard copies of the NOFO can be downloaded from the common electronic “storefront” Grants.gov.

H. Additional Information**Extensions**

Extensions to this program are allowed.

Extensions to the initial period of performance identified in the award will be limited and considered only through formal, written requests to the recipient’s respective Regional Program Manager and must contain specific and compelling justifications as to why an extension is required. States are advised to coordinate with the Regional Program Manager as needed, when preparing an extension request. All extension requests must address the following:

- 1) Grant Program, Fiscal Year, and award number;
- 2) Reason for delay – this must include details of the legal, policy, or operational challenges being experienced that prevent the final outlay of awarded funds by the applicable deadline;
- 3) Current status of the activity/activities;
- 4) Approved period of performance termination date and new project completion date;
- 5) Amount of funds drawn down to date;
- 6) Remaining available funds, both Federal and cost match;
- 7) Budget outlining how remaining Federal and non-Federal funds will be expended;
- 8) Plan for completion including milestones and timeframes for achieving each milestone and the position/person responsible for implementing the plan for completion; and
- 9) Certification that the activity/activities will be completed within the extended period of performance without any modification to the original EMPG Work Plan approved by FEMA.

Awardees must submit all extension requests to DHS/FEMA for review and approval no later than 120 days prior to the end of the period of performance.

In accordance with GPD policy, extensions are typically granted for no more than a six month time period. Extension requests will be granted only due to compelling legal, policy, or operational challenges.

National Preparedness

DHS coordinates with local, state, territorial, and tribal, governments as well as with other Federal agencies and private and nonprofit organizations to facilitate an all-of-nation/whole community, risk driven, and capabilities-based approach to preparedness. This approach is grounded in the identification and assessment of risk through the THIRA. States must maintain and update their THIRAs and their SPRs annually to ensure that the community's shared understanding of risk evolves to account for changes in the risk landscape, including successful mitigation efforts, emerging threats, hazards, and associated consequences. Information on the National Preparedness System can be found in the <http://www.fema.gov/national-preparedness-system> (released Nov 2011), which is posted on the FEMA website. Additional details regarding the National Preparedness System and how it is supported by the EMPG Program can be found in Appendix A – *FY 2015 EMPG Program Priorities*.

Payment

FEMA utilizes the FEMA [Payment and Reporting System \(PARS\)](#) for financial reporting, invoicing and tracking payments.

DHS/FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to recipients. To enroll in the DD/EFT, the recipients must complete a Standard Form 1199A, Direct Deposit Form.

Monitoring

EMPG recipients will be monitored programmatically and financially biannually and as needed by FEMA staff to ensure that the activities and project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

Monitoring may be accomplished through either a desk-based review or on-site monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each Federal assistance award and will identify areas where technical assistance, corrective actions and other support that may be needed.

Conflict of Interest

To eliminate and reduce the impact of conflicts of interest in the subaward process, recipients and pass-through entities must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making subawards. Recipients and pass-through entities also are required to follow any applicable state, local, or tribal statutes or regulations governing conflicts of interest in the making of subawards.

The recipient or pass-through entity must disclose to FEMA, 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 that may arise during the administration of the federal award. Recipients and pass-through entities must disclose any real or potential conflicts to their Regional Program Manager within five days of learning of the conflict of interest. Similarly, subrecipients must disclose any real or potential conflict of interest to the pass-through entity as required by the Recipient's conflict of interest policies, or any applicable state, local, or tribal statutes or regulations.

Conflicts of interest may arise during the process of FEMA making a Federal award in situations where an employee, officer, or agent, any members of his or her immediate family, his or her partner has a close personal relationship, a business relationship, or a professional relationship, with an applicant, subapplicant, recipient, subrecipient, or FEMA employee.

FY 2015 EMPG Program Allocations

Emergency Management Performance Grant (EMPG) awards are based on Section 662 of the *Post-Katrina Emergency Management Reform Act of 2006*, as amended, (6 U.S.C. § 762). All 50 states, the District of Columbia, and Puerto Rico receive a base amount of 0.75 percent of the total available funding appropriated for the EMPG program. Four territories (American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) receive a base amount of 0.25 percent of the total available funding appropriated for the EMPG program. The balance of the funds appropriated for the EMPG Program funds are distributed on a population-share basis. Pursuant to Article X of the Federal Programs and Services Agreement of the *Compact of Free Association Act* (Pub. L. No. 108-188), a set amount of funds (\$100,000 total) are also available from the Disaster Relief Fund for the Federated States of Micronesia and for the Republic of the Marshall Islands.

FY 2015 Emergency Management Performance Grant (EMPG) Program Funding Allocations			
State/Territory	Allocation	State/Territory	Allocation
Alabama	\$5,780,028	New Hampshire	\$3,488,231
Alaska	\$3,104,321	New Jersey	\$8,440,219
Arizona	\$7,004,535	New Mexico	\$3,981,883
Arkansas	\$4,554,934	New York	\$15,471,989
California	\$27,870,091	North Carolina	\$9,094,590
Colorado	\$6,109,552	North Dakota	\$3,106,110
Connecticut	\$4,965,015	Ohio	\$10,168,217
Delaware	\$3,233,715	Oklahoma	\$5,148,078
District of Columbia	\$3,053,679	Oregon	\$5,208,056
Florida	\$15,567,673	Pennsylvania	\$10,944,419
Georgia	\$9,194,379	Rhode Island	\$3,311,501
Hawaii	\$3,548,573	South Carolina	\$5,769,036
Idaho	\$3,688,390	South Dakota	\$3,180,080
Illinois	\$11,005,166	Tennessee	\$6,886,039
Indiana	\$6,916,945	Texas	\$20,163,325
Iowa	\$4,646,511	Utah	\$4,539,666
Kansas	\$4,514,370	Vermont	\$3,032,644
Kentucky	\$5,496,416	Virginia	\$8,042,123
Louisiana	\$5,650,101	Washington	\$7,219,265
Maine	\$3,490,362	West Virginia	\$3,828,831
Maryland	\$6,513,279	Wisconsin	\$6,370,898
Massachusetts	\$7,013,594	Wyoming	\$3,005,053
Michigan	\$9,072,413	Puerto Rico	\$4,933,604
Minnesota	\$6,175,463	U.S. Virgin Islands	\$942,773
Mississippi	\$4,572,962	American Samoa	\$910,469
Missouri	\$6,570,000	Guam	\$979,748
Montana	\$3,290,945	Northern Mariana Islands	\$908,495
Nebraska	\$3,849,115	Republic of the Marshall Islands	\$50,000
Nevada	\$4,472,131	Federated States of Micronesia	\$50,000
Total			\$350,100,000

Appendix A - FY 2015 EMPG Program Priorities

Alignment of the EMPG Program to the National Preparedness System

The Nation utilizes the National Preparedness System to build, sustain, and deliver core capabilities in order to achieve the National Preparedness Goal (the Goal) of “a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.” The objective of the National Preparedness System is to facilitate an integrated, all-of-Nation, risk informed, capabilities-based approach to preparedness. The guidance, programs, processes, and systems that support each component of the National Preparedness System enable a collaborative, whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government (<http://www.fema.gov/whole-community>).

The FY 2015 EMPG Program contributes to the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities. Core capabilities are essential for the execution of critical tasks for each of the five mission areas outlined in the Goal. Delivering core capabilities requires the combined effort of the whole community, rather than the exclusive effort of any single organization or level of government. The EMPG Program’s allowable costs support efforts to build and sustain core capabilities across the Prevention, Protection, Mitigation, Response, and Recovery mission areas.

Emphasis is placed on capabilities that address the greatest risks to the security and resilience of the United States, and the greatest risks along the Nation’s borders. When applicable, funding should support deployable assets that can be utilized anywhere in the Nation through automatic assistance and mutual aid agreements, including but not limited to the Emergency Management Assistance Compact (EMAC).

The FY 2015 EMPG Program supports investments that improve the ability of jurisdictions nationwide to:

- 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.

The core capabilities contained in the Goal are highly interdependent and require the use of existing preparedness networks and activities, to improve training and exercise programs, promote innovation, and to ensure that the appropriate administrative, finance, and logistics systems are in place.

Recipients will use the components of the National Preparedness System to support building, sustaining, and delivering these core capabilities. The components of the National Preparedness System are: Identifying and Assessing Risk; Estimating Capability Requirements; Building and Sustaining Capabilities; Planning to Deliver Capabilities; Validating Capabilities; and Reviewing and Updating. For more information on each component, read the National Preparedness System description available at <http://www.fema.gov/national-preparedness-system>. Recipients are expected to use this process when using grant funds to address their capability gaps.

Reporting on the Implementation of the National Preparedness System

Identifying and Assessing Risk and Estimating Capability Requirements

In order to qualify for EMPG Program funding, all recipients shall develop and maintain a THIRA, which informs and supports an annual SPR. A THIRA provides a comprehensive approach for identifying and assessing risks and associated impacts. It expands on existing local, tribal, territorial, and state Hazard Identification and Risk Assessments (HIRAs) and other risk methodologies by broadening the factors considered in the process, incorporating the whole community throughout the entire process, and by accounting for important community-specific characteristics. A guide on how to complete a THIRA is available at <https://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>. In Step Four of the THIRA process, a jurisdiction should estimate the resources required to deliver the capability targets established in their THIRAs. Communities express resource requirements as a list of resources needed to successfully manage their threats and hazards. Through the capability estimation process, jurisdictions should identify the resources from across the whole community needed to meet capability targets. Each jurisdiction should decide which combination of resources is most appropriate to achieve its capability targets.

The SPR is an annual self-assessment of state preparedness submitted by the 56 states and territories to the FEMA. The Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA) requires an SPR from any state or territory receiving federal preparedness assistance administered by the Department of Homeland Security.

Reporting:

- States are required to submit an annual update to their THIRA. States will submit their THIRA update along with their SPR through the URT and email a copy of the URT to their respective FEMA Regional Federal Preparedness Coordinator and copy fema-spr@fema.dhs.gov. THIRA submissions shall be in alignment with CPG 201, Second Edition. State submissions of the THIRA and SPR are due no later than December 31 annually.

Building and Sustaining Core Capabilities

EMPG Program recipients should ensure that grant funding is utilized to sustain critical core capabilities within the National Preparedness System that were funded by past EMPG Program funding cycles. New capabilities should not be built at the expense of maintaining current and critically needed core capabilities. If new core capabilities are being built utilizing EMPG Program funding, recipients must ensure that the capabilities are deployable outside of their

community, where applicable, to support regional and national efforts or otherwise shareable with regional partners and aligned with a capability target identified in the THIRA or a capability gap identified through the SPR.

Reporting:

- Recipients will be required to: (1) describe how expenditures support maintenance and sustainment of current Goal core capabilities, and (2) describe how expenditures support a capability target identified in the THIRA or a gap identified in the SPR and report these within the quarterly performance progress reports.

NIMS Implementation

Recipients receiving EMPG funding are required to implement the NIMS, and EMPG funds may be used to meet the requirements described below. The NIMS uses a systematic approach to integrate the best existing processes and methods into a unified national framework for incident management. Incident management refers to how incidents are managed across all homeland security activities, including prevention, protection, and response, mitigation, and recovery. FY 2015 EMPG recipients must use standardized resource management concepts for resource typing, credentialing, and an inventory to facilitate the effective identification, dispatch, deployment, tracking, and recovery of resources.

Reporting

- Recipients report on NIMS implementation through the SPR.

Planning to Deliver Capabilities

All EMPG Program recipients shall maintain, or revise as necessary, jurisdiction-wide, all threats and hazards EOPs consistent with the CPG 101 v.2, which serves as the foundation for state, local, tribal, and territory emergency planning. CPG 101 v.2 can be found at <https://www.fema.gov/media-library/assets/documents/25975>. Recipients must update their EOP at least once every two years.

In building future EOPs, planners should anticipate the increasing complexity and decreasing predictability of the future operating environment. These efforts should actively use strategic foresight, including the multiple driving forces of change and the associated evolving strategic needs shown in FEMA's *Crisis Response and Disaster Resilience 2030 Report*. The Report can be found at <http://www.fema.gov/strategic-planning-analysis-spa-division/strategic-foresight-initiative>.

Reporting:

- Recipients will report EOP compliance with CPG 101 v2 in the SPR.

Validating Capabilities

Recipients should develop long-term training and exercise priorities that examine, validate and/or address capability targets identified through their annual THIRA and or capability gaps identified through their annual SPR. Recipients should also review and consider areas for improvement identified from real-world events and exercises, and national areas for

improvement identified in the most recent National Preparedness Report when developing exercise priorities.

The Training and Exercise Program (TEP) should consider the risks and capability requirements described in the THIRA along with the guidance provided by elected and appointed officials to identify and set training and exercise program priorities and develop a multi-year schedule of exercise events and supporting training activities to meet those priorities. A TEP that is developed from a Training and Exercise Planning Workshop (TEPW) provides a roadmap to accomplish the multi-year priorities identified by elected and appointed officials and whole community stakeholders. These priorities help curriculum and exercise planners design and develop a progressive program of training and exercises that build, sustain, and increase the ability to deliver core capabilities. Information related to TEPs and TEPWs can be found on the Homeland Security Exercise and Evaluation Program (HSEEP) website at <https://www.fema.gov/exercise>.

In addition to training activities aligned to and addressed in the TEP, all EMPG Program funded personnel shall complete the following training requirements and record proof of completion: NIMS Training, Independent Study (IS) 100, IS 200, IS 700, and IS 800, and other Independent Study courses identified in FEMA Professional Development Series. Previous versions of the IS courses meet the NIMS training requirement. A complete list of Independent Study Program Courses may be found at <http://training.fema.gov/is>.

All recipients will develop and maintain a progressive exercise program, consistent to the degree practical, with the Homeland Security Exercise and Evaluation Program (HSEEP) in support of the National Exercise Program (NEP). The NEP is critical to our Nation's ability to test and validate core capabilities. To this end, grantees are highly encouraged to nominate exercises into the NEP. For additional information on the NEP, please refer to <http://www.fema.gov/national-exercise-program>.

Recipients shall conduct no less than four quarterly exercises (i.e., one EMPG funded exercise and/or an exercise that includes EMPG funded personnel per quarter) of any type (i.e., discussion-based or operations-based) and one full-scale exercise within a 12-month period. The five exercises shall be linked to common program priorities and reflect a series of increasingly complex exercises with each building upon the previous one while incorporating prior lessons learned. All EMPG funded personnel shall participate in no fewer than three exercises in a 12-month period.

A progressive, multi-year exercise program enables organizations to participate in a series of increasingly complex exercises, with each successive exercise building upon the previous one while also taking into account prior lessons learned. Regardless of the exercise type, each exercise within the progressive series is linked to a set of common program priorities and designed to test associated capabilities.

Reporting:

- Recipients are required to develop a multi-year TEP that identifies a combination of exercises and associated training requirements that address priorities identified in the

TEPW. The TEP shall be submitted to hseep@fema.dhs.gov no later than June 1 annually. States are encouraged to post their training and exercise schedules to the National Exercise Scheduling System (NEXS) at <https://www.fema.gov/exercise>.

- List of completed training courses and exercises and the Training and Exercise Data Table to be included in the Quarterly Performance Progress Report.
- Percent completion of the TEP outlined in the FY 2015 EMPG Program Work Plan to be included in the Quarterly Performance Progress Report.
- In order to report on the required exercises, recipients can either submit one After Action Report/Improvement Plan (AAR/IP) for the culminating full-scale exercise from all 5 exercises conducted within a 12-month period; or individual AAR/IPs for each of the 5 exercises to hseep@fema.dhs.gov, and the appropriate Regional EMPG Program Manager no later than 90 days after completion of the exercise. In accordance with HSEEP guidance recipients are reminded of the importance of implementing corrective actions iteratively throughout the progressive exercise cycle. Recipients are encouraged to use the HSEEP AAR/IP template located at <https://www.fema.gov/exercise> and utilize the Corrective Action Program (CAP) System at <https://hseep.dhs.gov/caps/>, as a means to track the implementation of corrective actions listed in the AAR/IP.

If a state/territory/local jurisdiction has experienced a major disaster, and would like to request exemptions for a scheduled exercise, the recipient should send this request to its assigned FEMA Regional Program Manager through the Quarterly Performance Progress Report. Exemptions will be reviewed on a case-by-case basis by the Regional Program Manager.

Reviewing and Updating

On a recurring basis, capability levels, resources, and plans should be reviewed to determine if they remain relevant or need to be updated. This review should be based on a current risk assessment and utilize information gathered during the capability validation process. These reviews will provide a means to determine priorities, direct preparedness actions, and calibrate goals and objectives.

Additional considerations

Strengthening Governance Integration

DHS/FEMA preparedness grant programs are intended to support the core capabilities across the five mission areas of Prevention, Protection, Mitigation, Response, and Recovery that are necessary to prepare for incidents that pose the greatest risk to the Nation's security. Each program reflects the Department's intent to build and sustain an integrated network of national capabilities across all levels of government and the whole community. Disparate governance structures must be integrated and refined to ensure resources are targeted to support the most critical needs of a community based on risk driven, capabilities-based planning. Strong and inclusive governance systems better ensure that disparate funding streams are coordinated and applied for maximum impact.

DHS/FEMA requires that all governance processes that guide the allocation of preparedness grant funds adhere to the following guiding principles:

- *Coordination of Investments* – resources must be allocated to address the most critical capability needs as identified in their SPR and coordinated among affected preparedness stakeholders.
- *Transparency* – stakeholders must be provided visibility on how preparedness grant funds are allocated and distributed, and for what purpose.
- *Substantive Local Involvement* – the tools and processes that are used to inform the critical priorities, which DHS/FEMA grants support must include local government representatives. At the state and regional levels, local risk assessments must be included in the overarching analysis to ensure that all threats and hazards are accounted for.
- *Flexibility with Accountability* – recognition of unique preparedness gaps at the local level, as well as maintaining and sustaining existing capabilities.
- *Support of Regional Coordination* – recognition of inter/intra-state partnerships and dependencies at the state and regional levels, and within metropolitan areas.

Appendix B – FY 2015 EMPG Funding Guidelines

Allowable Costs

Management and Administration (M&A)

M&A activities are those defined as directly relating to the management and administration of EMPG Program funds, such as financial management and monitoring. It should be noted that salaries of state and local emergency managers are not typically categorized as M&A, unless the state or local EMA chooses to assign personnel to specific M&A activities.

If the SAA is not the EMA, the SAA is not eligible to retain funds for M&A. M&A costs are allowable for both state and local-level EMAs. The state EMA may use up to five percent (5%) of the EMPG award for M&A purposes. In addition, local EMAs may retain and use up to five percent (5%) of the amount received from the state for local M&A purposes.

Indirect Costs

Indirect costs are allowable under this program as described in 2 C.F.R. § 200.414. With the exception of recipients who have never received a negotiated indirect cost rate as described in 2 C.F.R. § 200.414(f), recipients must have an approved indirect cost rate agreement with their cognizant Federal agency to charge indirect costs to this award. A copy of the approved rate (a fully executed, agreement negotiated with the applicant's cognizant Federal agency) is required at the time of application, and must be provided to FEMA before indirect costs are charged to the award.

Planning

Planning spans all five National Preparedness Goal (the Goal) mission areas and provides a baseline for determining potential threats and hazards, required capabilities, required resources, and establishes a framework for roles and responsibilities. Planning provides a methodical way to engage the whole community in the development of a strategic, operational, and/or community-based approach to preparedness.

EMPG Program funds may be used to develop or enhance emergency management planning activities. Some examples include:

- Development of THIRA and SPR
- Development of an all-hazards mitigation plan based on identified risks and hazards

Emergency Management/Operation Plans

- Maintaining a current EOP that is aligned with guidelines set out in CPG 101v.2
<https://www.fema.gov/media-library/assets/documents/25975>
- Modifying existing incident management and emergency operations plans
- Developing/enhancing large-scale and catastrophic event incident plans

Communications Plans

- Developing and updating Statewide Communication Interoperability Plans

- Developing and updating Tactical Interoperability Communications Plans

Continuity/Administrative Plans

- Developing/enhancing Continuity of Operation (COOP)/Continuity of Government (COG) plans
- Developing/enhancing financial and administrative procedures for use before, during, and after disaster events in support of a comprehensive emergency management program

All-of-Nation/Whole Community Engagement/Planning

- Developing/enhancing emergency operations plans to integrate citizen/volunteer and other non-governmental organization resources and participation
- Engaging the whole community in public education and awareness activities
- Planning to foster public-private sector partnerships, including innovation for disasters initiatives that support the mission areas identified in the Goal
- Executing an America's PrepareAthon! activity to engage the whole community in a hazard-specific activity on the National Day of Action
- Establishing a Citizen Corps Council that brings together representatives of the whole community to provide input on emergency operations plans, risk assessments, mitigation plans, alert and warning systems, and other plans; assist in outreach and education of community members in preparedness activities; and build volunteer capability to support disaster response and recovery
- Delivering the CERT Basic Training Course and supplemental training for CERT members who have completed the basic training, the CERT Train-the-Trainer Course, and the CERT Program Manager course (strongly encouraged)
- Developing or enhancing mutual aid agreements/compacts, including required membership in EMAC

Resource Management Planning

- Developing/enhancing logistics and resource management plans
- Developing/enhancing volunteer and/or donations management plans
- Acquiring critical emergency supplies such as: shelf stable food products, water, and/or basic medical supplies. Acquisition of critical emergency supplies requires each state to have FEMA's approval of a five-year viable inventory management plan if planned grant expenditure is over \$100,000; an effective distribution strategy; sustainment costs for such an effort

Evacuation planning

- Developing/enhancing evacuation plans, including plans for: alerts/warning, crisis communications, pre-positioning of equipment for areas potentially impacted by mass evacuations, sheltering, and re-entry.

Recovery Planning

- Disaster housing planning, such as creating/supporting a state disaster housing task force and developing/enhancing state disaster housing plans

- Pre-event response/recovery/mitigation plans in coordination with state, local, and tribal governments
- Developing/enhancing other response and recovery plans
- Developing recovery plans and preparedness programs consistent with the principles and guidance in the National Disaster Recovery Framework (NDRF) that will provide the foundation for recovery programs and whole-community partnerships. Preparedness and pre-disaster planning was given special attention within the NDRF with specific guidance: *Planning for a Successful Disaster Recovery* (pages 63-70). For more information on the NDRF see <http://www.fema.gov/pdf/recoveryframework/ndrf.pdf>.

Federal (and Mutual Aid) Emergency Response Official (F/ERO) Credentialing and Validation

- Working group meetings and conferences relating to emergency responder credentialing and validation
- Compiling data to enter into an emergency responder repository
- Coordinating with other state, local, territorial, and tribal partners to ensure interoperability among existing and planned credentialing and validation systems and equipment
- Planning to incorporate emergency responder identity and credential validation into training and exercises.

Organization

Per the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, as amended, (42 U.S.C. §§ 5121-5207), EMPG Program funds may be used for all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management, including hazard mitigation staffing of the State Hazard Mitigation Officer (SHMO) position; staffing CERT and Citizen Corps positions at the state and local levels in order to promote whole community engagement in all phases of emergency management; performing close-out activities on FEMA Disaster Assistance grants; and supporting fusion center analysts who are directly involved in all-hazards preparedness activities as defined by the Stafford Act. Proposed staffing activities should be linked to accomplishing the activities outlined in the EMPG Program Work Plan. Recipients are encouraged to fund at least one dedicated Planner, Training Officer, and Exercise Officer.

Personnel costs, including salary, overtime, compensatory time off, and associated fringe benefits, are allowable costs with EMPG Program funds. These costs must comply with 2 C.F.R. Part 200, Subpart E – Cost Principles.

Equipment

Allowable equipment categories for the EMPG Program are listed on the web-based version of the Authorized Equipment List (AEL) at <http://www.fema.gov/preparedness-non-disaster-grants> or <http://www.fema.gov/grants>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or FEMA-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

Allowable equipment includes equipment from the following AEL categories:

- Information Technology (Category 4)
- Cyber security Enhancement Equipment (Category 5)
- Interoperable Communications Equipment (Category 6)
- Detection Equipment (Category 7)
- Power Equipment (Category 10)
- Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) Reference Materials (Category 11)
- CBRNE Incident Response Vehicles (Category 12)
- Physical Security Enhancement Equipment (Category 14)
- CBRNE Logistical Support Equipment (Category 19)
- Other Authorized Equipment (Category 21)

In addition to the above, general purpose vehicles are allowed to be procured in order to carry out the responsibilities of the EMPG Program. If state agencies and/or local governments have questions concerning the eligibility of equipment not specifically addressed in the AEL, they should contact their FEMA Regional Program Manager for clarification.

Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Large equipment purchases must be identified and explained. For more information regarding property management standards for equipment, please reference 2 C.F.R. Part 200, including 2 C.F.R. §§ 200.310, 200.313, and 200.316.

Training

EMPG Program funds may be used for a range of emergency management-related training activities to enhance the capabilities of state and local emergency management personnel through the establishment, support, conduct, and attendance of training. Training activities should align to a current, Multi-Year TEP developed through an annual TEPW. Further guidance concerning the TEP and the TEPW can be found at <http://www.fema.gov/exercise>. Training should foster the development of a community oriented approach to emergency management that emphasizes engagement at the community level, strengthens best practices, and provides a path toward building sustainable resilience.

EMPG Program funds used for training should support the nationwide implementation of NIMS. The NIMS Training Program establishes a national curriculum for NIMS and provides information on NIMS courses; recipients are encouraged to place emphasis on the core competencies as defined in the NIMS Training Program. The NIMS Training Program can be found at http://www.fema.gov/pdf/emergency/nims/nims_training_program.pdf.

The NIMS *Guideline for Credentialing of Personnel* provides guidance on the national credentialing standards. The NIMS Guidelines for Credentialing can be found at http://www.fema.gov/pdf/emergency/nims/nims_cred_guidelines_report.pdf.

To ensure the professional development of the emergency management workforce, the recipients must ensure a routine capabilities assessment is accomplished and a TEP is developed and implemented.

For additional information on review and approval requirements for training courses funded with preparedness grants please refer to the following policy: http://www.fema.gov/media-library-data/1115d44e06367bb89510aafbe79c1875/FINAL_GPD+Training+Three+for+Free+Policy_09+10+13.pdf.

Additional types of training or training related activities include, but are not limited to, the following:

- Developing/enhancing systems to monitor training programs
- Conducting all hazards emergency management training
- Attending Emergency Management Institute (EMI) training or delivering EMI train-the-trainer courses
- Attending other FEMA-approved emergency management training
- State-approved, locally-sponsored CERT training
- Mass evacuation training at local, state, and tribal levels

Allowable training-related costs include the following:

- ***Funds Used to Develop, Deliver, and Evaluate Training.*** This includes costs related to administering the training: planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the training cycle. States are encouraged to use existing training rather than developing new courses. When developing new courses states are encouraged to apply the Analysis Design Development and Implementation Evaluation (ADDIE) model for instruction design.
- ***Overtime and Backfill.*** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of attendance at FEMA and/or approved training courses and programs are allowable. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or FEMA, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- ***Travel.*** Travel costs (e.g., airfare, mileage, per diem, and hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.
- ***Hiring of Full or Part-Time Staff or Contractors/Consultants.*** Full or part-time staff or contractors/consultants may be hired to support direct training-related activities. Payment

of salaries and fringe benefits must be in accordance with the policies of the state or unit(s) of local government and have the approval of the state or FEMA, whichever is applicable.

- ***Certification/Recertification of Instructors.*** Costs associated with the certification and re-certification of instructors are allowed. States are encouraged to follow the FEMA Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses which involve training of trainers.

Exercises

Allowable exercise-related costs include:

- ***Funds Used to Design, Develop, Conduct and Evaluate an Exercise.*** This includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation. Recipients are encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Exercises should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any exercise or exercise gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the exercise cycle.
- ***Hiring of Full or Part-Time Staff or Contractors/Consultants.*** Full or part-time staff may be hired to support direct exercise activities. Payment of salaries and fringe benefits must be in accordance with the policies of the state or unit(s) of local government and have the approval of the state or FEMA, whichever is applicable. The services of contractors/consultants may also be procured to support the design, development, conduct and evaluation of exercises.
- ***Overtime and Backfill.*** The entire amount of overtime costs, including payments related to backfilling personnel, which are the direct result of time spent on the design, development and conduct of exercises are allowable expenses. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the state or unit(s) of local government and has the approval of the state or FEMA, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 p.m. to 5:00 p.m.), even though such work may benefit both activities.
- ***Travel.*** Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise activities.
- ***Supplies.*** Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise activities (e.g., gloves, non-sterile masks, and disposable protective equipment).
- ***Implementation of HSEEP.*** This refers to costs related to developing and maintaining an exercise program consistent with HSEEP.
- ***Other Items.*** These costs are limited to items consumed in direct support of exercise activities such as the rental of space/locations for planning and conducting an exercise, rental of equipment, and the procurement of other essential nondurable goods. Recipients

are encouraged to use free public space/locations, whenever available, prior to the rental of space/locations. Costs associated with inclusive practices and the provision of reasonable accommodations and modifications that facilitate full access for children and adults with disabilities are allowable.

Unauthorized exercise-related costs include:

- Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles) and emergency response apparatus (e.g., fire trucks, ambulances). The only vehicle costs that are reimbursable are fuel/gasoline or mileage.
- Equipment that is purchased for permanent installation and/or use, beyond the scope of exercise conduct (e.g., electronic messaging signs)
- Durable and non-durable goods purchased for installation and/or use beyond the scope of exercise conduct

Construction and Renovation

Construction and renovation projects for a state, local, territorial, or Tribal government's principal Emergency Operations Center (EOC) as defined by the SAA are allowable under the EMPG Program.

Written approval must be provided by FEMA prior to the use of any EMPG Program funds for construction or renovation. Requests for EMPG Program funds for construction of an EOC must be accompanied by an EOC Investment Justification (FEMA Form 089-0-0-3; OMB Control Number; 1660-0124 (http://www.fema.gov/pdf/government/grant/2011/fy11_eoc_inv.pdf)) to their Regional Program Manager for review. Additionally, recipients are required to submit a SF-424C Budget and Budget detail citing the project costs.

When applying for funds to construct communication towers, recipients and subrecipients must submit evidence that the Federal Communication Commission's (FCC) Section 106 review process has been completed and submit all documentation resulting from that review to GPD prior to submitting materials for EHP review. Recipients and subrecipients are also encouraged to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects, compliance with all state and EHP laws and requirements). Projects for which the recipient believes an Environmental Assessment (EA) may be needed, as defined in 44 C.F.R. § 10.8, must also be identified to the FEMA Regional Program Manager within six months of the award and completed EHP review materials must be submitted no later than 12 months before the end of the period of performance. EHP review packets should be sent to gpdehpinfo@fema.gov.

EMPG Program recipients using funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. §§ 3141 *et seq.*). Grant recipients must ensure that their contractors or subcontractors for construction projects pay workers no less than the prevailing wages for laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the state in which the work is to be performed. Additional information regarding compliance with the *Davis-Bacon Act*, including Department of Labor (DOL) wage

determinations, is available from the following website:

<http://www.dol.gov/compliance/laws/comp-dbra.htm>.

Maintenance and Sustainment

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active grant awards, unless otherwise noted.

EMPG Program grant funds are intended to support the Goal and fund activities and projects that build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to provide recipients the ability to meet this objective, the policy set forth in GPD's IB 379 (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding) allows for the expansion of eligible maintenance and sustainment costs, which must be in: (1) direct support of existing capabilities; (2) must be an otherwise allowable expenditure under the applicable grant program; (3) be tied to one of the core capabilities in the five mission areas contained within the Goal, and (4) shareable through the EMAC. Additionally, eligible costs may also be in support of equipment, training, and critical resources that have previously been purchased with either Federal grant funding or any other source of funding other than DHS/FEMA preparedness grant program dollars. Additional guidance is provided in FEMA Policy FP 205-402-125-1, *Maintenance Contracts and Warranty Coverage Funded by Preparedness Grants*, located at: <http://www.fema.gov/media-library/assets/documents/32474>.

Unallowable Costs

- Expenditures for weapons systems and ammunition
- Costs to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities
- Activities and projects unrelated to the completion and implementation of the EMPG Program

In general, recipients should consult with their FEMA Regional Program Manager prior to making any investment that does not clearly meet the allowable expense criteria established in this Guidance.

Appendix C – FY 2015 EMPG Program Work Plan

EMPG Program Work Plan Instructions

All EMPG Program applicants are encouraged to use the templates to submit a required Work Plan that outlines the state's emergency management sustainment and enhancement efforts, including new and ongoing activities and projects, proposed for the EMPG Program period of performance. The Work Plan consists of a Program and Budget Narrative, Personnel Data Table, Training Data Table, Exercise Data Table, and Grant Activities Outline. FEMA Regional Program Managers will work closely with states to monitor Work Plans during the performance period and may request further documentation from the recipients to clarify the projected work plan. In addition, FEMA Regional Program Managers must approve final Work Plans before states may draw down EMPG Program funds. Grant funds will be released upon approval of the state's final Work Plan.

Program and Budget Narrative

Provide a brief description of the state emergency management priorities and initiatives that will be addressed with EMPG Program funds. In addition, the narrative should address the following:

- Overview of the state's risk profile resulting from the current THIRA
- Areas of need identified through assessment processes such as the State Preparedness Report, Emergency Management Accreditation Program Assessment Process, National Emergency Communications Plan Goal Assessments, or other emergency management assessment processes
- Baseline inventory of where states are now relative to goals and objectives identified in relevant strategic plans per CPG 101 v.2
- State emergency management priorities and planning focus for current budget year (including linkage to the core capabilities identified in the Goal)
- Detailed Budget Narrative justifying the requested funding for the identified Work Plan activities
- Description of how projects and programmatic activities support the building or sustainment of the core capabilities as outlined in the Goal

Personnel Data Table

To facilitate consistent data reporting and performance measures collection, a Personnel Data Table should be completed for state, local, tribal and territory (SLTT) personnel supported with EMPG Program funds. This will assist in documenting the extent to which EMPG Program funding supports personnel at the state-level. Submit this template with the EMPG Program Work Plan and a roster of EMPG-funded personnel. The roster of EMPG-funded personnel should be updated only if numbers change more than 10 percent during the award period of performance.

Personnel Data Table Template

Personnel Metrics	Data
EMPG Program funds (Federal and match) allocated towards state emergency management personnel	
EMPG Program funds (Federal and match) allocated towards non-state emergency management personnel (local, Tribal, territories)	
Total Number of state emergency management full-time equivalent (FTE) personnel (including those supported and not supported by the EMPG Program)	
Number of state emergency management full-time equivalent (FTE) personnel supported (fully or partially) by the EMPG Program	
Total Number of state, local, Tribal and territory (SLTT) emergency management personnel supported (fully or partially) by the EMPG Program	

Personnel Data Table Definitions

Line 1 – All EMPG Program funds (Fed & match) allocated for state emergency management personnel

Line 2 – All EMPG Program funds (Fed & match) allocated towards non-state emergency management personnel (Local, Tribal, Territories)

Line 3 – Total Number of state emergency management full-time equivalent (FTE) personnel (including those supported and not supported by the EMPG Program)

Line 4 – Number of state emergency management full-time equivalent (FTE) personnel supported by the EMPG Program

Line 5 – Total Number of state and local emergency management personnel funded (fully or partially) by the EMPG Program. This number provides the "Universe" number for the Training & Exercise templates.

Training Data Table

To facilitate consistent data reporting and performance measures collection, a Training Data Table should be completed for training courses that meet the EMPG reporting requirements. This template should reflect training activities outlined in the Multi-Year TEP and completion of EMPG Program training requirements. EMPG Program funded personnel should complete the listed training requirements and record proof of completion.

Training Data Table Template

Name of Training	EMPG Required Training? (Y/N)	Number of Personnel Trained	Total # of SLTT EMPG Funded Personnel	Total # of SLTT EMPG Funded Personnel that completed the Course	Training Identified in TEP (Y/N)

Training Data Table Definitions:

Col 1 – Name of Training

Col 2 – Is the course required of EMPG funded personnel?

Col 3 – # of Personnel Trained

Col 4 – Total # of SLTT EMPG Funded Personnel (Universe)

Col 5 – Total # of SLTT EMPG Funded Personnel that completed the Course

Col 6 – Is the training identified in the multi-year TEP?

Exercise Data Table

To facilitate consistent data reporting and performance measure collection, an Exercise Data Table should be completed for any exercises that meet EMPG requirements and/or exercises conducted in whole or part with EMPG funds. Recipients shall conduct no less than four quarterly exercises and one full-scale exercise within a 12-month period. The five exercises shall be linked to common program priorities and reflect a progressive exercise series of increasingly complex exercises with each building upon the previous one while incorporating prior lessons learned. The exercises should be part of the recipient's progressive exercise program and outlined in the multi-year TEP. EMPG Program funded personnel shall participate in no less than three exercises.

Exercise Data Table Template

Name/ Description of Exercise	Date Exercise Scheduled/ Completed	Type of Exercise	Program Priority Exercised	Exercise Fulfills Progressive Exercise Requirement (Y/N)	Total # of SLTT EMPG Funded Personnel	Number of SLTT EMPG Program Funded Personnel Participating in Exercise	Exercise Fulfills EMPG Exercise Participation Requirement (Y/N)	Exercise Identified in TEP (Y/N)

Exercise Data Table Definitions:

Col 1 – Name/Description of Exercise

Col 2 – Date of exercise

Col 3 – Type of exercise (e.g., seminar, workshop, tabletop, games, drills, functional, and/or full-scale)

Col 4 – Program priority associated with the exercise

Col 5 – Is the exercise part of a progressive exercise series?

Col 6 – Total # of SLTT EMPG Funded Personnel (Universe)

Col 7 – Total # of SLTT EMPG Funded Personnel Participating in Exercise

Col 8 – Does the exercise fulfill the EMPG requirement that EMPG Program funded personnel participate in no less than three exercises?

Col 9 – Is exercise identified in the multi-year TEP?

Grant Activities Outline

To facilitate performance measures and focus on outcomes, an EMPG Program Grant Activities Outline should be completed for activities supported with FY 2015 EMPG Program funds (including construction and renovation projects). The data outlined in this template will be used to evaluate the timely completion of planned emergency management activities. Recipients are encouraged to complete a separate Grant Activities Outline for each Emergency Management Function (EMF). Quarterly training activities should be reported against EMF #13, “Training,” and quarterly exercise activities should be reported against EMF #14, “Exercises, Evaluations and Corrective Actions.” Recipients should complete a template as shown on the next page and address the following areas:

- **EMF Number.** Identify how the grant activities relate to the EMFs outlined in the September 2007 version of the Emergency Management Accreditation Program (EMAP) Standard (e.g. Resource Management, Communications and Warning, etc.)
- **Name of Planned Project.** Provide a descriptive name of each planned project. Examples include “Development of Emergency Function Annexes”, “Development of Earthquake Scenario Loss Estimations”, “Implementation of Statewide Interoperability Plan”, “NIMS Training for Emergency Management Personnel”, “Development of Emergency Preparedness Plan for Individuals with Disabilities”, etc.
- **Project Objective.** Briefly explain the major objective of the project, including how the project will address gaps identified through various assessments conducted.

- **Core Capability Addressed.** Briefly describe which of the 31 core capabilities (multiple can be selected) the project addresses.
- **Performance Measure and Basis of Evaluation.** Indicate the performance measure that will be used to evaluate this project.
- **Challenges/Risks.** Identify any challenges to implementing this project or any of its activities.
- **Quarterly Activity.** Break each project down into quarterly activities. For each quarter, briefly identify the activities that will accomplish the planned project. This information will provide the foundation for the second component of the Quarterly Performance Progress Report.
- **Step.** Provide the status of planned quarterly activities.
- **Comments.** Briefly describe the reason for the project status and provide other comments as needed. Include the number of training sessions funded and the number of personnel trained in this section.

Grant Activities Outline - Template

Name of Planned Project:			
Project Objective:			
Core Capabilities Addressed:			
Performance Measure and Basis of Evaluation:			
Challenges/Risks:			
1 st Quarter Activity (10/1/14-12/31/14)	Planned Activities:	Step:	Comments:
2 nd Quarter Activity (1/1/15-3/31/15)	Planned Activities:	Step:	Comments:
3 rd Quarter Activity (4/1/15-6/30/15)	Planned Activities:	Step:	Comments:
4 th Quarter Activity (7/1/15-9/30/15)	Planned Activities:	Step:	Comments:
5 th Quarter Activity (10/1/15-12/31/15)	Planned Activities:	Step:	Comments:
6 th Quarter Activity (1/1/16-3/31/16)	Planned Activities:	Step:	Comments:
7 th Quarter Activity (4/1/16-6/30/16)	Planned Activities:	Step:	Comments:
8 th Quarter Activity (7/1/16-9/30/16)	Planned Activities:	Step:	Comments:

Project Management Lifecycle

Steps	Description	Process
Initiate	The authorization to begin work or resume work on any particular activity	Involves preparing for, assembling resources and getting work started. May apply to any level, e.g. program, project, phase, activity, task.
Plan	The purposes of establishing, at an early date, the parameters of the project that is going to be worked on as well as to try to delineate any specifics and/or any peculiarities to the project as a whole and/or any specific phases of the project.	Involves working out and extending the theoretical, practical, and/or useful application of an idea, concept, or preliminary design. This also involves a plan for moving a project concept to a viable project.
Execute	The period within the project lifecycle during which the actual work of creating the project's deliverables is carried out.	Involves directing, accomplishing, managing, and completing all phases and aspects of work for a given project.
Control	A mechanism which reacts to the current project status in order to ensure accomplishment of project objectives. This involves planning, measuring, monitoring, and taking corrective action based on the results of the monitoring.	Involves exercising corrective action as necessary to yield a required outcome consequent upon monitoring performance. Or, the process of comparing actual performance with planned performance, analyzing variances, evaluating possible alternatives, and taking appropriate correct action as needed.
Close Out	The completion of all work on a project. Can also refer to completion of a phase of the project.	Involves formally terminating and concluding all tasks, activities, and component parts of a particular project, or phase of a project

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

PROJECT DESCRIPTIONS

Alterations to this document may result in delayed application approval, modification requests, or reimbursement requests. Subrecipients may be asked to revise and/or re-submit any altered Financial Management Forms Workbook.

CFDA #

EMPG 97.042

Project	NPG Mission Area	NPG Core Capabilities	Cal OES Goals	Project Description	Match Description	Need	Project Milestone & Justifications
Project A	Response	Planning	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	This project will fund salaries & benefits (S&B) for personnel assigned to Operational Area Plan Revisions and community outreach. They will review and update the Orange County Operational Area Emergency Operations Plan, and supporting Annexes including Aviation Accident, Rail Accident, Dam and Reservoir Failure with support of key partner agencies.	The County will budget matching General Funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	Review and Revisions to the Orange County Operational Area Emergency Operations Plan and Annexes need to include updates to <ul style="list-style-type: none"> National Incident Management System, National Response Framework, National Preparedness Goals, Comprehensive Preparedness Guide (CPG) 101 changes and enhancements, Inclusion for the whole community as well as people with disabilities, access and functional needs.	At the 6 month mark, this project will be 50% complete and \$81,000 funds will be expended. At the 12 month mark, this project will be 100% complete and \$162,000 funds will be expended. At the 15 month mark, this project will be _% complete and N/A funds will be expended.
Project B	Response	Planning	Goal 5: Develop a united and innovative workforce that is trained, experienced, knowledgeable, and ready to adapt and respond	This project will fund S&B for personnel assigned to design, conduct and evaluate Orange County Operational Area Exercises. This project addresses the continuum of exercise activities including, but not limited to the: <ul style="list-style-type: none"> Maintenance and submittal of the OA Multi-year Training and Exercise Program (TEP); Engaging the whole community in Operational Area exercises; HSEEP utilization; and Compliance with Department of Homeland Security (DHS) requirements for Emergency Management Performance Grant (EMPG) funded personnel 	The County will budget matching General Funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	OA jurisdictions and partner agencies need to evaluate and improve preparedness planning, training, and equipment. <ul style="list-style-type: none"> Exercises allow participating jurisdictions to test plans and procedures to identify and document areas for correction and improvement. EMPG funded personnel, including contracted, Management and Administrative personnel, must participate in three exercises as described in state and federal guidance. 	At the 6 month mark, this project will be 50% complete and \$15,000 funds will be expended. At the 12 month mark, this project will be 100% complete and \$30,000 funds will be expended. At the 15 month mark, this project will be _% complete and N/A funds will be expended.

Project	NPG Mission Area	NPG Core Capabilities	Cal OES Goals	Project Description	Match Description	Need	Project Milestone & Justifications
Project C	Response	Planning	Goal 5: Develop a united and innovative workforce that is trained, experienced, knowledgeable, and ready to adapt and respond	<p>This project will fund S&B for personnel assigned to design, conduct, and evaluate Orange County Operational Area Training.</p> <p>This project is designed to:</p> <ul style="list-style-type: none"> - Ensure all EMPG-funded personnel have completed the eleven training requirements and record proof of completion. - Host and provide trainings for emergency management staff and operational area members - Encourage professional development through federal and state training and educational programs; - Provide training to County and OA members in Standardized Emergency Management System (SEMS)/National Incident Management System (NIMS), and EOC/IMT position-specific training. 	The County will budget matching General Funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	<p>This project will increase training opportunities</p> <ul style="list-style-type: none"> - By planning and implementing regularly-scheduled and accessible training, information sharing and professional evaluation. - To ensure a baseline training and competency for emergency management personnel. - Meet DHS requirements that EMPG funded personnel complete the training requirements described in the EMPG guidance. 	<p>At the 6 month mark, this project will be 50% complete and \$37,500 funds will be expended.</p> <p>At the 12 month mark, this project will be 100% complete and \$75,000 funds will be expended.</p> <p>At the 15 month mark, this project will be _% complete and N/A funds will be expended.</p>
Project D	Response	Operational Coordination	Goal 6: Strengthen capabilities in public safety communication services and technology enhancements	<p>This project will fund supplies and equipment that support information technology integration:</p> <ul style="list-style-type: none"> - Laptops for the Emergency Management Division EOC staff for remote access to EOC systems - WebEOC: Providing technical assistance, plan and strategy support and development, including user handbook enhancements, implementing and populating Resource Manager. - Web portal: publishing state and federal notices and guidelines; posting meetings (OC Emergency Management Organization, Executive Board and sub-committees); posting and promoting online discussion for plans, strategies and after action reports. 	The County will budget matching General Funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	<p>Three specific projects needing such support are:</p> <p>Laptops are needed for EMD staff (separate from existing Department funded desktops) to remotely access EOC systems during field response and if/when an alternate EOC is needed.</p> <p>WebEOC:</p> <ul style="list-style-type: none"> - Ongoing training is needed for the OA as enhancements are implemented. - Planning among key OA partners is essential for regional disaster planning and continuity of operations. <p>The OA website portal needs to be continually upgraded and updated to provide timely access to accurate regional information.</p>	<p>At the 6 month mark, this project will be 50% complete and \$21,000 funds will be expended.</p> <p>At the 12 month mark, this project will be 100% complete and \$54,000 funds will be expended.</p> <p>At the 15 month mark, this project will be _% complete and N/A funds will be expended.</p>

Project	NPG Mission Area	NPG Core Capabilities	Cal OES Goals	Project Description	Match Description	Need	Project Milestone & Justifications
Project E	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Orange County Operational Area Day to Day Operations This project supports S&B and supplies for the day-to-day operations in support of emergency management for all-hazards emergency management operations.	The County will budget matching General Funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	The Orange County Operational Area needs to support the day-to-day costs of operating the County Emergency Management Division. Costs include those in direct support of emergency management program, including but not limited to telecommunications and office supplies.	At the 6 month mark, this project will be 50% complete and \$9,289 funds will be expended. At the 12 month mark, this project will be 100% complete and \$18,578 funds will be expended. At the 15 month mark, this project will be _% complete and N/A funds will be expended.
Project F	Response	Operational Coordination	Goal 4: Enhance the administration and delivery of all state and federal funding, and maintain fiscal and program integrity	The Orange County Operational Area will retain 5% of the grant funds for management and administration costs associated with the EMPG award.	The County will budget matching General Funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	The Orange County Operational Area needs personnel and supplies associated with the management and administration of the EMPG award.	At the 6 month mark, this project will be 50% complete and \$19,431 funds will be expended. At the 12 month mark, this project will be 100% complete and \$38,862 funds will be expended. At the 15 month mark, this project will be _% complete and N/A funds will be expended.
Project G	Response	Operational Coordination	Goal 4: Enhance the administration and delivery of all state and federal funding, and maintain fiscal and program integrity	Indirect Costs	The County will budget matching General Funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	The Orange County Operational Area needs indirect costs to support those support services, equipment, and buildings which support the activities of this award.	At the 6 month mark, this project will be 50% complete and \$18,459 funds will be expended. At the 12 month mark, this project will be 100% complete and \$36,919 funds will be expended. At the 15 month mark, this project will be _% complete and N/A funds will be expended.
Project H	Prevention	Planning	Goal 3: Effectively respond to and recover from both human-caused and natural disasters	Pass-through: City of Aliso Viejo This project funds the Emergency Management Coordinator S&B. The Emergency Management Coordinator will update City's EOP, maintain the City's EOC, attend OCEMO meetings, and other normal emergency management activities.	The City use General Funds to match dollar-for-dollar allowable, actual emergency management program costs.	The City's Emergency Operations Plan dates back to 2006 and is outdated. The plan needs to be updated. The City also needs to maintain the City's EOC, attend regional coordination meetings, and and other normal emergency management activities.	At the 6 month mark, this project will be 100% complete and \$7,462 funds will be expended. At the 12 month mark, this project will be 100% complete and \$7,462 funds will be expended. At the 15 month mark, this project will be _% complete and N/A funds will be expended.

Project	NPG Mission Area	NPG Core Capabilities	Cal OES Goals	Project Description	Match Description	Need	Project Milestone & Justifications
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	<p>Pass-through: City of Anaheim</p> <p>Equipment: Emergency Management and Preparedness (EMP) plans to improve the audio-visual system in the EOC classroom and EOC main room.</p> <p>Exercise: Funds will support conducting tabletop exercises and functional exercises with the CERT and RACES volunteer group.</p> <p>Training: EMP staff will attend CESA and IAEM courses. The EMP team will host ICS 300/400 classes and CERT training.</p>	<p>The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.</p>	<p>The City of Anaheim EOC needs an upgrade of audio-visual system components.</p> <p>The City of Anaheim also needs to train emergency management staff, responders, and volunteers and will conduct an exercise for its CERT and RACES volunteer groups.</p>	<p>At the 6 month mark, this project will be 50% complete and \$26,026 funds will be expended.</p> <p>At the 12 month mark, this project will be 100% complete and \$52,053 funds will be expended.</p> <p>At the 15 month mark, this project will be _% complete and N/A funds will be expended.</p>
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	<p>Pass-through: City of Buena Park</p> <p>This project provides S&B necessary support to day-to-day operations in emergency management to meet local, state and federal requirements.</p>	<p>The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.</p>	<p>Pass-through funding is needed to support day-to-day emergency management activities at the City.</p>	<p>At the 6 month mark, this project will be 25% complete and \$3,008 funds will be expended.</p> <p>At the 12 month mark, this project will be 100% complete and \$12,302 funds will be expended.</p> <p>At the 15 month mark, this project will be _% complete and N/A funds will be expended.</p>
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	<p>Pass-through: City of Costa Mesa</p> <p>Planning: Funds will be used to review and revise plans and annexes as needed. Funds will also be used to support community outreach activities.</p> <p>Training: Funds will support Costa Mesa participation in the American Red Cross Disaster Preparedness Academy.</p> <p>Equipment: Equipment purchased with these funds will enhance EOC technology.</p>	<p>The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.</p>	<p>The City of Costa Mesa needs to conduct planning activities for emergency management. The City also needs to enhance/upgrade the city EOC by purchasing technology solutions.</p>	<p>At the 6 month mark, this project will be 25% complete and \$4,177 funds will be expended.</p> <p>At the 12 month mark, this project will be 100% complete and \$16,710 funds will be expended.</p> <p>At the 15 month mark, this project will be _% complete and N/A funds will be expended.</p>
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	<p>Pass-through: City of Fountain Valley</p> <p>This project will support S&B for day-to-day operations of emergency management in the City of Fountain Valley.</p>	<p>The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.</p>	<p>Pass-through funding is needed to support day-to-day emergency management activities at the City.</p>	<p>At the 6 month mark, this project will be 25% complete and \$2,117 funds will be expended.</p> <p>At the 12 month mark, this project will be 100% complete and \$8,471 funds will be expended.</p> <p>At the 15 month mark, this project will be _% complete and N/A funds will be expended.</p>

Project	NPG Mission Area	NPG Core Capabilities	Cal OES Goals	Project Description	Match Description	Need	Project Milestone & Justifications
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Fullerton This project will support S&B for day-to-day emergency management activities and provide ICS training to City personnel.	The City will meet the match requirement with city general funds to match allowable, actual emergency management program costs.	With the high turnover of city personnel and the amount of promotions within the past few years, we have a large need to provide ICS training on all levels.	At the 6 month mark, this project will be 25% complete and \$5,234 funds will be expended. At the 12 month mark, this project will be 100% complete and \$20,937 funds will be expended. At the 15 month mark, this project will be ___% complete and N/A funds will be expended.
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Garden Grove This project will support S&B for day-to-day emergency management operations coordination.	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	Pass-through funding is needed to support day-to-day emergency management activities at the City.	At the 6 month mark, this project will be 25% complete and \$6,497 funds will be expended. At the 12 month mark, this project will be 100% complete and \$25,990 funds will be expended. At the 15 month mark, this project will be ___% complete and N/A funds will be expended.
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Huntington Beach Funding will support: - S&B that directly impact the oversight, management, implementation, and recordkeeping of all emergency management related issues, training, exercises, and EOC activations, and ensuring all emergency plans are up to date. - 2015 California Emergency Services Association (CESA) Training and Conference - Radio Amateur Civil Emergency Services (RACES) safety vests and uniforms - EOC Status Boards - Information Technology: - EzeCaster Pro: Multi-Bitrate HD Live Streaming Video Encoder - tablets for alternate EOC	The City will budget general funds for Emergency Services Coordinator Salary to provide a dollar-for-dollar match.	The City needs: - S&B to support Citizen Corps programs and emergency preparedness education - CESA attendance for a unique training on the inclusion of climate change in Hazard Mitigation Planning. - RACES volunteer uniforms to ensure the safety and appearance - Status boards for both the designated and alternate EOC's. - Hardware to encode Amateur TV video to allow public safety to view these video feeds from any computer with access to the internal intranet. - Tablets for an alternate EOC	At the 6 month mark, this project will be 50% complete and \$14,644 funds will be expended. At the 15 month mark, this project will be ___% complete and N/A funds will be expended.
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Laguna Beach This project will fund information technology and communications equipment for the City Emergency Operations Center.	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	The City needs the equipment to better support its Emergency Operations Center activities.	At the 0 month mark, this project will be 25% complete and \$0 funds will be expended. At the 12 month mark, this project will be 100% complete and \$3,469 funds will be expended. At the 15 month mark, this project will be ___% complete and N/A funds will be expended.
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Laguna Hills This project will support equipment for the day-to-day operations of emergency management at the City of Laguna Hills.	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	Pass-through funding is needed to support day-to-day emergency management activities at the City.	At the 6 month mark, this project will be 25% complete and \$1,152 funds will be expended. At the 12 month mark, this project will be 100% complete and \$4,609 funds will be expended. At the 15 month mark, this project will be ___% complete and N/A funds will be expended.

Project	NPG Mission Area	NPG Core Capabilities	Cal OES Goals	Project Description	Match Description	Need	Project Milestone & Justifications
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Laguna Niguel This project will support equipment for day-to-day operations of emergency management at the City of Laguna Niguel.	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	Pass-through funding is needed to support day-to-day emergency management activities at the City.	At the 6 month mark, this project will be 25% complete and \$2,407 funds will be expended. At the 12 month mark, this project will be 100% complete and \$9,630 funds will be expended. At the 15 month mark, this project will be ___% complete and N/A funds will be expended.
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of La Habra This project will fund a contractor to sustain day-to-day emergency management operations within the City.	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	Pass-through funding is needed to support day-to-day emergency management activities at the City.	At the 6 month mark, this project will be 25% complete and \$2,305 funds will be expended. At the 12 month mark, this project will be 100% complete and \$9,220 funds will be expended. At the 15 month mark, this project will be ___% complete and N/A funds will be expended.
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of La Palma This project supports the purchase of Emergency Operations Center technology.	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	A new video display is needed for the City Emergency Operations Center.	At the 6 month mark, this project will be 0% complete and \$2,374 funds will be expended. At the 12 month mark, this project will be 100% complete and \$2,374 funds will be expended. At the 15 month mark, this project will be ___% complete and N/A funds will be expended.
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Mission Viejo This project will provide organization support for emergency management efforts conducted by the Emergency Services Manager	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	Pass-through funding is needed to support day-to-day emergency management activities at the City.	At the 6 month mark, this project will be 25% complete and \$3,560 funds will be expended. At the 12 month mark, this project will be 100% complete and \$14,243 funds will be expended. At the 15 month mark, this project will be ___% complete and N/A funds will be expended.
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Newport Beach This project will support equipment for the Emergency Operations Center.	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	The Emergency Operations Center is in need of updated equipment in order to improve response capabilities.	At the 6 month mark, this project will be 25% complete and \$3,245 funds will be expended. At the 12 month mark, this project will be 100% complete and \$12,980 funds will be expended. At the 15 month mark, this project will be ___% complete and N/A funds will be expended.
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Orange This project will support S&B for day-to-day emergency management operations.	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	Pass-through funding is needed to support day-to-day emergency management activities at the City.	At the 6 month mark, this project will be 25% complete and \$5,202 funds will be expended. At the 12 month mark, this project will be 100% complete and \$20,809 funds will be expended. At the 15 month mark, this project will be ___% complete and N/A funds will be expended.

Project	NPG Mission Area	NPG Core Capabilities	Cal OES Goals	Project Description	Match Description	Need	Project Milestone & Justifications
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Placentia This project will support equipment for emergency management including command boards and triage kits, solar generators, and EOC monitors.	The City will budget matching city general funds (cash) spent on the emergency manager's salary on a dollar-for-dollar basis	The City Emergency Operations Center is in need of this equipment to respond to emergencies which might impact the facility's power, as well as to enhance audio-visual capabilities.	At the 6 month mark, this project will be 25% complete and \$1,945 funds will be expended. At the 12 month mark, this project will be 100% complete and \$7,782 funds will be expended. At the 15 month mark, this project will be _% complete and N/A funds will be expended.
Project H	Prevention	Planning	Goal 3: Effectively respond to and recover from both human-caused and natural disasters	Pass-through: City of Rancho Santa Margarita This project funds the Emergency Management Coordinator S&B. The Emergency Management Coordinator will update City's EOP, maintain the City's EOC, attend OCEMO meetings, and other normal emergency management activities.	The City will spend General Funds to match dollar-for-dollar allowable, actual emergency management program costs.	The City's Emergency Operations Plan dates back to 2002 and is outdated. The plan needs to be updated. The City also needs to maintain the City's EOC, attend regional coordination meetings, and other normal emergency management activities.	At the 6 month mark, this project will be 100% complete and \$7,295 funds will be expended. At the 12 month mark, this project will be 100% complete and 7,295 funds will be expended. At the 15 month mark, this project will be _% complete and N/A funds will be expended.
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of San Juan Capistrano This project will support training section chiefs for the Emergency Operations Center	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	Recent turnover of several department heads has left the City with few trained EOC section chiefs, Training is needed in EOC operations.	At the 6 month mark, this project will be 25% complete and \$1,340 funds will be expended. At the 12 month mark, this project will be 100% complete and \$5,363 funds will be expended. At the 15 month mark, this project will be _% complete and N/A funds will be expended.
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Santa Ana This project will support S&B for day-to-day emergency management activities within the City.	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	Pass-through funding is needed to support day-to-day emergency management activities at the City.	At the 6 month mark, this project will be 25% complete and \$12,416 funds will be expended. At the 12 month mark, this project will be 100% complete and \$49,665 funds will be expended. At the 15 month mark, this project will be _% complete and N/A funds will be expended.
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Stanton This funding will support planning (plans and community outreach) and training all full-time City staff in the following courses: SEMS-NIMS, EOC Position training (6 total), EOC Management courses (G775 & G191), then organize and complete a TTX and FE for all staff.	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	Because of the recent turnover in and promotion of personnel, the City needs to review its current plan for updates, conduct community outreach and staff training on the plan, and then exercise the plan.	At the 6 month mark, this project will be 25% complete and \$1,455 funds will be expended. At the 12 month mark, this project will be 100% complete and \$5,821 funds will be expended. At the 15 month mark, this project will be _% complete and N/A funds will be expended.

Project	NPG Mission Area	NPG Core Capabilities	Cal OES Goals	Project Description	Match Description	Need	Project Milestone & Justifications
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Tustin This project will support Emergency Operations Center acquisition of additional laptop units.	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	This equipment is needed by the City to ensure response capabilities at the Emergency Operations Center.	At the 6 month mark, this project will be 25% complete and \$2,926 funds will be expended. At the 12 month mark, this project will be 100% complete and \$11,707 funds will be expended. At the 15 month mark, this project will be _% complete and N/A funds will be
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Westminster This project will fund Emergency Operations Center Information technology equipment.	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	This information technology equipment is needed by the City to ensure response capabilities at the Emergency Operations Center (EOC).	At the 6 month mark, this project will be 25% complete and \$3,423 funds will be expended. At the 12 month mark, this project will be 100% complete and \$13,692 funds will be expended. At the 15 month mark, this project will be _% complete and N/A funds will be
Project H	Response	Operational Coordination	Goal 2: Strengthen California's ability to plan, prepare for, and provide resources to mitigate the impacts of disasters, emergencies, crimes, and terrorist events	Pass-through: City of Yorba Linda This project will fund emergency management staffing to conduct all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management.	The City will budget matching city general funds (cash) on a dollar-for-dollar basis to match allowable, actual emergency management program costs.	This staffing is needed for the City to be able to conduct all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management.	At the 6 month mark, this project will be 25% complete and \$2,504 funds will be expended. At the 12 month mark, this project will be 100% complete and \$10,019 funds will be expended. At the 15 month mark, this project will be _% complete and N/A funds will be expended.

PROJECT LEDGER

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CFDA # EMPG 97.042

County of Orange

059-00000
2015-0049

LEDGER TYPE: Initial Application
Today's Date: October 1, 2015

Project	Direct/Subaward	Project Name	Funding Source	Discipline	Solution Area	Solution Area Sub-Category	Total Obligated	Amount Approved Previous	Amount This Request	Match Amount	Total Approved	Remaining Balance	Percentage Expended
							777,250	-	-	777,250	-	777,250	
A	Direct	Operational Area: Operational Area Plan Revisions	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems	112,000			112,000		112,000	
A	Direct	Operational Area: Operational Area Plan Revisions	EMPG	EMG	Planning	Community Outreach	50,000			50,000		50,000	
B	Direct	Operational Area: Exercises	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems	30,000			30,000		30,000	
C	Direct	Operational Area: Training	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems	55,000			55,000		55,000	
C	Direct	Operational Area: Training	EMPG	EMG	Training	Staff Expenses	20,000			20,000		20,000	
D	Direct	Operational Area: Information Technology	EMPG	EMG	Organization	Day to day activities/operations that support emergency management	42,000			42,000		42,000	
D	Direct	Operational Area: Information Technology	EMPG	EMG	Equipment	Information Technology	12,000			12,000		12,000	
E	Direct	Operational Area: Day-to-Day Operations	EMPG	EMG	Organization	Staffing	14,000			14,000		14,000	
E	Direct	Operational Area: Day-to-Day Operations	EMPG	EMG	Organization	Day to day activities/operations that support emergency management	4,578			4,578		4,578	
F	Direct	Operational Area: Management & Administration	EMPG	EMG	M&A	Grant Admin	38,862			38,862		38,862	
G	Direct	Operational Area: Indirect Costs (County)	EMPG	EMG	Indirect Cost	Facilities & Administration	36,919			36,919		36,919	
H	Subaward	Aliso Viejo	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems	2,629			2,629		2,629	
H	Subaward	Aliso Viejo	EMPG	EMG	Organization	Staffing	4,833			4,833		4,833	
H	Subaward	Anaheim	EMPG	EMG	Equipment	Information Technology	20,000			20,000		20,000	
H	Subaward	Anaheim	EMPG	EMG	Exercise	Design/Develop	20,053			20,053		20,053	
H	Subaward	Anaheim	EMPG	EMG	Training	Staff Expenses	8,000			8,000		8,000	
H	Subaward	Anaheim	EMPG	EMG	Training	Course Delivery and Evaluation	4,000			4,000		4,000	
H	Subaward	Buena Park	EMPG	EMG	Organization	Staffing	12,302			12,302		12,302	

Project	Direct/Subaward	Project Name	Funding Source	Discipline	Solution Area	Solution Area Sub-Category	Total Obligated	Amount Approved Previous	Amount This Request	Match Amount	Total Approved	Remaining Balance	Percentage Expended
H	Subaward	Costa Mesa	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems	1,510			1,510		1,510	
H	Subaward	Costa Mesa	EMPG	EMG	Training	Staff Expenses	200			200		200	
H	Subaward	Costa Mesa	EMPG	EMG	Planning	Community Outreach	1,000			1,000		1,000	
H	Subaward	Costa Mesa	EMPG	EMG	Equipment	Information Technology	14,000			14,000		14,000	
H	Subaward	Fountain Valley	EMPG	EMG	Organization	Staffing	8,471			8,471		8,471	
H	Subaward	Fullerton	EMPG	EMG	Organization	Staffing	19,737			19,737		19,737	
H	Subaward	Fullerton	EMPG	EMG	Training	Course Delivery and Evaluation	1,200			1,200		1,200	
H	Subaward	Garden Grove	EMPG	EMG	Organization	Staffing	25,990			25,990		25,990	
H	Subaward	Huntington Beach	EMPG	EMG	Organization	Staffing	18,449			18,449		18,449	
H	Subaward	Huntington Beach	EMPG	EMG	Training	Staff Expenses	2,390			2,390		2,390	
H	Subaward	Huntington Beach	EMPG	EMG	Equipment	Other Authorized Equipment	5,626			5,626		5,626	
H	Subaward	Huntington Beach	EMPG	EMG	Equipment	Information Technology	2,823			2,823		2,823	
H	Subaward	Laguna Beach	EMPG	EMG	Equipment	Information Technology	1,000			1,000		1,000	
H	Subaward	Laguna Beach	EMPG	EMG	Equipment	Interoperable Communications Equipment	2,469			2,469		2,469	
H	Subaward	Laguna Hills	EMPG	EMG	Equipment	Interoperable Communications Equipment	4,609			4,609		4,609	
H	Subaward	Laguna Niguel	EMPG	EMG	Equipment	Interoperable Communications Equipment	9,630			9,630		9,630	
H	Subaward	La Habra	EMPG	EMG	Organization	Day to day activities/operations that support emergency management	9,220			9,220		9,220	
H	Subaward	La Palma	EMPG	EMG	Equipment	Information Technology	2,374			2,374		2,374	
H	Subaward	Mission Viejo	EMPG	EMG	Organization	Staffing	12,243			12,243		12,243	
H	Subaward	Mission Viejo	EMPG	EMG	Organization	Day to day activities/operations that support emergency management	2,000			2,000		2,000	
H	Subaward	Newport Beach	EMPG	EMG	Equipment	Other Authorized Equipment	12,980			12,980		12,980	
H	Subaward	Orange	EMPG	EMG	Organization	Staffing	20,809			20,809		20,809	
H	Subaward	Placentia	EMPG	EMG	Equipment	Information Technology	2,634			2,634		2,634	
H	Subaward	Placentia	EMPG	EMG	Equipment	Power	4,000			4,000		4,000	
H	Subaward	Placentia	EMPG	EMG	Equipment	Other Authorized Equipment	1,148			1,148		1,148	
H	Subaward	Rancho Santa Margarita	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems	2,629			2,629		2,629	
H	Subaward	Rancho Santa Margarita	EMPG	EMG	Organization	Staffing	4,666			4,666		4,666	
H	Subaward	San Juan Capistrano	EMPG	EMG	Training	Course Delivery and Evaluation	5,363			5,363		5,363	
H	Subaward	Santa Ana	EMPG	EMG	Organization	Staffing	49,665			49,665		49,665	
H	Subaward	Stanton	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems	1,000			1,000		1,000	

Project	Direct/Subaward	Project Name	Funding Source	Discipline	Solution Area	Solution Area Sub-Category	Total Obligated	Amount Approved Previous	Amount This Request	Match Amount	Total Approved	Remaining Balance	Percentage Expended
H	Subaward	Stanton	EMPG	EMG	Planning	Community Outreach	500			500		500	
H	Subaward	Stanton	EMPG	EMG	Exercise	Design/Develop	3,321			3,321		3,321	
H	Subaward	Stanton	EMPG	EMG	Exercise	Supplies/Materials/Production Costs	1,000			1,000		1,000	
H	Subaward	Tustin	EMPG	EMG	Equipment	Information Technology	11,707			11,707		11,707	
H	Subaward	Westminster	EMPG	EMG	Equipment	Information Technology	13,692			13,692		13,692	
H	Subaward	Yorba Linda	EMPG	EMG	Organization	Staffing	10,019			10,019		10,019	

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

PLANNING

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CFDA # EMPG 97.042

LEDGER TYPE: Initial Application
 Today's Date: October 1, 2015

County of Orange
 059-00000
 2015-0049

Project	Direct/Subaward	Planning Activity	Funding Source	Discipline	Solution Area Sub-Category	Expenditure Category	Final Product	Hold Trigger	Approval Date	Part of a Procurement over 150k	Sole Source Involved	Budgeted Cost	Amount Approved Previous	Approval: Cal OES ONLY	Date & Initials (Prog. REP.):	Total Approved	Remaining Balance
												256,268	-	-		-	256,268
A	Direct	Operational Area: Update OA-level plans and annexes through working and executive group meetings	EMPG	EMG	Develop and Enhance Plans, Protocols and Systems	Staff Salaries	Orange County Operational Area Dam & Reservoir Annex; Rail Emergency Response Annex; Tsunami Annex	No hold indicated	Not applicable	No	No	112,000					112,000
A	Direct	Operational Area: Establish volunteer and donations management working groups representing local jurisdictions, non-profits, and businesses in order to develop written plans and protocols	EMPG	EMG	Community Outreach	Staff Salaries	Volunteer and Donations Management Annex; ReadyOC/AlertOC public outreach brochures and materials	No hold indicated	Not applicable	No	No	50,000					50,000
B	Direct	Operational Area: Through the Exercise Sub-Committee and annual workshop, develop and update the Multi-Year Training and Exercise Plan; develop, deliver, and participate in exercises	EMPG	EMG	Develop and Enhance Plans, Protocols and Systems	Staff Salaries	Revised multi-year training and exercise plan; updated exercise scenarios for inclusion in section-specific EOC training	No hold indicated	Not applicable	No	No	30,000					30,000
C	Direct	Operational Area: Through the Exercise Sub-Committee and annual workshop, develop and update the Multi-Year Training and Exercise Plan; develop, deliver, and participate in training	EMPG	EMG	Develop and Enhance Plans, Protocols and Systems	Staff Salaries	Revised multi-year training and exercise plan; updated section-specific EOC training	No hold indicated	Not applicable	No	No	55,000					55,000
H	Subaward	Aliso Viejo: Update Emergency Operations Plan	EMPG	EMG	Develop and Enhance Plans, Protocols and Systems	Staff Salaries	Updated City of Aliso Viejo EOP	No hold indicated	Not applicable	No	No	2,629					2,629
H	Subaward	Costa Mesa: Develop and Enhance Plans, Protocols, and Systems	EMPG	EMG	Develop and Enhance Plans, Protocols and Systems	Staff Salaries	Costa Mesa Emergency Operations Plans and Hazard Annexes	No hold indicated	Not applicable	No	No	1,510					1,510
H	Subaward	Costa Mesa: Community Outreach	EMPG	EMG	Community Outreach	Materials	Community Outreach	No hold indicated	Not applicable	No	No	1,000					1,000
H	Subaward	Rancho Santa Margarita: Update Emergency Operations Plan	EMPG	EMG	Develop and Enhance Plans, Protocols and Systems	Staff Salaries	Updated City of Rancho Santa Margarita EOP	No hold indicated	Not applicable	No	No	2,629					2,629
H	Subaward	Stanton: Develop and enhance City EOC plans	EMPG	EMG	Develop and Enhance Plans, Protocols and Systems	Staff Salaries	City of Stanton Emergency Operations Plan	No hold indicated	Not applicable	No	No	1,000					1,000
H	Subaward	Stanton: Conduct community outreach activities	EMPG	EMG	Community Outreach	Staff Salaries	Community Outreach	No hold indicated	Not applicable	No	No	500					500

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

ORGANIZATION

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CFDA # EMPG 97.042

Initial Application	Initial Application
Today's Date:	October 1, 2015

County of Orange

059-00000

2015-0049

Approval: Cal OES ONLY	Date & Initials (Prog. REP.):		
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Project	Direct/Subaward	Organization	Funding Source	Discipline	Solution Area Sub-Category	Expenditure Category	Detail	Budgeted Cost	Amount Approved Previous	Amount This Request	REIMB Request #	Total Approved	Remaining Balance
								258,982	-	-		-	258,982
D	Direct	Operational Area	EMPG	EMG	Day to day activities/operations that support emergency management	Supplies	N/A	42,000					42,000
E	Direct	Operational Area	EMPG	EMG	Staffing	Staff Salaries	Staffing	14,000					14,000
E	Direct	Operational Area	EMPG	EMG	Day to day activities/operations that support emergency management	Supplies	N/A	4,578					4,578
H	Subaward	City of Aliso Viejo	EMPG	EMG	Staffing	Staff Salaries	Staffing	4,833					4,833
H	Subaward	City of Buena Park	EMPG	EMG	Staffing	Staff Salaries	Staffing	12,302					12,302
H	Subaward	City of Fountain Valley	EMPG	EMG	Staffing	Staff Salaries	Staffing	8,471					8,471
H	Subaward	City of Fullerton	EMPG	EMG	Staffing	Staff Salaries	Staffing	19,737					19,737
H	Subaward	City of Garden Grove	EMPG	EMG	Staffing	Staff Salaries	Staffing	25,990					25,990
H	Subaward	City of Huntington Beach	EMPG	EMG	Staffing	Staff Salaries	Staffing	16,000					16,000
H	Subaward	City of Huntington Beach	EMPG	EMG	Staffing	Staff Salaries	Overtime	2,449					2,449
H	Subaward	City of La Habra	EMPG	EMG	Day to day activities/operations that support emergency management	Consultant/Contractor Fee	Staffing	9,220					9,220
H	Subaward	City of Mission Viejo	EMPG	EMG	Staffing	Staff Salaries	Staffing	12,243					12,243

Project	Direct/Subaward	Organization	Funding Source	Discipline	Solution Area Sub-Category	Expenditure Category	Detail	Budgeted Cost	Amount Approved Previous	Amount This Request	REIMB Request #	Total Approved	Remaining Balance
H	Subaward	City of Mission Viejo	EMPG	EMG	Day to day activities/operations that support emergency management	Supplies	N/A	2,000					2,000
H	Subaward	City of Orange	EMPG	EMG	Staffing	Staff Salaries	Staffing	20,809					20,809
H	Subaward	City of Rancho Santa Margarita	EMPG	EMG	Staffing	Staff Salaries	Staffing	4,666					4,666
H	Subaward	City of Santa Ana	EMPG	EMG	Staffing	Staff Salaries	Staffing	49,665					49,665
H	Subaward	City of Yorba Linda	EMPG	EMG	Staffing	Staff Salaries	Staffing	10,019					10,019

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

EQUIPMENT

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County of Orange
 059-00000
 2015-0049

Project	Equipment Description & (Quantity)	AEL#	AEL Title	SAFECOM compliance	Funding Source	Discipline	Solution Area Sub-Category	Invoice Number	Vendor	ID Tag Number	Condition & Disposition	Deployed Location	Acquired Date	Part of a Procurement over 150k	Sole Source Involved	Hold Trigger	Approval Date	Budgeted Cost	Amount Approved Previous	Amount This Request	REIMB Request #	Total Approved	Remaining Balance
																		120,692	-	-	-	-	120,692
D	Operational Area: Laptops & accessories (15)	04HW-01-INHW	Hardware, Computer, Integrated	N/A	EMPG	EMG	Information Technology	TBD	TBD	TBD		County EOC	TBD	No	No	No hold indicated	Not applicable	12,000					12,000
H	Anaheim: (5) Projectors for EOC Main Room and Classroom	04MD-02-PROJ	Projector, Video	N/A	EMPG	EMG	Information Technology	TBD	TBD	TBD		City of Anaheim	TBD	No	No	EHP	Pending	5,000					5,000
H	Anaheim: (1) 55 inch TV for EOC Classroom	04MD-03-DISP	Display, Video	N/A	EMPG	EMG	Information Technology	TBD	TBD	TBD		City of Anaheim	TBD	No	No	EHP	Pending	1,300					1,300
H	Anaheim: (1) AV and Surround Sound Equipment for EOC	21GN-00-OCEQ	Equipment and Supplies, Information/Emergency Operations/Fusion Centers	N/A	EMPG	EMG	Information Technology	TBD	TBD	TBD		City of Anaheim	TBD	No	No	EHP	Pending	13,700					13,700
H	Costa Mesa: (1) Digital Blackboard	04MD-03-DISP	Display, Video	N/A	EMPG	EMG	Information Technology	TBD	TBD	TBD		City of Costa Mesa	TBD	No	No	EHP	Pending	10,000					10,000
H	Costa Mesa: (1) LCD for Emergency Operations Center	04MD-03-DISP	Display, Video	N/A	EMPG	EMG	Information Technology	TBD	TBD	TBD		City of Costa Mesa	TBD	No	No	EHP	Pending	4,000					4,000
H	Huntington Beach: 2 tablets for use in the EOC and alternate EOC	04HW-01-HHCD	Computing Device, Handheld	N/A	EMPG	EMG	Information Technology	TBD	TBD	TBD		City of Huntington Beach	TBD	No	No	No hold indicated	Not applicable	823					823
H	Huntington Beach - 1 EzeCaster Pro: Multi-Bitrate HD Live Streaming Video Encoder	04MD-03-DISP	Display, Video	N/A	EMPG	EMG	Information Technology	TBD	TBD	TBD		City of Huntington Beach	TBD	No	No	No hold indicated	Not applicable	2,000					2,000
H	Huntington Beach - 50 RACES volunteers uniforms	21GN-00-CCEQ	Equipment, Citizen Corps	N/A	EMPG	EMG	Other Authorized Equipment	TBD	TBD	TBD		City of Huntington Beach	TBD	No	No	No hold indicated	Not applicable	2,170					2,170
H	Huntington Beach - 30 EOC Portable Status Boards	21GN-00-OCEQ	Equipment and Supplies, Emergency Operation Center and Fusion	N/A	EMPG	EMG	Other Authorized Equipment	TBD	TBD	TBD		City of Huntington Beach	TBD	No	No	No hold indicated	Not applicable	3,456					3,456
H	Laguna Beach: (1) Notebook computer for the emergency operations center	04HW-01-HHCD	Computing Device, Handheld	N/A	EMPG	EMG	Information Technology	TBD	TBD	TBD		City of Laguna Beach	TBD	No	No	No hold indicated	Not applicable	1,000					1,000
H	Laguna Beach: (5) GMRS CERT radios and (1) carrying case for CERT	06CP-01-PORT	Radio, Portable	Yes	EMPG	EMG	Interoperable Communications Equipment	TBD	TBD	TBD		City of Laguna Beach	TBD	No	No	No hold indicated	Not applicable	2,469					2,469
H	Laguna Hills: (1) handheld 800 mhz radio	06CP-01-PORT	Radio, Portable	Yes	EMPG	EMG	Interoperable Communications Equipment	TBD	TBD	TBD		City of Laguna Hills	TBD	No	No	No hold indicated	Not applicable	4,609					4,609
H	Laguna Niguel: (1) handheld 800 mhz radio	06CP-01-PORT	Radio, Portable	Yes	EMPG	EMG	Interoperable Communications Equipment	TBD	TBD	TBD		City of Laguna Niguel	TBD	No	No	No hold indicated	Not applicable	9,630					9,630
H	La Palma: (1) video display monitor, bracket, and cables	04MD-03-DISP	Display, Video	N/A	EMPG	EMG	Information Technology	TBD	TBD	TBD		City of La Palma	TBD	No	No	EHP	Pending	2,374					2,374
H	Newport Beach: (1) Emergency Operations Center audio-visual system equipment	21GN-00-OCEQ	Equipment and Supplies, Emergency Operation Center and Fusion	N/A	EMPG	EMG	Other Authorized Equipment	TBD	TBD	TBD		City of Newport Beach	TBD	No	No	EHP	Pending	12,980					12,980
H	Placentia: (2) monitors for the Emergency Operations Center	04MD-03-DISP	Display, Video	N/A	EMPG	EMG	Information Technology	TBD	TBD	TBD		City of Placentia	TBD	No	No	EHP	Pending	2,634					2,634
H	Placentia: (2) Solar generators	10BC-00-SOLR	Chargers	N/A	EMPG	EMG	Power	TBD	TBD	TBD		City of Placentia	TBD	No	No	No hold indicated	Not applicable	4,000					4,000
H	Placentia: (5) Command boards	21GN-00-OCEQ	Equipment and Supplies, Information/Emergency Operations/Fusion Centers	N/A	EMPG	EMG	Other Authorized Equipment	TBD	TBD	TBD		City of Placentia	TBD	No	No	No hold indicated	Not applicable	1,148					1,148
H	Tustin: (10) laptops or touchpad computers for the Emergency Operations Center	04HW-01-INHW	Hardware, Computer, Integrated	N/A	EMPG	EMG	Information Technology	TBD	TBD	TBD		City of Tustin	TBD	No	No	No hold indicated	Not applicable	11,707					11,707
H	Westminster: (5) Emergency Operations Center (EOC) laptops	04HW-01-INHW	Hardware, Computer, Integrated	N/A	EMPG	EMG	Information Technology	TBD	TBD	TBD		City of Westminster	TBD	No	No	No hold indicated	Not applicable	13,692					13,692

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

TRAINING

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CFDA# EMPG 97.042

LEDGER TYPE: Initial Application
 Today's Date: October 1, 2015

County of Orange

059-00000
 2015-0049

Project	Direct/Subaward	Course Name	Funding Source	Discipline	Solution Area Sub-Category	Expenditure Category	Feedback Number	Training Activity	Hold Trigger	Approval Date	Total # Trainee(s)	Identified Host	Part of a Procurement over 150k	Sole Source Involved	Budgeted Cost	Amount Approved Previous	Approval: Cal OES ONLY	Date & Initials (Prog. REP.):	REIMB Request #	Total Approved	Remaining Balance
															41,153	-	Amount This Request			-	41,153
C	Direct	County: Incident Management Team Training: Logistics Section	EMPG	EMG	Staff Expenses	Travel	16-35165	Classroom	No Hold indicated		10		No	No	5,000						5,000
C	Direct	County: Incident Management Team Training: Planning Section	EMPG	EMG	Staff Expenses	Travel	16-35166	Classroom	No Hold indicated		10		No	No	5,000						5,000
C	Direct	County: Incident Management Team Training: Liaison Officer	EMPG	EMG	Staff Expenses	Travel	16-35167	Classroom	No Hold indicated		10		No	No	5,000						5,000
C	Direct	County: Incident Management Team Training: Operations Section	EMPG	EMG	Staff Expenses	Travel	16-35168	Classroom	No Hold indicated		10		No	No	5,000						5,000
H	Subaward	City of Anaheim: California Emergency Services Association Training and Conference	EMPG	EMG	Staff Expenses	Travel	15-35069	Classroom	No Hold indicated		2		No	No	4,000						4,000
H	Subaward	City of Anaheim: International Association of Emergency Managers Annual Training Conference	EMPG	EMG	Staff Expenses	Travel	15-35067	Classroom	No Hold indicated		2		No	No	4,000						4,000
H	Subaward	City of Anaheim: ICS 300/400	EMPG	EMG	Course Delivery and Evaluation	Staff Salaries	15-35068	Classroom	No Hold indicated		3		No	No	4,000						4,000
H	Subaward	City of Costa Mesa: American Red Cross Disaster Preparedness Academy	EMPG	EMG	Staff Expenses	Tuition	15-35066	Classroom	No Hold indicated		1		No	No	200						200
H	Subaward	City of Fullerton ICS 300/400	EMPG	EMG	Course Delivery and Evaluation	Staff Salaries	15-35068	Classroom	No Hold indicated		2		No	No	1,200						1,200
H	Subaward	City of Huntington Beach: California Emergency Services Association Training and Conference	EMPG	EMG	Staff Expenses	Tuition	15-34683	Classroom	No Hold indicated		1		No	No	675						675
H	Subaward	City of Huntington Beach: California Emergency Services Association Training and Conference	EMPG	EMG	Staff Expenses	Travel	15-34683	Classroom	No Hold indicated		1		No	No	1,715						1,715
H	Subaward	City of San Juan Capistrano: ICS 300/400	EMPG	EMG	Course Delivery and Evaluation	Staff Salaries	15-35068	Classroom	No Hold indicated		10		No	No	5,363						5,363

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

EXERCISE

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CFDA # EMPG 97.042

LEDGER TYPE: Initial Application
 Today's Date: October 1, 2015

County of Orange
 059-00000
 2015-0049

																	Approval: Cal OES ONLY	Date & Initials (Prog. REP.):		
Project	Direct/Subaward	Exercise Title	Funding Source	Discipline	Solution Area Sub-Category	Expenditure Category	Hold Trigger	Approval Date	Date of Exercise	Exercise Activity	Identified Host	Date AAR e-mailed to HSEEP	Part of a Procurement over 150k	Sole Source Involved	Budgeted Cost	Amount Approved Previous	Amount This Request	REIMB Request #	Total Approved	Remaining Balance
															24,374	-	-	-	-	24,374
H	Subaward	February 2016 : CERT Tabletop exercise (Activation, Safety, Communication/Skills Review)	EMPG	EMG	Design/Develop	Staff Salaries	No Hold indicated	Not applicable	TBD	Tabletop	City of Anaheim		No	No	20,053					20,053
H	Subaward	Emergency Operations Center Tabletop Exercise	EMPG	EMG	Design/Develop	Staff Salaries	No Hold indicated	Not applicable	TBD	Tabletop	City of Stanton		No	No	1,660					1,660
H	Subaward	Emergency Operations Center Tabletop Exercise	EMPG	EMG	Supplies/Materials /Production Costs	Materials & Supply	No Hold indicated	Not applicable	TBD	Tabletop	City of Stanton		No	No	500					500
H	Subaward	Emergency Operations Center Functional Exercise	EMPG	EMG	Design/Develop	Staff Salaries	No Hold indicated	Not applicable	TBD	Functional Host	City of Stanton		No	No	1,661					1,661
H	Subaward	Emergency Operations Center Functional Exercise	EMPG	EMG	Supplies/Materials /Production Costs	Materials & Supply	No Hold indicated	Not applicable	TBD	Functional Host	City of Stanton		No	No	500					500

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

M&A

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Project	Activity	Funding Source	Discipline	Solution Area Sub-Category	Expenditure Category	Detail	Budgeted Cost	Amount Approved Previous	Approval: Cal OES ONLY Amount This Request	Date & Initials (Prog. REP.): REIMB Request #	Total Approved	Remaining Balance
							38,862	-	-		-	38,862
F	Management & Administration	EMPG	EMG	Grant Admin	Staff Salaries	Staffing	38,862					38,862

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

INDIRECT COSTS

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County of Orange

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Project	Activity	Funding Source	Solution Area Sub-Category	ICR Base	Rate	Budgeted Cost	Amount Approved Previous	Approval: Cal OES ONLY	Date & Initials (Prog. REP.):		
								Amount This Request	REIMB Request #	Total Approved	Remaining Balance
						36,919	-	-		-	36,919
G	Indirect Costs	EMPG	Facilities & Administration	10% De Minimis	10.00%	36,919					36,919

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

CONSULTANT / CONTRACTOR

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County of Orange

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Project	Consulting Firm & Consultant Name	Project & Description of Services	Deliverable	Solution Area	Solution Area Sub-Category	Expenditure Category	Period of Expenditure	Fee for Deliverable	Approval: Cal OES ONLY			REIMB Request #	Total Cost Charged to Grant
									Date & Initials (Prog. REP.):				
									Billable Hour Breakdown				
									Total Salary & Benefits charged for this Reporting Period	Hourly/Billing Rate	Total Project Hours		
								-	-	-	-	-	-
H	John Rees & Associates	Day to day activities that support emergency management	EOP maintenance, Staff training and exercises, community preparedness activates, CERT program and participation in regional meetings	Organization	Day to day activities/operations that support emergency mgnt	Consultant/Contract Fee	07/01/2015-06/30/2016						

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

PERSONNEL

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2015-0049

Project	Employee Name	Project/Deliverable	Funding Source	Discipline	Solution Area	Solution Area Sub-Category	Dates of Payroll Period	Total Salary & Benefits charged for this Reporting Period	Total Project Hours	REIMB Request #	Total Cost Charged to Grant
								-	-	-	-
C	Baldwin, Michelle	Operational Area Training	EMPG	EMG	Training	Course Delivery & Evaluation					
D	Baldwin, Michelle	Operational Area Information Technology	EMPG	EMG	Organization	Staffing					
E	Baldwin, Michelle	Day-to-day emergency management activities	EMPG	EMG	Organization	Staffing					
A	Boston, Donna	Operational Area Plan and Annex Revisions	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols & Systems					
A	Boston, Donna	Operational Area Community Outreach Programs	EMPG	EMG	Planning	Community Outreach					
B	Boston, Donna	Operational Area Exercises	EMPG	EMG	Exercise	Design/Develop					
C	Boston, Donna	Operational Area Training	EMPG	EMG	Training	Course Delivery & Evaluation					
D	Boston, Donna	Operational Area Information Technology	EMPG	EMG	Organization	Staffing					
A	Erdner, Peggy	Operational Area Plan and Annex Revisions	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols & Systems					
C	Erdner, Peggy	Operational Area Training	EMPG	EMG	Training	Course Delivery & Evaluation					
B	Federico, Brooke	Operational Area Exercises	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols & Systems					
D	Federico, Brooke	Operational Area Information Technology	EMPG	EMG	Organization	Staffing					
F	Lee, Pei	Management and administration	EMPG	EMG	M & A	Grant Admin					
A	Osborn, Vicki	Operational Area Plan and Annex Revisions	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols & Systems					
A	Osborn, Vicki	Operational Area Community Outreach Programs	EMPG	EMG	Planning	Community Outreach					
A	Zambrana, Grace	Operational Area Plan and Annex Revisions	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols & Systems					
A	Zambrana, Grace	Operational Area Community Outreach Programs	EMPG	EMG	Planning	Community Outreach					
H	Aliso Viejo: Sarah Barker	Aliso Viejo Emergency Operations Plan	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols & Systems					

Project	Employee Name	Project/Deliverable	Funding Source	Discipline	Solution Area	Solution Area Sub-Category	Dates of Payroll Period	Total Salary & Benefits charged for this Reporting Period	Total Project Hours	REIMB Request #	Total Cost Charged to Grant
H	Aliso Viejo: Sarah Barker	Day-to-day emergency management activities	EMPG	EMG	Organization	Staffing					
H	Anaheim: Goodin, Adriana	City of Anaheim: Exercise design	EMPG	EMG	Exercise	Design/Develop					
H	Anaheim: Goodin, Adriana	City of Anaheim: CESA, IAEM, ICS300/400	EMPG	EMG	Training	Course Delivery & Evaluation					
H	Buena Park: Lance Charnes	Day-to-day emergency management activities	EMPG	EMG	Organization	Staffing					
H	Costa Mesa: Terre Duensing	Costa Mesa Emergency Operations Plan and Hazard Annexes	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols & Systems					
H	Fountain Valley: Rudaitis, Michelle	Day-to-day emergency management activities	EMPG	EMG	Organization	Staffing					
H	Fullerton: Loeser, Adam	Day-to-day emergency management activities	EMPG	EMG	Organization	Staffing					
H	Fullerton: Loeser, Adam	ICS Training	EMPG	EMG	Training	Course Delivery & Evaluation					
H	Garden Grove: Medina-Whittaker, Lucia	Day-to-day emergency management activities	EMPG	EMG	Organization	Staffing					
H	Huntington Beach: Stephanie Vazquez	Conduct training - emergency preparedness education and manage day to day operations of Citizen Corps programs	EMPG	EMG	Organization	Staffing					
H	Huntington Beach: Brevyn Mettler	Conduct training - emergency preparedness education and manage day to day operations of Citizen Corps programs	EMPG	EMG	Organization	Staffing					
H	Mission Viejo: Catsimanes, Paul	Emergency management activities, meetings, EOC orientation and review, coordination with first response agencies, Conducting readiness programs, such as the Community Emergency Prep. Academy, Disaster Prep. Expo and other preparedness activities	EMPG	EMG	Organization	Staffing					
H	Orange: Velasco, Alan	Day-to-day emergency management activities	EMPG	EMG	Organization	Staffing					
H	Orange: Chastain, Brandon	Day-to-day emergency management activities	EMPG	EMG	Organization	Staffing					
H	Rancho Santa Margarita: Sarah Barker	City of Rancho Santa Margarita Emergency Operations Plan	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols & Systems					
H	Rancho Santa Margarita: Sarah Barker	Day-to-day emergency management activities	EMPG	EMG	Organization	Staffing					
H	San Juan Capistrano: TBD	Day-to-day emergency management activities	EMPG	EMG	Training	Course Delivery & Evaluation					
H	Santa Ana: Rhyner, Steve	Day-to-day emergency management activities	EMPG	EMG	Organization	Staffing					
H	Stanton: Roman, Julie	Develop and enhance City EOC plans	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems					
H	Stanton: Roman, Julie	Conduct community outreach activities	EMPG	EMG	Planning	Community Outreach					
H	Stanton: Roman, Julie	Exercise desogm amd development	EMPG	EMG	Exercise	Design/Develop					
H	Yorba Linda: TBD	Day-to-day emergency management activities	EMPG	EMG	Organization	Staffing					

CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES (Cal OES)

MATCH

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CFDA # **EMPG 97.042**

LEDGER TYPE: Initial Application
 Today's Date: **October 1, 2015**

County of Orange

059-00000
 2015-0049

												Approval: Cal OES ONLY	Date & Initials (Prog. REP.):		
Project	Direct/Subaward	Project Name	Funding Source	Discipline	Solution Area	Solution Area Sub-Category	Type of Match	Total Obligated Match	Previous Match Expended	Current Match	REIMB Request #	Total Match Expended	Remaining Balance	Percentage Expended	
								777,250	-	-	-	-	777,250		
A	Direct	Operational Area: Operational Area Plan Revisions	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems	Cash Match	112,000					112,000		
A	Direct	Operational Area: Operational Area Plan Revisions	EMPG	EMG	Planning	Community Outreach	Cash Match	50,000					50,000		
B	Direct	Operational Area: Exercises	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems	Cash Match	30,000					30,000		
C	Direct	Operational Area: Training	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems	Cash Match	55,000					55,000		
C	Direct	Operational Area: Training	EMPG	EMG	Training	Staff Expenses	Cash Match	20,000					20,000		
D	Direct	Operational Area: Information Technology	EMPG	EMG	Organization	Day to day activities/operations that support emergency management	Cash Match	42,000					42,000		
D	Direct	Operational Area: Information Technology	EMPG	EMG	Equipment	Information Technology	Cash Match	12,000					12,000		
E	Direct	Operational Area: Day-to-Day Operations	EMPG	EMG	Organization	Staffing	Cash Match	14,000					14,000		
E	Direct	Operational Area: Day-to-Day Operations	EMPG	EMG	Organization	Day to day activities/operations that support emergency management	Cash Match	4,578					4,578		

Project	Direct/Subaward	Project Name	Funding Source	Discipline	Solution Area	Solution Area Sub-Category	Type of Match	Total Obligated Match	Previous Match Expended	Current Match	REIMB Request #	Total Match Expended	Remaining Balance	Percentage Expended
F	Direct	Operational Area: Management & Administration	EMPG	EMG	M&A	Grant Admin	Cash Match	38,862					38,862	
G	Direct	Operational Area: Indirect Costs (County)	EMPG	EMG	Indirect Cost	Facilities & Administration	Cash Match	36,919					36,919	
H	Subaward	Aliso Viejo	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems	Cash Match	2,629					2,629	
H	Subaward	Aliso Viejo	EMPG	EMG	Organization	Staffing	Cash Match	4,833					4,833	
H	Subaward	Anaheim	EMPG	EMG	Equipment	Information Technology	Cash Match	20,000					20,000	
H	Subaward	Anaheim	EMPG	EMG	Exercise	Design/Develop	Cash Match	20,053					20,053	
H	Subaward	Anaheim	EMPG	EMG	Training	Staff Expenses	Cash Match	8,000					8,000	
H	Subaward	Anaheim	EMPG	EMG	Training	Course Delivery and Evaluation	Cash Match	4,000					4,000	
H	Subaward	Buena Park	EMPG	EMG	Organization	Staffing	Cash Match	12,302					12,302	
H	Subaward	Costa Mesa	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems	Cash Match	1,510					1,510	
H	Subaward	Costa Mesa	EMPG	EMG	Training	Staff Expenses	Cash Match	200					200	
H	Subaward	Costa Mesa	EMPG	EMG	Planning	Community Outreach	Cash Match	1,000					1,000	

Project	Direct/Subaward	Project Name	Funding Source	Discipline	Solution Area	Solution Area Sub-Category	Type of Match	Total Obligated Match	Previous Match Expended	Current Match	REIMB Request #	Total Match Expended	Remaining Balance	Percentage Expended
H	Subaward	Costa Mesa	EMPG	EMG	Equipment	Information Technology	Cash Match	14,000					14,000	
H	Subaward	Fountain Valley	EMPG	EMG	Organization	Staffing	Cash Match	8,471					8,471	
H	Subaward	Fullerton	EMPG	EMG	Organization	Staffing	Cash Match	19,737					19,737	
H	Subaward	Fullerton	EMPG	EMG	Training	Course Delivery and Evaluation	Cash Match	1,200					1,200	
H	Subaward	Garden Grove	EMPG	EMG	Organization	Staffing	Cash Match	25,990					25,990	
H	Subaward	Huntington Beach	EMPG	EMG	Organization	Staffing	Cash Match	18,449					18,449	
H	Subaward	Huntington Beach	EMPG	EMG	Training	Staff Expenses	Cash Match	2,390					2,390	
H	Subaward	Huntington Beach	EMPG	EMG	Equipment	Other Authorized Equipment	Cash Match	5,626					5,626	
H	Subaward	Huntington Beach	EMPG	EMG	Equipment	Information Technology	Cash Match	2,823					2,823	
H	Subaward	Laguna Beach	EMPG	EMG	Equipment	Information Technology	Cash Match	1,000					1,000	
H	Subaward	Laguna Beach	EMPG	EMG	Equipment	Interoperable Communications Equipment	Cash Match	2,469					2,469	
H	Subaward	Laguna Hills	EMPG	EMG	Equipment	Interoperable Communications Equipment	Cash Match	4,609					4,609	

Project	Direct/Subaward	Project Name	Funding Source	Discipline	Solution Area	Solution Area Sub-Category	Type of Match	Total Obligated Match	Previous Match Expended	Current Match	REIMB Request #	Total Match Expended	Remaining Balance	Percentage Expended
H	Subaward	Laguna Niguel	EMPG	EMG	Equipment	Interoperable Communications Equipment	Cash Match	9,630					9,630	
H	Subaward	La Habra	EMPG	EMG	Organization	Day to day activities/operations that support emergency management	Cash Match	9,220					9,220	
H	Subaward	La Palma	EMPG	EMG	Equipment	Information Technology	Cash Match	2,374					2,374	
H	Subaward	Mission Viejo	EMPG	EMG	Organization	Staffing	Cash Match	12,243					12,243	
H	Subaward	Mission Viejo	EMPG	EMG	Organization	Day to day activities/operations that support emergency management	Cash Match	2,000					2,000	
H	Subaward	Newport Beach	EMPG	EMG	Equipment	Other Authorized Equipment	Cash Match	12,980					12,980	
H	Subaward	Orange	EMPG	EMG	Organization	Staffing	Cash Match	20,809					20,809	
H	Subaward	Placentia	EMPG	EMG	Equipment	Information Technology	Cash Match	2,634					2,634	
H	Subaward	Placentia	EMPG	EMG	Equipment	Power	Cash Match	4,000					4,000	
H	Subaward	Placentia	EMPG	EMG	Equipment	Other Authorized Equipment	Cash Match	1,148					1,148	
H	Subaward	Rancho Santa Margarita	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems	Cash Match	2,629					2,629	
H	Subaward	Rancho Santa Margarita	EMPG	EMG	Organization	Staffing	Cash Match	4,666					4,666	

Project	Direct/Subaward	Project Name	Funding Source	Discipline	Solution Area	Solution Area Sub-Category	Type of Match	Total Obligated Match	Previous Match Expended	Current Match	REIMB Request #	Total Match Expended	Remaining Balance	Percentage Expended
H	Subaward	San Juan Capistrano	EMPG	EMG	Training	Course Delivery and Evaluation	Cash Match	5,363					5,363	
H	Subaward	Santa Ana	EMPG	EMG	Organization	Staffing	Cash Match	49,665					49,665	
H	Subaward	Stanton	EMPG	EMG	Planning	Develop and Enhance Plans, Protocols and Systems	Cash Match	1,000					1,000	
H	Subaward	Stanton	EMPG	EMG	Planning	Community Outreach	Cash Match	500					500	
H	Subaward	Stanton	EMPG	EMG	Exercise	Design/Develop	Cash Match	3,321					3,321	
H	Subaward	Stanton	EMPG	EMG	Exercise	Supplies/Materials/Production Costs	Cash Match	1,000					1,000	
H	Subaward	Tustin	EMPG	EMG	Equipment	Information Technology	Cash Match	11,707					11,707	
H	Subaward	Westminster	EMPG	EMG	Equipment	Information Technology	Cash Match	13,692					13,692	
H	Subaward	Yorba Linda	EMPG	EMG	Organization	Staffing	Cash Match	10,019					10,019	



***Cal* OES**

**GOVERNOR'S OFFICE
OF EMERGENCY SERVICES**

Fiscal Year 2015

**EMERGENCY MANAGEMENT
PERFORMANCE GRANT (EMPG) PROGRAM**

***California Supplement to the Federal Program Notice of
Funding Opportunity; or, The State Guidance***

Director's Message

The California Governor's Office of Emergency Services (Cal OES), serves as the State's leader for emergency management and homeland security agencies in California. As such, Cal OES realizes that our vision of building a safer and more resilient California will be achieved through collaboration and coordination with emergency management partners from communities large and small throughout our diverse state. We recognize that our mission to protect lives and property, build capabilities, and support our communities for a more prepared California can only be achieved because of the dedication of like-minded professionals, who are willing to work alongside Cal OES to support the National Preparedness Goal's associated mission areas and core capabilities.

It is with profound gratitude for the hard work and commitment of our partners that we are pleased to announce the release of the Cal OES Fiscal Year 2015 Emergency Management Performance Grant Program (EMPG) – *California Supplement to the Federal Program Notice of Funding Opportunity*. As in previous years, Cal OES EMPG program specialists and emergency services coordinators remain available to assist you in successfully completing this and other emergency management programs in addition to supporting your emergency operations.

As we continue to jointly advance California's comprehensive emergency preparedness system, we understand there is still much work to do. Yet, we can say with certainty that our communities are safer, better trained, and better prepared as a result of the EMPG Program and others like it. We have been entrusted with a duty and responsibility to the people of this state to provide leadership through service during some of the most difficult times our communities will face. We maintain that trust by fulfilling our mission with honesty, accountability, and transparency. It is a great honor for us to be working alongside partners that exemplify a commitment to maintaining that trust. We both welcome you and thank you for joining us in our forward leaning efforts to ensure California's optimum readiness to prevent, prepare for, protect against, respond to, recover from, and mitigate the effects of all threats and hazards to life, property, and environment.



MARK S. GHILARDUCCI
Director

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SUBAWARD-RELATED DOCUMENTS:¹

- FINANCIAL MANAGEMENT FORMS WORKBOOK (FMFW) – (REQUIRED)
- GOVERNING BODY RESOLUTION (GBR) & ADDENDUM TO GBR – (REQUIRED)
- SUBAWARD ASSURANCES AND CERTIFICATIONS – (REQUIRED)
- FY2015 EMPG APPLICATION CHECKLIST – (REQUIRED)
- INDIRECT COST RATE NEGOTIATION AGREEMENT – (REQUIRED IF APPLICABLE)
- EXCESS FUNDS STATEMENT FORM – (OPTIONAL)
- ADDITIONAL PROJECT USING EXCESS FUNDS FORM – (OPTIONAL)
- ADDITIONAL PROJECT USING EXCESS FUNDS DETAILED BUDGET FORM – (OPTIONAL)
- HOW TO SUBMIT AN EMPG MODIFICATION REQUEST – (INSTRUCTIONAL)
- HOW TO SUBMIT AN EMPG REIMBURSEMENT REQUEST – (INSTRUCTIONAL)

¹ All documents can be located on the Cal OES website at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>

Federal Program Guidance	The U.S. Department of Homeland Security (DHS) published the <i>Fiscal Year (FY) 2015 Emergency Management Performance Grant (EMPG) Program, Notice of Funding Opportunity (NOFO)</i> on March 25, 2015. ²
Information Bulletins	DHS issues Information Bulletins that provide updates, clarification, and requirements throughout the life of the grant. ³
Grant Management Memorandums	Cal OES periodically issues Grant Management Memorandums (GMMs) . GMMs that provide additional information regarding EMPG funds can be located on the Web Page. ⁴
Purpose of this Subaward & Guidance	The purpose of the Emergency Management Performance Grant (EMPG) Program is to provide federal funds to states to assist state, local, and tribal governments in preparing for all hazards. Funds provided under the EMPG must be used to support activities that contribute to the Operational Area's capability to prevent, prepare for, mitigate against, respond to, and recover from emergencies and disasters, whether natural or man-made. This <i>California Supplement to the Federal Program Notice of Funding Opportunity</i> will provide the Operational Areas (OAs) with guidance and forms to apply for, perform, and closeout the FY15 EMPG subaward. This supplemental guide specifies the performance period, objectives, eligible activities, and other subaward-related information and requirements. This document is to supplement the <i>U.S. Department of Homeland Security FY 2015 EMPG Program Notice of Funding Opportunity</i> .
Eligible Subaward Subrecipients	<p>The eligible subaward subrecipients are the 58 county Operational Areas (OAs). The Tribal Guidance will be issued under separate cover.</p> <p>(Subrecipients may contract with any other public or private organizations to perform eligible activities on approved projects.)</p> <p>Note: Cal OES is the 'recipient'; the county is the 'subrecipient'; and the county's pass-through entities are 'subrecipients.' For a definition of the term subrecipient, refer to 2 Code of Federal Regulations (C.F.R.) § 200.93.</p>
Subrecipient / Pass-Through Entities	Any time grant funds are given to a subrecipient, such as a political subdivision (city, town, or special district) or federally-recognized tribe, the county/pass-through entity must ensure that the assurances and certifications of this subaward are included as part of the subaward agreement with the subrecipient.
Performance Period	The performance period for FY15 EMPG is July 1, 2015, through June 30, 2016. All subaward activities must be completed and all grant funds expended within this period. Pending receipt of all valid application materials, subrecipients may request retroactive reimbursement of Financial Management Forms Workbook (FMTW) approved activities and budgeted items to the start of the performance period listed above; with the exception of Equipment. Procurement of equipment shall occur only after the OA is in award, and any applicable federal requirements have been met.

² U.S. Department of Homeland Security *Fiscal Year (FY) 2015 EMPG Program, Notice of Funding Opportunity* may be viewed and downloaded at: http://www.fema.gov/media-library-data/1427284768817-b62b93d48b12617f423c0e8fbfde562b/FY2015EMPG_NOFO.pdf.

³ Information Bulletins may be obtained at: <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins>.

⁴ GMMs can be located at <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>.

Match Requirements	The FY15 EMPG requires a dollar-for-dollar match. This can be cash or third party in-kind contributions. Refer to 2 C.F.R. § 200.29 and § 200.306 for specific details.
Allocations and Methodology	California will subaward a total of \$15,481,623 to Operational Areas. The local allocations were determined using a \$125,000 base award, with remaining funds distributed using per capita figures in the Department of Finance’s yearly report called: <i>E-1: City/County Population Estimates with Annual Percent Change</i> ⁵
Excess Funds	While developing an application, if it is determined that all allocated funds cannot be expended by the end of the performance period and the need to return funds to Cal OES exists, then it will be necessary to complete the Excess Funds Statement Form . ⁶ These funds may then be reallocated to other OAs who have identified one-time projects they would like to undertake; if funding is available and the project is selected for funding by Cal OES.
Indirect Costs	<p>Indirect costs are allowable under the FY15 EMPG subaward. Subrecipients wishing to claim indirect costs may do so using either of the following two methods:</p> <ol style="list-style-type: none"> 1. Subrecipients with an indirect cost rate approved by their cognizant federal agency may claim indirect costs based on the established rate. 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 <i>less than</i> \$35 million in <i>direct</i> 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. §200.68 and Subpart E. <p>Indirect costs are <i>in addition to</i> the M&A allowance, and must be included in the subaward application as a “Project” and reflected in the Financial Management Forms Workbook on the Indirect Cost Category Ledger if being claimed under the subaward.</p>
Conflict of Interest	Subrecipients must disclose to their Cal OES EMPG Program Specialist, 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 EMPG award within five days of learning of the conflict of interest.

⁵ This report can be accessed at the following website: <http://www.dof.ca.gov/research/demographic/reports/estimates/e-1/view.php>.

⁶ This form can be located at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>, under EMPG Forms.

**Subaward
Timelines / Key
Dates**

March 25, 2015	DHS releases announcement of FY15 EMPG
April 24, 2015	Cal OES' Application due to DHS
July 1, 2015	Subrecipient Performance Period Begins
August 14, 2015	<i>FY15 EMPG California Supplement to the Federal Program Notice of Funding Opportunity released</i>
August, 19, 20, 24, 25, 26, and 28 2015	EMPG Application Workshops
September 14, 2015	Electronic copy of completed FMFW and other application documents due to your Cal OES EMPG Program Specialist for review and vetting
September 30, 2015	DHS awards grant funds to Cal OES
September 30, 2015	MY-TEPs due to be submitted
October 14, 2015* *Submit as soon as possible, but no later than October 14, 2015	The OA's completed/vetted applications must be received by Cal OES Grants Management Unit Program Specialist by this date
October 14, 2015	Submission of the FY15 EMPG Performance Report for the Period of 7/1/2015 – 9/30/2015 has been waived and is <u>not</u> required to be completed
November 16, 2015	Anticipated date that OAs will be notified of application approval and award
January 14, 2016	Performance Report due to Program Specialist for 7/1/2015– 12/31/2015
April 14, 2016	Performance Report due to Program Specialist for 7/1/2015 – 3/31/2016
June 30, 2016	Subrecipient performance period ends. All subaward activities must be completed and all grant funds expended
July 14, 2016	Final Performance Report due to Program Specialist for 7/1/2015 – 6/30/2016
July 14, 2016	Final Reimbursement Request due to Program Specialist
September 30, 2016	Cal OES' Federal Performance Period Ends

What's New?

- The 2 C.F.R. Part 200 – *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (“Super Circular” or “Omni Circular”) supersedes all inconsistent provisions found in other administrative requirements, program manuals, handbooks, and other non-regulatory materials (see 2 C.F.R. § 200.105).
- Subrecipients are responsible for costs incurred to comply with FEMA’s Environmental Planning and Historic Preservation (EHP) requirements. This includes, but is not limited to, California Historical Resources Information System (CHRIS) reports; when required. See Information Bulletin (IB) 404.
- Indirect costs are allowed under the FY15 EMPG subaward, as described on page 2 of this State Guidance.
- The FY15 EMPG-specific Financial Management Forms Workbook (FMFW) has been updated. Updates include, but are not limited to, a revised Grant Subaward Face Sheet which includes additional fields; and new Indirect Cost-related tabs.

**EMPG
Program
Emphasis**

The FY15 EMPG Program will focus on the building, sustainment, and delivery of all-hazards emergency management capabilities in the following areas:

- Planning
- Organization
- Equipment Acquisitions
- Training
- Exercises
- EOC Construction and Renovation
- Maintenance and Sustainment

The FY15 EMPG Program plays an important role in the implementation of the **National Preparedness System (NPS)**⁷ by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the National Preparedness Goal (NPG). The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY15 EMPG Program supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs.

⁷ The National Preparedness System can be located at: <http://www.fema.gov/national-preparedness-system>

Applicant Responsibilities

The applicants' responsibilities are to:

1. Submit a finalized FMFW application, both electronic copy and hard copy, to their Cal OES EMPG Program Specialist as soon as possible, **but no later than October 14, 2015**; along with all other required application components.
Note: An electronic copy of the proposed FMFW and other required application documents shall be submitted for Program Specialist review and vetting **prior** to submission of signed hard copy original. The electronic copy of the FMFW and other required application documents should be submitted for Cal OES review by no later than **September 14, 2015**.
2. Comply with all assurances and certifications contained in the Subaward Assurances and Certifications submitted with the FY15 EMPG application. In addition, if the OA subawards funds to other entities, their subaward agreements/contracts must also include these same assurances and certifications; along with any local requirements.
3. Prepare and submit timely Performance Reports for the duration of the performance period.
4. Maintain financial management systems that support subaward activities in accordance with 2 C.F.R. § 200.302.
5. Submit revision requests to Cal OES and obtain approval **prior** to incurring any associated expenditures; if changes are required after the initial subaward. Further details are included in this guidance under "Subaward Modifications."
6. Deobligate unexpended subaward funds to Cal OES after all work has been completed and reimbursements have been disbursed.
7. Maintain property, programmatic, and financial records in accordance with the 2 C.F.R. Part 200 record retention requirements.
8. Comply with the audit requirements in 2 C.F.R. Part 200 Subpart F—Audit Requirements.
9. Complete all EMPG requirements associated with federal and state objectives; including but not limited to, staff training and exercises.
10. Submit all subaward-related paperwork including: Performance Reports, Reimbursement Requests, Modification Requests, and Amendments, by the identified due dates.
11. Comply with 2 C.F.R. Part 200 and FEMA Grant Programs Directorate (GPD) Policies.
12. Comply with DHS FY 2015 EMPG Program NOFO and the Cal OES FY 2015 EMPG Program - California Supplement to the Federal Program NOFO, as applicable.

Application Documents

The application must include the following components:⁸

1. Financial Management Forms Workbook (FMFW)
2. Governing Body Resolution (GBR)
3. Addendum to Governing Body Resolution
4. Subaward Assurances and Certifications
5. FY15 Emergency Management Performance Grant Application Checklist
6. Indirect Cost Rate Negotiation Agreement; if applicable*

*If claiming indirect costs at a federally-approved rate, then you must provide a copy of your approved indirect cost rate Negotiation Agreement – see Indirect Costs on page 2 of this Guide.

⁸ Application documents can be found on the Cal OES website on the Emergency Management Performance Grants Documents page at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>.

Optional Application Components

Excess Funds Statement Form - While developing an application, any excess funds should be identified and returned to Cal OES so that the funds may be reallocated to other OAs. In this case, it will be necessary to complete and submit the Excess Funds Statement Form to your Program Specialist by the application due date.

Additional Project Using Excess Funds Form and Additional Project Using Excess Funds Detailed Budget - these two forms are to be used for requesting additional funding; should it become available.

Governing Body Resolution (GBR)

The GBR appoints agents authorized to execute any actions necessary under this subaward. Universal GBRs can be used for up to three years as long as the majority of the original approving Board members (three out of five) are still currently on the Board. If past GBRs are going to be utilized for present applications, then the OA will still need to submit a copy with their application. Universal GBRs are strongly encouraged; this refers to a GBR that does not identify a specific subaward amount, specific subaward years, and does not identify a specific grant program by name.

Addendum to Governing Body Resolution

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
- E-Mail Address
- Street Address, City, & Zip Code
- Phone and Fax Number(s)

Note: Changes identifying the Authorized Agent can be made if and when necessary. If the Governing Body Resolution identifies the Authorized Agent by name, a new Resolution and corresponding Addendum to the GBR 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 only submitting a new Addendum to the GBR. Cal OES will not accept signatures of an Authorized Agent's designee.

Official Written Correspondence

For the EMPG Program, all official written correspondence from Cal OES will be mailed to the payment mailing address, identified on the Grant Subaward Face Sheet, and addressed to the Authorized Agent who signed the Grant Subaward Face Sheet.

Sole Source Procurement

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 C.F.R. Subpart 2.1 and is currently set at \$150,000) require Cal OES *prior* written approval.

Note: 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.

Subaward Assurances and Certifications

The Subaward Assurances and Certifications form lists the requirements to which the OA will be held accountable. OAs are required to file a new Subaward Assurances and Certifications form with the FY15 EMPG application. **Failure to comply with any of the Subaward Assurances and Certifications may result in suspension, termination, or reduction of grant funds.**

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

- Failing to expend funds in a timely manner consistent with the subaward milestones, guidance, and assurances
- Failing to comply with the requirements or statutory objectives of federal or state law
- Failing to make satisfactory progress toward the goals or objectives set forth in the subaward application
- Failing to follow subaward 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
- Failing to submit required reports on time
- Providing false certification in the application or other report or document
- Failing to adequately manage, monitor, or direct the subaward funding activities of their subrecipients
- Failing to submit a Reimbursement Request

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

NIMS Adoption

In accordance with the Homeland Security Presidential Directive (HSPD)-5, Management of Domestic Incidents, the adoption and implementation of the National Incident Management System (NIMS) is a requirement to receive federal preparedness assistance, through grants, contracts, and other activities. The Subaward Assurances and Certifications form includes NIMS adoption for certifying compliance. This certifies that the OA will complete the NIMS Implementation Tool, is working on their metrics, and has adopted and implemented NIMS.

For further details and/or assistance regarding NIMS-related matters contact Cindy Shipley at cynthia.shipley@caloes.ca.gov, (916) 845-8753.

Application Due Date

The application must be **received** by Cal OES no later than 5:00pm on **October 14, 2015***.

*The completed application packet should be submitted as soon as possible after vetted by your Cal OES EMPG Program Specialist; however, by no later than **October 14, 2015**.

Application Submittal

The completed original hard copy of the FMFW and all other application components must be mailed with original signatures, with enough time to be received by Cal OES' Grants Management Section by the application due date. Signatures should be in ink. OAs will also submit an electronic copy of the completed FMFW to their Program Specialist. All application materials should be submitted as soon as possible; however, they must be **received** by Cal OES Grants Management Section by no later than **October 14, 2015, at 5:00pm**.

Note: To streamline the process, electronically submit the completed FMFW to your EMPG Program Specialist **prior** to submitting a signed hard copy, in order to identify any corrections or adjustments that may need to be addressed. The electronic copy of the FMFW should be submitted for Cal OES review by no later than **September 14, 2015**. Work closely with your **Program Specialist**⁹ to ensure that all application documents are complete and accurate. Further, EMPG Program Specialists (Grant Management Staff) are available to assist in any EMPG-related matters. If the application is received with errors or is incomplete, this will cause a delay in receiving your Notification of Application Approval letter by November 2015. Subrecipients must receive the Notification of Application Approval letter prior to drawing down any grant funds.

EMPG Program Specialists

Grant Management Staff:

Inland Region – Patti Delaney: patti.delaney@caloes.ca.gov, (916) 845-8469

Coastal Region – Michelle Cruz: michelle.cruz@caloes.ca.gov, (916) 845-8383

Southern Region – Jason Stalder: jason.stalder@caloes.ca.gov, (916) 845-8289

Tribal Nations – Cheryl McCorkle: cheryl.mccorkle@caloes.ca.gov, (916) 845-8415

Mailing Address

Cal OES
Emergency Management Grants Unit (EMGU)
3650 Schriever Avenue
Mather, CA 95655

Approval of Application

Cal OES will notify the OA, in writing, of the approved application, subaward amount, and performance period. Subrecipient reimbursements will not be made until all required application components have been approved by the State.

Additional Funds

In order to reallocate any identified excess, declined, or deobligated funds, we are asking the OAs to submit one-time EMPG eligible projects that they can fully execute in a two-five month period, as well as, within the subaward performance period. The Additional Project Using Excess Funds Form and Additional Project Using Excess Funds Detailed Budget should be submitted if an OA is interested in additional funds.¹⁰ If selected for funding, the applicant will be required to submit an FMFW Modification Request and an Amendment Form that will comprehensively integrate the approved excess funds project(s), both financially and programmatically, into their existing, approved FMFW application. These documents need to be submitted within 15 days of being notified; or funds may be re-directed to some other project(s). Additional funding requests may be submitted at any time but preferably during the application phase.

⁹ Emergency Management Grants Unit contact information: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx> under the heading of Regional Assignments Map.

¹⁰ These forms can be located at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>, under EMPG Forms.

Applicable Laws & Regulations

OAs must ensure that local and internal departments are aware of the following laws, regulations, and guidance documents that apply to this subaward:

- Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended
- Title 2 C.F.R. Part 200
- California Emergency Services Act, Chapter 7 of Division 1 of Title 2 of the Government Code – which provides the legal basis for Emergency Management activities in California
- Government Code Section 8607 describes the Standardized Emergency Management System
- California Supplement to the Federal Program Notice of Funding Opportunity, provided by Cal OES
- FY 2015 Emergency Management Performance Grants (EMPG) Program Notice of Funding Opportunity (NOFO), issued by the U.S. Department of Homeland Security (DHS): Federal Emergency Management Agency (FEMA)
- FEMA Grant Programs Directorate (GPD) Policies

Environmental Planning and Historic Preservation (EHP) Compliance

FEMA is legally required to consider the potential impacts of all grant-funded projects on environmental resources and historic properties. For the EMPG Program and other preparedness grant programs, this is accomplished through FEMA's Environmental Planning and Historic Preservation (EHP) review. Any project with the potential to impact natural or biological resources, or historic properties, or involving installation, or that involves Emergency Operation Center construction and renovation cannot be initiated until FEMA has completed the required EHP compliance review.

Subrecipients that implement projects prior to receiving EHP approval from FEMA risk de-obligation of funds. Subrecipients who are proposing communication tower projects are encouraged to complete their Federal Communications Commission (FCC) EHP process prior to preparing their EHP review materials for the Grants Program Directorate (GPD), and to include their FCC EHP materials with their submission to GPD. EMPG Program projects that involve the installation of equipment; ground-disturbing activities; new construction, including communication towers; or modification/renovation of existing buildings or structures must undergo a FEMA EHP review.

Note: EHP review requests may require that a confidential California Historical Resources Information System (CHRIS) report be provided to FEMA.¹¹

Furthermore, for those proposed construction or renovation projects that are part of larger projects funded from a non-FEMA source (such as an Emergency Operation Center that is part of a larger proposed public safety complex), a FEMA EHP review must be completed before the larger project is initiated.

For these types of projects, subrecipients must complete the FEMA EHP Screening Form (OMB Number 1660-0115/FEMA Form 024-0-1)¹² and submit it, with all supporting documentation, to Cal OES.

Note: Subrecipients should submit the FEMA EHP Screening Form for each applicable project as soon as possible. However, to ensure that ample time exists to allow for the FEMA EHP review and approval process, as well as the subsequent execution of the subaward-funded project, all subrecipient EHP-related documents must be received by Cal OES no later than

¹¹ Information regarding CHRIS can be obtained at: http://ohp.parks.ca.gov/?page_id=1068.

¹² The FEMA EHP Screen Form can be located at: <https://www.fema.gov/media-library/assets/documents/90195>.

**Environmental
Planning and
Historic
Preservation
(EHP)
Compliance,
Continued**

December 31, 2015. Exceptions to this due date will be at the discretion of Cal OES, based on exceptional circumstances and/or compelling justification.

Refer to FEMA GPD EHP Policy Guidance FP-108-023-1 (located at: <https://www.fema.gov/media-library/assets/documents/85376>) and IB 404 (located at: <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins>) for further details on EHP requirements. The EHP Screening Form can be downloaded at: <https://www.fema.gov/media-library/assets/documents/90195>.

Forward completed EHP documents **electronically** to the appropriate Cal OES EMPG Program Specialist.

The following activities would not require the submission of the FEMA EHP Screening Form: planning and development of policies or processes; management and administrative or personnel actions; classroom-based training; tabletop and functional exercises; and acquisition of mobile and portable equipment (not involving installation).

Projects initiated without proper EHP review will not be funded. Projects that were initiated or completed before an EHP review was concluded, using EMPG Program funds, will be deobligated. To avoid unnecessary delays in starting a project, subrecipients are encouraged to pay close attention to the reporting requirements for an EHP review.

**Federally
Mandated
Objective
Information**

Validating Capabilities, Priority Objective, and Performance Measures¹³

To address the EMPG priorities, an objective has been identified and given a set of performance measures and associated reporting requirements to determine how effective subrecipients are in utilizing EMPG Program funding to prepare for all hazards, and advance a whole community approach. With these measures, subrecipients must evaluate their progress toward achieving the stated objectives in the quarterly EMPG Performance Report and in compliance with all reporting requirements.

**Extension
Requests**

Extensions to the initial period of performance identified in the subaward will only be considered through formal, written requests to your EMPG Program Specialist. Upon receipt of extension requests, Cal OES will: (1) verify compliance with performance reporting requirements by confirming that 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.

Additionally, period of performance extension requests should be limited to one month in duration. Only under extenuating and extremely compelling circumstances will two-month extensions be considered. Extension Requests beyond two months will not be considered.

¹³ The Federally Mandated Objectives can be located in the FY 2015 EMPG Program Notice of Funding Opportunity, Appendix A-FY 2015 EMPG Program Priorities, pages 25-30 at: http://www.fema.gov/media-library-data/1427284768817-b62b93d48b12617f423c0e8fbfde562b/FY2015EMPG_NOFO.pdf.

**Validating
Capabilities
Objective:
Develop and
Maintain Multi-
Year TEPs**

Subrecipient Requirements:

1. All subrecipients are required to develop a Multi-Year Training and Exercise Plan (TEP) that incorporates linkages to the NPG core capabilities and update it annually. The Multi-Year TEP shall encompass the period of January 1, 2016 – December 31, 2017.
2. The TEP must be submitted to the Cal OES Exercise Division POCs and EMPG Program Specialist by September 30, 2015.

Note: TEPs shall be e-mailed to Cal OES Exercise Division Points of Contact (POCs), with a copy to their EMPG Program Specialist (Grant Management Staff) no later than **September 30th** each year. Exercise POCs listed below are available for assistance, if needed, in any exercise-related matters.

- Southern Region – Steve Nunez: steve.nunez@caloes.ca.gov
- Inland Region – Kevin Leisher: kevin.leisher@caloes.ca.gov
- Coastal Region – Kevin Leisher: kevin.leisher@caloes.ca.gov

Measurement Method:

- Submission to Cal OES of an updated Multi-Year TEP.

Reporting:

- Subrecipients must report in the EMPG Performance Report their compliance with submitting an updated Multi-Year TEP to Cal OES.

**Validating
Capabilities
Objective:
Exercise**

1. All EMPG Program-funded personnel **shall participate in no less than three exercises in a 12-month period.** This 12-month period shall be the subaward performance period of July 1, 2015 – June 30, 2016, regardless of time extensions. EMPG Program-funded personnel are any personnel paid at any percentage with EMPG funding, including M&A staff. There is no specific requirement for level of “participation” in the exercises; so, observation and attendance satisfies the objective. The exercises can be of any type (e.g., discussion-based or operations-based) within the performance period (see <https://www.fema.gov/media-library/assets/documents/32326>).
2. An After Action Report/Improvement Plan (AAR/IP) must be completed by the host of each EMPG-funded exercise and submitted to hseep@fema.dhs.gov, and a copy sent to your EMPG Program Specialist within 90 days after the completion of an exercise.
3. A summary of all collected corrective action items and the tracking of their implementation shall be reported as part of the EMPG quarterly reporting.

Additional information and guidance related to AAR/IPs and the National Exercise Program (NEP) Base Plan can be found on the HSEEP website at <https://www.fema.gov/media-library/assets/documents/32326>. Questions regarding HSEEP guidance may be directed to hseep@fema.dhs.gov. For HSEEP Toolkit technical support, contact the HSEEP helpdesk at support@hseep.net, 877-612-4357.

Note: It is acceptable to submit an Exercise Summary Report for Seminars and Workshops in lieu of a full AAR/IP. E-mail the copies of the AAR/IPs to your EMPG Program Specialist.

**Validating
Capabilities
Objective:
Exercise,
Continued**

A summary of all collected corrective action items and a tracking of their implementation shall be reported as part of the EMPG quarterly reporting. FEMA encourages the use of the Homeland Security Exercise and Evaluation Program (HSEEP).

Exercise Division staff are available for assistance with any exercise-related questions or matters.

Measurement Method:

- Percent of exercises participated by the OA's EMPG-funded personnel.
- Submission of an AAR/IP completed by the host of the EMPG-funded exercises.

Reporting:

- Subrecipients must report quarterly in the EMPG performance report, the percent completed of the exercise requirements for the EMPG-funded personnel.
- Subrecipients must submit AAR/IPs for each EMPG-funded exercise, if the exercise is hosted by the subrecipients. AAR/IPs will be completed by the host of the exercise. Participants do not have to individually complete an AAR/IP.

**Validating
Capabilities
Objective:
Training**

Training activities supported with EMPG Program funds should strategically align to the NPG core capability identified in the Multi-Year TEP. To ensure the development of a professional emergency management workforce all EMPG Program-funded personnel shall complete 11 training requirements and record proof of completion. EMPG Program-funded personnel are any personnel paid at any percentage with EMPG funding; this includes M&A staff funded by EMPG Program funds. **All EMPG Program-funded personnel shall complete the following training requirements by June 30, 2016.**

National Incident Management System (NIMS) Training:

IS 100.b Introduction to Incident Command System (ICS)

IS 200.b ICS for Single Resources and Initial Action Incident

IS 700.a National Incident Management System, An Introduction

IS 800.b National Response Framework, An Introduction

FEMA Professional Development Series:

IS 120.a Introduction to Exercises

IS 230.d Fundamentals of Emergency Management

IS 235.b Emergency Planning

IS 240.b Leadership and Influence

IS 241.b Decision Making and Problem Solving

IS 242.b Effective Communication

IS 244.b Developing and Managing Volunteers

The aforementioned listed courses are available on-line and at no cost from the Emergency Management Institute (EMI) at the following links:

<http://training.fema.gov/IS/NIMS.aspx> & <http://training.fema.gov/is/searchis.aspx?search=PDS>

Note: The "G" course series and classroom-based equivalents can be used as an alternate to satisfy these training requirements. Past completion of the above courses (or qualifying equivalent) is considered acceptable in meeting this requirement. Recorded proof of completion, such as certificates of completion, must exist and be kept on file by the subrecipient and be made available for review upon request.

**Validating
Capabilities
Objective:
Training,
Continued**

Measurement Method:

- Percent of EMPG Program-funded personnel completing the previously identified 11 required training courses.

Reporting:

Subrecipients are required to share with Cal OES a TEP that includes an exercise plan and schedule, and a plan for training personnel. **Information related to TEPs can be obtained by consulting Cal OES' Exercise Division POC.**

- Submission of a list of EMPG Program-funded personnel along with the training and dates completed is to be included in the EMPG Program quarterly Performance Reports.

**Training
Feedback
Number**

In order for EMPG Program funds to be utilized for training-related purposes, subrecipients must first obtain a Training Feedback Number. Training Feedback Numbers must be obtained no later than thirty (30) days prior to the training event. To be considered for a Training Feedback Number, subrecipients must complete a Training Request Form and submit it electronically to Cal OES.

Training Request Forms can be obtained at the following link:

<https://w3.calema.ca.gov/WebPage/trainreq.nsf/TrainRequest?OpenForm>

For Training Request Form or Training Feedback Number assistance contact Johnie Garrett at john.garrett@caloes.ca.gov.

Subcontracts

In accordance with 2 C.F.R. § 200.326 Contract Provisions, any time funds are given to a contractor the subrecipient's contracts must contain the applicable provisions described in Appendix II to 2 C.F.R. Part 200—Contract Provisions for Non-Federal Entity Contracts Under Federal Awards. The OA must monitor and ensure that the contractors are adhering to all applicable federal and state laws. The OA must not make or permit any award (subaward or contract) at any tier to any party that is debarred, suspended, or otherwise excluded from, or ineligible for participation in federal assistance programs, such as the EMPG. Subrecipients must obtain documentation of eligibility prior to any subaward of EMPG funds and be prepared to present supporting documentation to monitors.

**System for
Award
Management
(SAM)**

The System for Award Management (SAM) includes information regarding entities debarred, suspended, proposed for debarment, excluded or disqualified under the non-procurement common rule, or otherwise declared ineligible from receiving federal contracts, certain subcontracts, and certain federal assistance and benefits. Contractor disbarment verification can be obtained from the following website: <https://www.sam.gov>.

**Maintenance
and
Sustainment**

The use of EMPG funds for maintenance contracts, warranties, repair or replacement costs, upgrades, licenses, and user fees are allowable under all active and future grant awards, unless otherwise noted. With the exception of maintenance plans purchased incidental to (i.e., at the same time and under the same subaward as) the original purchase of the system or 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.

Unallowable Costs	<ul style="list-style-type: none"> • Expenditures for weapons systems and ammunition • Costs to support the hiring of sworn officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities • Activities and projects unrelated to the completion and implementation of the EMPG Program
Supplanting	Grant funds must be used to supplement existing funds, not replace (supplant) funds that have been appropriated or budgeted for the same purpose through non-federal sources. In the event that supplanting is suspected, the subrecipient will be required to supply documentation demonstrating or certifying that a reduction in non-federal resources occurred for reasons other than the receipt, or expected receipt, of federal funds.
Accessibility of Records	The federal Department of Homeland Security(DHS), the DHS Office of Inspector General, the Comptroller General of the United States, Cal OES, and any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records which are pertinent to the subaward, in order to make audits, monitoring reviews, examinations, excerpts, and transcripts. The right of access is not limited to the required retention period but shall last as long as the records are retained. Refer to 2 C.F.R. § 200.336 for more information about accessibility of records.
Reimbursement of Eligible Costs	<p>The EMPG is a reimbursement grant and therefore no cash advances are permitted under the EMPG. The EMPG funds will be disbursed on a reimbursement basis, using the FMFW.</p> <p>Follow the Workbook instructions for Reimbursement Requests¹⁴ and submit the signed forms to your EMPG Program Specialist.</p> <p>Payment will be made within 30 days after the Grants Management Section receives a valid and complete Reimbursement Request. It is strongly recommended that copies of all documents adding up to the total of each Reimbursement Request be retained to make verification by monitors and/or auditors easier. Cal OES may require submittal of these documents at any time.</p>
Subaward Modifications	<p>Post award budget, scope, and other modifications must be requested using the Cal OES FMFW and be signed by the subrecipient's Authorized Agent. A hard copy must be submitted to Cal OES and approved by Cal OES' Grants Management Section, prior to initiating any revised scope of work or incurring the associated expenditures.</p> <p>The OAs may submit modifications to Cal OES once per quarter during the performance period. Exceptions to allow more modifications during a quarter will be made at Cal OES discretion and will be based on exceptional circumstances and/or compelling justification. Failure to submit modifications and receive approval prior to expenditure could result in a reduction or disallowance of that part of the subaward.</p> <p>Instructions on how to submit a Modification Request are available at the link identified in the footnote.¹⁵</p>

¹⁴ The Reimbursement Request instructions can be located at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>.

¹⁵ The Modification Request instructions can be located at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>.

Performance Reports	<p>Subrecipients must prepare and submit Performance Reports to the State for the duration of the subaward performance period, or until all grant activities are completed and the subaward is formally closed by Cal OES. The reports must include the progress made on identified activities, as well as other required information and data. Failure to submit a Performance Report could result in subaward reduction, termination, or suspension.</p> <p>Subrecipients must also complete a Biannual Strategy Implementation Report (BSIR) using the DHS/FEMA Grants Reporting Tool (GRT). To obtain access to the online GRT, 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, contact: Gina Avelar at gina.avelar@caloes.ca.gov, (916) 845-8647.</p>
Closeout	<p>The State will close a subrecipient subaward after:</p> <ul style="list-style-type: none"> • Receiving a subrecipient Performance Report indicating that all approved work has been completed, and all funds have been disbursed • Completing a review to confirm the accuracy of reported information • Reconciling actual costs to awards, modifications, and payments <p>If the closeout review and reconciliation indicates that the subrecipient:</p> <ul style="list-style-type: none"> • Is owed additional funds, the State will send the final payment automatically to the subrecipient • Did not use all funds received, the State will issue a deobligation amendment, invoice, or letter to recover unused funds • Did not expend all obligated grant funds, the State will require that a Grant Award Amendment be completed to deobligate the unspent funds and revert them back to the State
Records Retention	<p>Specific requirements for record retention can be found in 2 C.F. R. § 200.333. In the Grant Closeout Letter, the State will notify the subrecipient of the start of the record retention period for all programmatic and financial subaward-related records.</p>
Final Subaward Report	<p>Cal OES will review the OA’s final Performance Report for compliance with all subaward conditions. The final Performance Report is due to Cal OES by July 14, 2016, (unless the subaward performance period is extended) and will serve as the final subaward report.</p>
Audit Requirements	<p>The OAs, and their subrecipients, must comply with the audit requirements contained in 2 C.F.R. Part 200 Subpart F—Audit Requirements.</p>
Monitoring Subaward Performance	<p>The State may perform periodic reviews of the OA’s subaward performance. The Monitoring Division is actively conducting monitoring visits, both desk review and on-site, among subrecipients. These reviews may include, but are not limited to:</p> <ul style="list-style-type: none"> • Comparing actual subaward activities to those approved on the Financial Management Forms Workbook • Confirming compliance with: <ul style="list-style-type: none"> – Subaward Assurances and Certifications – Information provided on the Performance Reports • Reviewing and monitoring financial and administrative records <p>To provide support and guidance, Grants Management Staff will be intermittently conducting on-site programmatic and financial reviews of OA’s EMPG Program-related activities.</p>

FY15 Emergency Management Performance Grant Agreement Articles, Assurances, Certifications, Terms, and Conditions

FEDERAL AGREEMENT ARTICLES

Article I – Assurances, Administrative Requirements, and Cost Principles

Recipients of DHS Federal financial assistance must complete OMB Standard Form [424B Assurances – Non-Construction Programs](#). Certain assurances in this document may not be applicable to your program, and the awarding agency may require applicants to certify additional assurances. Please contact the program awarding office if you have any questions.

The administrative and audit requirements and cost principles that apply to DHS award recipients originate from [2 C.F.R. Part 200](#), *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, as adopted by DHS at 2 C.F.R. Part 3002.

Article II - DHS Specific Acknowledgements and Assurances

All recipients must acknowledge and agree—and require any subrecipients, contractors, successors, transferees, and assignees acknowledge and agree—to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.

1. Recipients must cooperate with any compliance review or complaint investigation conducted by DHS.
2. Recipients must give DHS access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations *and* other applicable laws or program guidance.
3. Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.
4. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
5. If, during the past three years, the recipient has been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status, the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS awarding office and the DHS Office of Civil Rights and Civil Liberties.
6. In the event any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status against the recipient, or the recipient settles a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS Component and/or awarding office.

The United States has the right to seek judicial enforcement of these obligations.

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Article III - Lobbying Prohibitions

All recipients must comply with [31 U.S.C. § 1352](#), which provides that none of the funds provided under an award may be expended by the recipient to pay any person to influence, or attempt to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any Federal action concerning the award or renewal.

Article IV - Acknowledgement of Federal Funding from DHS

All recipients must acknowledge their use of Federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds.

Article V - Copyright

All recipients must affix the applicable copyright notices of [17 U.S.C. §§ 401 or 402](#) and an acknowledgement of Government sponsorship (including award number) to any work first produced under Federal financial assistance awards, unless the work includes any information that is otherwise controlled by the Government (e.g., classified information or other information subject to national security or export control laws or regulations).

Article VI - Use of DHS Seal, Logo and Flags

All recipients must obtain DHS's approval prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.

Article VII - Activities Conducted Abroad

All recipients must ensure that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.

Article VIII - Fly America Act of 1974

All recipients must comply with Preference for U.S. Flag Air Carriers: (air carriers holding certificates under [49 U.S.C. § 41102](#)) for international air transportation of people and property to the extent that such service is available, in accordance with the *International Air Transportation Fair Competitive Practices Act of 1974* ([49 U.S.C. § 40118](#)) and the interpretative guidelines issued by the Comptroller General of the United States in the March 31, 1981, [amendment](#) to Comptroller General Decision B-138942.

Article IX - Drug-Free Workplace Regulations

All recipients must comply with the *Drug-Free Workplace Act of 1988* ([41 U.S.C. § 701 et seq.](#)), which requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. DHS has adopted the Act's implementing regulations at [2 C.F.R. Part 3001](#).

Article X - Trafficking Victims Protection Act of 2000

All recipients must comply with the requirements of the government-wide award term which implements Section 106(g) of the *Trafficking Victims Protection Act (TVPA) of 2000*, as amended ([22 U.S.C. § 7104](#)). This is implemented in accordance with OMB Interim Final Guidance, *Federal Register*, Volume 72, No. 218, November 13, 2007. Full text of the award term is located at [2 C.F.R. § 175.15](#).

Article XI – Title VI of the Civil Rights Act of 1964

All recipients must comply with the requirements of Title VI of the *Civil Rights Act of 1964* ([42 U.S.C. § 2000d et seq.](#)), which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or

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activity receiving Federal financial assistance. Implementing regulations for the Act are found at [6 C.F.R. Part 21](#) and [44 C.F.R. Part 7](#).

Article XII - Civil Right Act of 1968

All recipients must comply with [Title VIII of the Civil Rights Act of 1968](#), which prohibits recipients from discriminating in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex ([42 U.S.C. § 3601 et seq.](#)), as implemented by the Department of Housing and Urban Development at [24 C.F.R. Part 100](#). The prohibition on disability discrimination includes the requirement that new multifamily housing with four or more dwelling units—i.e., the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators)—be designed and constructed with certain accessible features (see [24 C.F.R. § 100.201](#)).

Article XIII - Americans with Disabilities Act of 1990

All recipients must comply with the requirements of Titles I, II, and III of the *Americans with Disabilities Act*, which prohibits recipients from discriminating on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities ([42 U.S.C. §§ 12101-12213](#)).

Article XIV - Age Discrimination Act of 1975

All recipients must comply with the requirements of the *Age Discrimination Act of 1975* ([42 U.S.C. § 6101 et seq.](#)), which prohibits discrimination on the basis of age in any program or activity receiving Federal financial assistance.

Article XV - Title IX of the Education Amendments of 1972 (Equal Opportunity in Education Act)

All recipients must comply with the requirements of Title IX of the Education Amendments of 1972 ([20 U.S.C. § 1681 et seq.](#)), which provides that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving Federal financial assistance. Implementing regulations are codified at [6 C.F.R. Part 17](#) and [44 C.F.R. Part 19](#).

Article XVI - Rehabilitation Act of 1973

All recipients must comply with the requirements of Section 504 of the *Rehabilitation Act of 1973*, [29 U.S.C. § 794](#), as amended, which provides that no otherwise qualified handicapped individual in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. These requirements pertain to the provision of benefits or services as well as to employment.

Article XVII - Limited English Proficiency (Civil Rights Act of 1964, Title VI)

All recipients must comply with *Title VI of the Civil Right Act of 1964* prohibition against discrimination on the basis of national origin, which requires that recipients of Federal financial assistance take reasonable steps to provide meaningful access to persons with limited English proficiency (LEP) to their programs and services. Providing meaningful access for persons with LEP may entail providing language assistance services, including oral interpretation and written translation. In order to facilitate compliance with Title VI, recipients are encouraged to consider the need for language services for LEP persons served or encountered both in developing budgets and in conducting programs and activities. Executive Order 13166, *Improving Access to Services for Persons with Limited English Proficiency* (August 11, 2000), requires Federal agencies to issue guidance to recipients, assisting such organizations and entities in understanding their language access obligations. DHS published the required recipient guidance in April 2011, *DHS Guidance to Federal Financial Assistance Recipients Regarding Title VI*

Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons, 76 Fed. Reg. 21755-21768, (April 18, 2011). The Guidance provides helpful information such as how a recipient can determine the extent of its obligation to provide language services; selecting language services; and elements of an effective plan on language assistance for LEP persons. For additional assistance and information regarding language access obligations, please refer to the DHS Recipient Guidance <https://www.dhs.gov/guidance-published-help-department-supported-organizations-provide-meaningful-access-people-limited> and additional resources on <http://www.lep.gov>.

Article XVIII - Animal Welfare Act of 1966

All recipients of financial assistance will comply with the requirements of the Animal Welfare Act, as amended ([7 U.S.C. §2131 et seq.](#)), which requires that minimum standards of care and treatment be provided for vertebrate animals bred for commercial sale, used in research, transported commercially, or exhibited to the public. Recipients must establish appropriate policies and procedures for the humane care and use of animals based on the Guide for the Care and Use of Laboratory Animals and comply with the Public Health Service Policy and Government Principles Regarding the Care and Use of Animals.

Article XIX - Clean Air Act of 1970 and Clean Water Act of 1977

All recipients of financial assistance will comply with the requirements of [42 U.S.C. §7401 et seq.](#) and [Executive Order 11738](#), which provides for the protection and enhancement of the quality of the nation's air resources to promote public health and welfare and for restoring and maintaining the chemical, physical, and biological integrity of the nation's waters.

Article XX - Protection of Human Subjects

All recipients of financial assistance will comply with the requirements of the Federal regulations at [45 C.F.R. Part 46](#), which requires that recipients comply with applicable provisions/law for the protection of human subjects for purposes of research. Recipients must also comply with the requirements in [DHS Management Directive 026-04, Protection of Human Subjects](#), prior to implementing any work with human subjects. For purposes of 45 C.F.R. Part 46, research means a systematic investigation, including research, development, testing, and evaluation, designed to develop or contribute to general knowledge. Activities that meet this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program that is considered research for other purposes. The regulations specify additional protections for research involving human fetuses, pregnant women, and neonates (Subpart B); prisoners (Subpart C); and children (Subpart D). The use of autopsy materials is governed by applicable State and local law and is not directly regulated by 45 C.F.R. Part 46.

Article XXI - National Environmental Policy Act (NEPA) of 1969

All recipients of financial assistance will comply with the requirements of the National Environmental Policy Act (NEPA), as amended, [42 U.S.C. §4331 et seq.](#), which establishes national policy goals and procedures to protect and enhance the environment, including protection against natural disasters. To comply with NEPA for its grant-supported activities, DHS requires the environmental aspects of construction grants (and certain non-construction projects as specified by the component and awarding office) to be reviewed and evaluated before final action on the application.

Article XXII - National Flood Insurance Act of 1968

All recipients of financial assistance will comply with the requirements of Section 1306(c) of the National Flood Insurance Act, as amended, which provides for benefit payments under the Standard Flood Insurance Policy for demolition or relocation of a structure insured under the Act that is located along the shore of a lake or other body of water and that is certified by an appropriate State or local land use authority to be subject to imminent collapse or subsidence as a result of erosion or undermining caused by waves or currents of water exceeding anticipated cyclical levels. These regulations are codified at [44 C.F.R. Part 63](#).

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Article XXIII - Flood Disaster Protection Act of 1973

All recipients of financial assistance will comply with the requirements of the Flood Disaster Protection Act of 1973, as amended ([42 U.S.C. § 4001 et seq.](#)), which provides that no Federal financial assistance to acquire, modernize, or construct property may be provided in identified flood-prone communities in the United States, unless the community participates in the National Flood Insurance Program and flood insurance is purchased within one year of the identification. The flood insurance purchase requirement applies to both public and private applicants for DHS support. Lists of flood-prone areas that are eligible for flood insurance are published in the Federal Register by FEMA.

Article XXIV - Coastal Wetlands Planning, Protection, and Restoration Act of 1990

All recipients of financial assistance will comply with the requirements of [Executive Order 11990](#), which provides that federally funded construction and improvements minimize the destruction, loss, or degradation of wetlands. The Executive Order provides that, in furtherance of Section 101(b)(3) of NEPA ([42 U.S.C. § 4331\(b\)\(3\)](#)), Federal agencies, to the extent permitted by law, must avoid undertaking or assisting with new construction located in wetlands unless the head of the agency finds that there is no practicable alternative to such construction, and that the proposed action includes all practicable measures to minimize harm to wetlands that may result from such use. In making this finding, the head of the agency may take into account economic, environmental, and other pertinent factors. The public disclosure requirement described above also pertains to early public review of any plans or proposals for new construction in wetlands. This is codified at [44 C.F.R. Part 9](#).

Article XXV - USA Patriot Act of 2001

All recipients must comply with the requirements of the *Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act* (USA PATRIOT Act), which amends [18 U.S.C. §§ 175-175c](#). Among other things, the USA PATRIOT Act prescribes criminal penalties for possession of any biological agent, toxin, or delivery system of a type or in a quantity that is not reasonably justified by a prophylactic, protective, bona fide research, or other peaceful purpose. The act also establishes restrictions on access to specified materials. "Restricted persons," as defined by the act, may not possess, ship, transport, or receive any biological agent or toxin that is listed as a select agent.

Article XXVI – Best Practices for Collection and Use of Personally Identifiable Information (PII)

All recipients who collect PII are required to have a publically-available privacy policy that describes what PII they collect, how they use the PII, whether they share PII with third parties, and how individuals may have their PII corrected where appropriate.

Award recipients may also find as a useful resource the DHS Privacy Impact Assessments: [Privacy Guidance](#) and [Privacy template](#) respectively.

Article XXVII – Duplication of Benefits

Any cost allocable to a particular Federal award provided for in [2 C.F.R. Part 200, Subpart E](#) may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by Federal statutes, regulations, or terms and conditions of the Federal awards, or for other reasons. However, this prohibition would not preclude the non-Federal entity from shifting costs that are allowable under two or more Federal awards in accordance with existing Federal statutes, regulations, or the terms and conditions of the Federal awards.

Article XXVIII – False Claims Act and Program Fraud Civil Remedies

All recipients must comply with the requirements of [31 U.S.C § 3729](#) which set forth that no recipient of Federal payments shall submit a false claim for payment. See also [38 U.S.C §§ 3801-3812](#) which details the administrative remedies for false claims and statements made.

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Article XXIX – Federal Debt Status

All recipients are required to be non-delinquent in their repayment of any Federal debt. Examples of relevant debt include delinquent payroll and other taxes, audit disallowance, and benefit overpayments. See [OMB Circular A-129](#) and form SF-424B, item number 17 for additional information and guidance.

Article XXX – Hotel and Motel Fire Safety Act of 1990

In accordance with Section 6 of the *Hotel and Motel Fire Safety Act of 1990*, [15 U.S.C. § 2225\(a\)](#), all recipients must ensure that all conference, meeting, convention, or training space funded in whole or in part with Federal funds complies with the fire prevention and control guidelines of the *Federal Fire Prevention and Control Act of 1974*, as amended, [15 U.S.C. § 2225](#).

Article XXXI – Non-supplanting Requirement

All recipients who receive awards made under programs that prohibit supplanting by law must ensure that Federal funds do not replace (supplant) funds that have been budgeted for the same purpose through non-Federal sources. Where Federal statutes for a particular program prohibits supplanting, applicants or recipients may be required to demonstrate and document that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

Article XXXII – Debarment and Suspension

All recipients must comply with Executive Orders [12549](#) and [12689](#), which provide protection against waste, fraud and abuse by debaring or suspending those persons deemed irresponsible in their dealings with the Federal government.

Article XXXIII – Environmental Planning and Historic Preservation (EHP) Compliance

All recipients of financial assistance proposing projects that have the potential to impact the environment, including but not limited to construction of communication towers, modification or renovation of existing buildings, structures and facilities, or new construction including replacement of facilities must participate in the FEMA EHP review process. The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. The EHP review process must be completed before funds are released to carry out the proposed project. EHP Policy Guidance can be found in [FP 108-023-01](#), *Environmental Planning and Historic Preservation Policy Guidance*, at <http://www.fema.gov/media-library/assets/document/85376>.

Article XXXIV – SAFECOM

All recipients who receive awards made under programs that provide emergency communication equipment and its related activities must comply with the [SAFECOM](#) Guidance for Emergency Communication Grants, including provisions on technical standards that ensure and enhance interoperable communications.

Article XXXV – Energy Policy and Conservation Act

All recipients must comply with the requirements of [42 U.S.C. § 6201](#) which contain policies relating to energy efficiency that are defined in the state energy conservation plan issues in compliance with this Act.

Article XXXVI – Reporting Subawards and Executive Compensation**a. Reporting of first-tier subawards.**

1. *Applicability.* Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section

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1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).

2. *Where and when to report.*

- i. You must report each obligating action described in paragraph a.1. of this award term to <http://www.fsrs.gov>.
- ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

3. *What to report.* You must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov> specify.

b. Reporting Total Compensation of Recipient Executives.

1. *Applicability and what to report.* You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—

- i. the total Federal funding authorized to date under this award is \$25,000 or more;
- ii. in the preceding fiscal year, you received—
 - A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and
 - B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and
- iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>.)

2. *Where and when to report.* You must report executive total compensation described in paragraph b.1. of this award term:

- i. As part of your registration profile at <https://www.sam.gov>.
- ii. By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

1. *Applicability and what to report.* Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—

- i. in the subrecipient's preceding fiscal year, the subrecipient received—

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- A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and
 - B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act (and subawards); and
- ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. *Where and when to report.* You must report subrecipient executive total compensation described in paragraph c.1. of this award term:

- i. To the recipient.
- ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (*i.e.*, between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

- i. Subawards, and
- ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

1. *Entity* means all of the following, as defined in 2 C.F.R. Part 25:

- i. A Governmental organization, which is a State, local government, or Indian Tribe;
- ii. A foreign public entity;
- iii. A domestic or foreign nonprofit organization;
- iv. A domestic or foreign for-profit organization;
- v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. *Executive* means officers, managing partners, or any other employees in management positions.

3. *Subaward*:

- i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
- ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 C.F.R. § 200.330 – Subrecipient and Contractor Determinations).

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- iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

4. *Subrecipient* means an entity that:

- i. Receives a subaward from you (the recipient) under this award; and
- ii. Is accountable to you for the use of the Federal funds provided by the subaward.

5. *Total compensation* means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 C.F.R. § 229.402(c)(2)):

- i. *Salary and bonus.*
- ii. *Awards of stock, stock options, and stock appreciation rights.* Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
- iii. *Earnings for services under non-equity incentive plans.* This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- iv. *Change in pension value.* This is the change in present value of defined benefit and actuarial pension plans.
- v. *Above-market earning on deferred compensation which is not tax-qualified.*
- vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

Article XXXVII – Patents and Intellectual Property Rights

Unless otherwise provided by law, recipients are subject to the [Bayh-Dole Act, Pub. L. No. 96-517](#), as amended, and codified in [35 U.S.C. § 200](#) et seq. All recipients are subject to the specific requirements governing the development, reporting, and disposition of rights to inventions and patents resulting from financial assistance awards in [37 C.F.R. Part 401](#) and the standard patent rights clause in 37 C.F.R. § 401.14.

Article XXXVIII – Procurement of Recovered Materials

All recipients must comply with section 6002 of the [Solid Waste Disposal Act](#), as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at [40 C.F.R. Part 247](#) that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired by the preceding fiscal year exceeded \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

Article XXXIX – Contract Provisions for Non-Federal Entity Contracts Under Federal Awards; Appendix II to C.F.R. Part 200

In addition to other provisions required by the Federal agency or non-Federal entity, all contracts made by the non-Federal entity under the Federal award must contain provisions covering the following, as applicable.

(A) Contracts for more than the simplified acquisition threshold currently set at \$150,000, which is the inflation adjusted amount determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council (Councils) as authorized by 41 U.S.C. 1908, must address administrative, contractual, or legal remedies in

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instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as appropriate.

(B) All contracts in excess of \$10,000 must address termination for cause and for convenience by the non-Federal entity including the manner by which it will be effected and the basis for settlement.

(C) Equal Employment Opportunity. Except as otherwise provided under 41 C.F.R. Part 60, all contracts that meet the definition of “federally assisted construction contract” in 41 C.F.R. Part 60-1.3 must include the equal opportunity clause provided under 41 C.F.R. Part 60-1.4(b), in accordance with Executive Order 11246, “Equal Employment Opportunity” (30 FR 12319, 12935, 3 C.F.R. Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, “Amending Executive Order 11246 Relating to Equal Employment Opportunity,” and implementing regulations at 41 C.F.R. Part 60, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor.”

(D) Davis-Bacon Act, as amended (40 U.S.C. 3141-3148). When required by Federal program legislation, all prime construction contracts in excess of \$2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 C.F.R. Part 5, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction”). In accordance with the statute, contractors must be required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors must be required to pay wages not less than once a week. The non-Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of the wage determination. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency. The contracts must also include a provision for compliance with the Copeland “Anti-Kickback” Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 C.F.R. Part 3, “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency.

(E) Contract Work Hours and Safety Standards Act (40 U.S.C. 3701-3708). Where applicable, all contracts awarded by the non-Federal entity in excess of \$100,000 that involve the employment of mechanics or laborers must include a provision for compliance with 40 U.S.C. 3702 and 3704, as supplemented by Department of Labor regulations (29 C.F.R. Part 5). Under 40 U.S.C. 3702 of the Act, each contractor must be required to compute the wages of every mechanic and laborer on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40 U.S.C. 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

(F) Rights to Inventions Made Under a Contract or Agreement. If the Federal award meets the definition of “funding agreement” under 37 C.F.R. §401.2 (a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that “funding agreement,” the recipient or subrecipient must comply with the requirements of 37 C.F.R. Part 401, “Rights to Inventions Made by Nonprofit

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Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements,” and any implementing regulations issued by the awarding agency.

(G) Clean Air Act (42 U.S.C. 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended—Contracts and subawards of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).

(H) Debarment and Suspension (Executive Orders 12549 and 12689)—A contract award (see 2 C.F.R. § 180.220) must not be made to parties listed on the government wide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 C.F.R Part 180 that implement Executive Orders 12549 (3 C.F.R. Part 1986 Comp., p. 189) and 12689 (3 C.F.R. Part 1989 Comp., p. 235), “Debarment and Suspension.” SAM Exclusions contain the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.

(I) Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)—Contractors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.

(J) A non-Federal entity that is a state agency or agency of a political subdivision of a state and its contractors must comply with Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 C.F.R. Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired during the preceding fiscal year exceeded \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

Article XL – Terrorist Financing E.O. 13224

All recipients must comply with [U.S. Executive Order 13224](#) and U.S. law that prohibit transactions with, and the provisions of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of recipients to ensure compliance with the E.O. and laws.

Article XLI – System for Award Management and Universal Identifier Requirements

A. Requirement for System for Award Management (SAM)

Unless you are exempted from this requirement under 2 C.F.R. § 25.110, you as the recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

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B. Requirement for unique entity identifier

If you are authorized to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (*see* definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its unique entity identifier to you.
2. May not make a subaward to an entity unless the entity has provided its unique entity identifier to you.

C. Definitions

For purposes of this award term:

1. *System for Award Management (SAM)* means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at <http://www.sam.gov>).
2. *Unique entity identifier* means the identifier required for SAM registration to uniquely identify business entities.
3. *Entity*, as it is used in the award term, means all of the following as defined at 2 C.F.R. Part 25, Subpart C:
 - a. A Governmental organization, which is a State, local government, or Indian Tribe;
 - b. A foreign public entity;
 - c. A domestic or foreign nonprofit organization;
 - d. A domestic or foreign for-profit organization; and
 - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. *Subaward*:
 - a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
 - b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 C.F.R. § 200.330).
 - c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
5. *Subrecipient* means an entity that:
 - a. Receives a subaward from you under this award; and
 - b. Is accountable to you for the Federal funds provided by the subaward.

Article XLII – Whistleblower Protection Act

All recipients must comply with the statutory requirements for whistleblower protections (if applicable) at [10 U.S.C § 2409](#), [41 U.S.C. § 4712](#), and [10 U.S.C. § 2324](#), [41 U.S.C. §§ 4304](#) and [4310](#).

Article XLIII – Disposition of Equipment Acquired Under the Federal Award

When original or replacement equipment acquired under this award by the recipient or its subrecipients is no longer needed for the original project or program or for other activities currently or previously supported by DHS/FEMA, you must request instructions from DHS/FEMA to make proper disposition of the equipment pursuant to 2 C.F.R. § 200.313.

Article XLIV – Prior Approval for Modification of Approved Budget

Before making any change to the DHS/FEMA approved budget for this award, you must request prior written approval from DHS/FEMA where required by 2 C.F.R. § 200.308. For awards with an approved budget greater than \$150,000, you may not transfer funds among direct cost categories, programs, functions, or activities without

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prior written approval from DHS/FEMA where the cumulative amount of such transfers exceeds or is expected to exceed ten percent (10%) of the total budget DHS/ FEMA last approved. You must report any deviations from your DHS/FEMA approved budget in the first Federal Financial Report (SF-425) you submit following any budget deviation, regardless of whether the budget deviation requires prior written approval.

ASSURANCES

The applicant hereby assures and certifies compliance with all applicable Federal statutes, regulations, policies, guidelines, and requirements. See Article I above. The applicant also specifically assures and certifies that it:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial, and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance or award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives. See Article II above.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of Office of Personnel Management's (OPM) Standards for a Merit System of Personnel Administration (5 C.F.R. § 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-2S5), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Right Act of 1968 (42 U.S.C. §§ 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental, or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application. See Articles XI, XII, XIII, XIV, XV, XVI, and XVII.

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7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and/or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more; and the National Flood Insurance Act of 1968. See Articles XXII and XXIII.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under National Environmental Protection Act (NEPA) of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§ 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205). See Articles XIX, XXI, and XXIV.
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§ 469a-1 et seq.).

All proposed construction and renovation activities must undergo an Environmental Planning and Historic Preservation (EHP) review, including approval of the review from FEMA, prior to undertaking any action related to the project. Any applicant that is proposing a construction project should pay special attention to the EHP requirements. See Article XXXIII
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance. See Article XX.
15. Will comply with the Laboratory Animal welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§ 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance. See Article XVIII.

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16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the U.S. Government Accountability Office's (GAO) Government Auditing Standards, and the requirements of 2 C.F.R. Part 200, Subpart F.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program. This includes all requirements, restrictions and regulations identified in the California Governor's Office of Emergency Services (Cal OES) Fiscal Year 2015 Emergency Management Performance Grant (EMPG) Program - California Supplement to the Federal Program Notice of Funding Opportunity; or, The State Guidance.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. § 7104) which prohibits grant award recipients or a subrecipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award. See Article X.
20. Will comply with Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*. The adoption of the NIMS is a requirement to receive Federal preparedness assistance, through grants, contracts, and other activities. The NIMS provides a consistent nationwide template to enable all levels of government, tribal nations, nongovernmental organizations, and private sector partners to work together to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity.
21. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
22. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
23. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
24. Will comply with Public Law (PL) 109-282 (Federal Funding Accountability and Transparency Act of 2006), as amended by Section 6202(a) of the Government Funding Transparency Act of 2008 (PL 110-252), which is outlined in FEMA GPD Information Bulletin No. 350. If the subrecipient in the preceding year did not get 80% or more of its annual gross revenues from Federal Awards, and \$25M or more in annual gross revenues from Federal Awards, and the public does have access to information about the compensation of the senior executives of the entity, then the subrecipient is not subject to the FFATA Financial Disclosure requirements. See Article XXXVI.
25. Will comply with the following: (a) All recipients of financial assistance must acknowledge and agree—and require any subrecipients, contractors, successors, transferees, and assignees acknowledge and agree—to

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comply with applicable provisions governing Cal OES access to records, accounts, documents, information, facilities, and staff; (b) Recipients must cooperate with any site visit, compliance/monitoring review or complaint investigation conducted by Cal OES; (c) Recipients must give Cal OES access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by Cal OES regulations and other applicable laws or program guidance; (d) Recipients must submit timely, complete, and accurate reports to the appropriate Cal OES officials and maintain appropriate backup documentation to support the reports; and (e) Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in the program guidance.

26. Will comply with the EMPG-Funded Personnel Training and Exercise Requirement. All recipients of financial assistance must acknowledge and agree—and require any subrecipients, to acknowledge and agree—to comply with the EMPG-funded personnel training and exercise requirement, as detailed in both the Federal and State program guidance. Failure to comply with this requirement, by individuals whose salary is funded, in part or whole with EMPG, may result in the incurred salary costs associated with the non-compliant EMPG-funded personnel from being eligible for reimbursement and/or result in the subrecipient's repayment of already disbursed grant funding associated with the non-compliant EMPG-funded personnel's salary-related costs.

CERTIFICATIONS

1. CERTIFICATION FOR CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS:

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement. See Article III.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT):

As required by Executive Orders 12549 and 12589, Debarment and Suspension, and implemented at 44 C.F.R., Part 17 (See Article XXXII):

A. The applicant certifies that it and its principals:

- (1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;
- (2) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or Local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or Local) with commission of any of the offenses enumerated in paragraph (A)(2) of this certification; and
- (4) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or Local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. CERTIFICATIONS REGARDING DRUG-FREE WORKPLACE REQUIREMENTS: This certification commits the applicant to compliance with the certification requirements under 44 C.F.R., Part 17 *Government-wide Requirements for Drug-Free Workplace (Grants)*. See Article IX.

A. The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

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- (b) Establishing an ongoing drug-free awareness program to inform employees about—
- (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—
- (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

4. SWEATFREE CODE OF CONDUCT:

- a. All applicants contracting for the procurement or laundering of apparel, garments or corresponding accessories, or the procurement of equipment, materials, or supplies, other than procurement related to a public works contract, declare under penalty of perjury that no apparel, garments or corresponding accessories, equipment, materials, or supplies furnished to the state pursuant to the subaward have been laundered or produced in whole or in part by sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor, or with the benefit of sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor. The applicant further declares under penalty of perjury that they adhere to the Sweatfree Code of Conduct as set forth on the California Department of Industrial Relations website located at www.dir.ca.gov, and Public Contract Code Section 6108.

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- b. The applicant agrees to cooperate fully in providing reasonable access to the applicant's records, documents, agents or employees, or premises if reasonably required by authorized officials of the contracting agency, the Department of Industrial Relations, or the Department of Justice to determine the contractor's compliance with the requirements under paragraph (a).
5. **DOMESTIC PARTNERS:** For subawards executed or amended after July 1, 2004, the applicant may elect to offer domestic partner benefits to the applicant's employees in accordance with Public Contract Code section 10295.3. However, the applicant cannot require an employee to cover the costs of providing any benefits which have otherwise been provided to all employees regardless of marital or domestic partner status

TERMS AND CONDITIONS

The following laws apply to persons or entities doing business with the State of California.

1. **CONFLICT OF INTEREST:** Applicant needs to be aware of the following provisions regarding current or former state employees. If subrecipient has any questions on the status of any person rendering services or involved with the Agreement, the awarding agency must be contacted immediately for clarification.

Current State Employees (Public Contract Code § 10410):

- 1) No officer or employee shall engage in any employment, activity or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity or enterprise is required as a condition of regular state employment.
- 2) No officer or employee shall contract on his or her own behalf as an independent contractor with any state agency to provide goods or services.

Former State Employees (Public Contract Code § 10411):

- 1) For the two-year period from the date he or she left state employment, no former state officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the contract while employed in any capacity by any state agency.
- 2) For the twelve-month period from the date he or she left state employment, no former state officer or employee may enter into a contract with any state agency if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed contract within the 12-month period prior to his or her leaving state service.

If applicant violates any provisions of above paragraphs, such action by applicant shall render this Agreement void. (Pub. Contract Code § 10420)

Members of boards and commissions are exempt from this section if they do not receive payment other than payment of each meeting of the board or commission, payment for preparatory time and payment for per diem. (Pub. Contract Code § 10430 (e))

2. **LABOR CODE/WORKERS' COMPENSATION:** Applicant needs to be aware of the provisions which require every employer to be insured against liability for Workers' Compensation or to undertake self-insurance in

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accordance with the provisions, and applicant affirms to comply with such provisions before commencing the performance of the work of this Agreement. (Labor Code Section 3700)

3. **AMERICANS WITH DISABILITIES ACT**: Applicant assures the State that it complies with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA. (42 U.S.C. § 12101 et seq.)
4. **APPLICANT NAME CHANGE**: An amendment is required to change the applicant's name as listed on this Agreement. Upon receipt of legal documentation of the name change the State will process the amendment. Payment of invoices presented with a new name cannot be paid prior to approval of said amendment.
5. **RESOLUTION**: A county, city, district, or other local public body must provide the State with a copy of a resolution, order, motion, or ordinance of the local governing body which by law has authority to enter into an agreement, authorizing execution of the agreement.
6. **AIR OR WATER POLLUTION VIOLATION**: Under the State laws, the applicant shall not be:
 - (1) in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district;
 - (2) subject to cease and desist order not subject to review issued pursuant to Section 13301 of the Water Code for violation of waste discharge requirements or discharge prohibitions; or
 - (3) finally determined to be in violation of provisions of Federal law relating to air or water pollution.
7. **SYSTEM FOR AWARD MANAGEMENT (SAM) AND UNIVERSAL IDENTIFIER REQUIREMENTS**:
 - A. Requirement for System for Award Management (SAM)
Unless you are exempted from this requirement under 2 C.F.R. § 25.110, you as the recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that applicants and recipients review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.
 - B. Requirement for Data Universal Numbering System (DUNS) Numbers
If recipients are authorized to make subawards under this award, they:
 1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
 2. May not make a subaward to an entity unless the entity has provided its DUNS number to you.
 - C. Definitions
For purposes of this award term:
 1. System for Award Management (SAM) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at <http://www.sam.gov>).
 2. Data Universal Numbering System (DUNS) number means the nine digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).
 3. Entity, as it is used in this award term, means all of the following, as defined at 2 C.F.R. § 25.320, Subpart C:
 - a. A Governmental organization, which is a State, Local government, or Indian Tribe;
 - b. A foreign public entity;
 - c. A domestic or foreign nonprofit organization;

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- d. A domestic or foreign for-profit organization; and
 - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. Subaward, as defined in 2 C.F.R. § 170.325:
- a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
 - b. The term does not include your procurement of property and services needed to carry out the project or program.
 - c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
5. Subrecipient, as defined in 2 C.F.R. § 25.360, means an entity that:
- a. Receives a subaward from you under this award; and
 - b. Is accountable to you for the use of the Federal funds provided by the subaward.

8. **FINANCIAL GUIDELINES**: The recipient and any subrecipient shall comply with the most recent version of the Administrative Requirements, Cost Principles, and Audit Requirements. A non-exclusive list of regulations commonly applicable to FEMA grants are listed below:

A. Administrative Requirements

- 1. 2 C.F.R. Part 200—Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Subparts B through D
- 2. 44 C.F.R. Part 10, Environmental Considerations

B. Cost Principles

- 1. 2 C.F.R. Part 200—Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Subpart E—Cost Principles
- 2. 48 C.F.R. § 31.2, Federal Acquisition Regulations (FAR), Contracts with Commercial Organizations

C. Audit Requirements

- 1. 2 C.F.R. Part 200—Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Subpart F—Audit Requirements

9. **PROHIBITION ON USING FEDERAL FUNDS**: The recipient understands and agrees that it cannot use any Federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government, without the express prior written approval of FEMA.

10. **COMPLIANCE WITH PROGRAM GUIDANCE**: The recipient agrees that all allocations and use of funds under this grant will be in accordance with the DHS FY 2015 EMPG Program Notice of Funding Opportunity (NOFO).

11. **CLASSIFIED SECURITY CONDITION**:

- A. Classified national security information, as defined in Executive Order (EO) 12958, as amended, means information that has been determined pursuant to EO 12958 or any predecessor order to require protection against unauthorized disclosure and is marked to indicate its classified status when in documentary form.
- B. No funding under this award shall be used to support a contract, subaward, or other agreement for goods or services that will include access to classified national security information if the award recipient has not been approved for and has access to such information.

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- C. Where an award recipient has been approved for and has access to classified national security information, no funding under this award shall be used to support a contract, subaward, or other agreement for goods or services that will include access to classified national security information by the contractor, subawardee, or other entity without prior written approval from the DHS Office of Security, Industrial Security Program Branch (ISPB), or an appropriate official within the Federal department or agency with whom the classified effort will be performed.
- D. Such contracts, subawards, or other agreements shall be processed and administered in accordance with the DHS "Standard Operating Procedures, Classified Contracting by States and Local Entities," dated July 7, 2008; EOs 12829, 12958, 12968, as amended; the National Industrial Security Program Operating Manual (NISPOM); and/or other applicable implementing directives or instructions. All security requirement documents are located at: <http://www.dhs.gov/xopnbiz/grants/index.shtm>
- E. Immediately upon determination by the award recipient that funding under this award will be used to support such a contract, subaward, or other agreement, and prior to execution of any actions to facilitate the acquisition of such a contract, subaward, or other agreement, the award recipient shall contact ISPB, or the applicable Federal department or agency, for approval and processing instructions.

DHS Office of Security ISPB contact information:

Telephone: 202-447-5346

Email: DD254AdministrativeSecurity@dhs.gov

Mail: Department of Homeland Security
Office of the Chief Security Officer
ATTN: ASD/Industrial Security Program Branch
Washington, D.C. 20528

Failure to comply with these requirements may result in suspension of payments under the Agreement or termination of the Agreement or both and applicant may be ineligible for award of any future State agreements if the department determines that any of the following has occurred: the applicant has made false certification, or violated the certification by failing to carry out the requirements as noted above. (Gov. Code §8350 et seq.)

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective jurisdiction to the assurances and certifications listed above.

<i>Jurisdiction (Printed)</i>	
<i>By (Authorized Signature)</i>	
<i>Printed Name and Title of Person Signing</i>	
<i>Date Executed</i>	

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