



***Cal* E·M·A**

CALIFORNIA EMERGENCY  
MANAGEMENT AGENCY

**Fiscal Year 2011**

**EMERGENCY MANAGEMENT  
PERFORMANCE GRANT**

***Recipient Subgrant Guide for Tribal Nations***

**STATE OF CALIFORNIA**

**Edmund G. Brown Jr., Governor**

**CALIFORNIA EMERGENCY MANAGEMENT AGENCY**

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## **FOREWORD: ACTING SECRETARY'S MESSAGE**

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The California Emergency Management Agency (Cal EMA) is responsible for designing and implementing emergency management initiatives and ensuring that the state is ready to protect lives and property by effectively preparing for, preventing, responding to, and recovering from all threats, crimes, hazards, and emergencies.

As a result of working together under the Emergency Management Performance Grant (EMPG), we have made our communities safer and better prepared.

The allocation for the Native American Tribes is \$155,133, and will be distributed on a competitive basis.

This year, through the EMPG Program, we will promote the advancement of the “Whole Community” approach towards security and emergency management efforts. Efforts include approval of Emergency Operation Plans, completion of a Threat and Hazard Identification and Risk Assessment (THIRA), and the development and maintenance of Multi-Year Training and Exercise Plans (TEPS). Throughout the duration of the grant, Cal EMA’s program specialists and tribal coordinator will continue to be available to assist you in enhancing your emergency management programs and I encourage you to contact them for guidance and advice.

We have much work ahead of us as we continue to plan for both the expected and the unexpected. California continues to be recognized as a national leader in emergency management and the dedicated staff at Cal EMA will continue to work collaboratively with you to advance our combined efforts to benefit our communities.

To further our progress, I am pleased to present the Fiscal Year 2011 Emergency Management Performance Grant Recipient Subgrant Guide for Tribal Nations.



**MIKE DAYTON**  
Acting Secretary

## Section One: Subgrant Overview

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### Contents

This section contains the following:

- Purpose of this Subgrant
  - Eligible Subgrant Recipients
  - Purpose of this Subgrant Guide
  - Grant Management Memos
  - Performance Period
  - Matching Requirements
  - NIMS Compliance Requirement
  - How to Apply for Grant
  - Scoring Criteria
  - Scoring Legend
  - Allocations and Methodology
  - Tribe Responsibilities
  - Applicable Laws, Regulations, Guidance Documents and Websites
  - Environmental Historic and Planning Preservation (EHP)
  - Subgrant Timelines
-

## Section One: Subgrant Overview, continued

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**Purpose of this Subgrant** The purpose of the Fiscal Year 2011 Emergency Management Performance Grant (FY11 EMPG) is to support comprehensive emergency management at the state, tribal, and local levels and to encourage the improvement of mitigation, preparedness, response, and recovery capabilities 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. These funds are granted to the State; which in turn subgrants to the local jurisdictions. These jurisdictions are referred to as the “subgrantees”.

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**Eligible Subgrant Recipients** The eligible grant recipients are California’s federally-recognized Native American Tribes.

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**Purpose of this Recipient Subgrant Guide** This *Recipient Subgrant Guide* will provide the Tribal Nations with guidance and forms to apply for, perform, and closeout the FY11 EMPG subgrant. This *Guide* specifies the performance period, allocations, eligible activities, and other subgrant related information and requirements. This Guidance is to supplement the Department of Homeland Security FY11 EMPG Guidance and Application Kit, Section I, and DHS Grant Programs Directorate (GPD) Preparedness Grant Programs Guidance and Application Kit, Section II – Award Administration Information.

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**Grant Management Memos** Should any information about the subgrant change, Cal EMA will issue Grant Management Memos (GMMs) that communicate these changes. GMMs can be located at: [www.calema.ca.gov](http://www.calema.ca.gov).

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**Performance Period** The performance period for FY11 EMPG is September 1, 2011, through August 31, 2012.

Pending receipt of all valid application materials, subgrantees may request retroactive reimbursement of approved activities and/or budgeted items to the start of the performance period, as listed above.

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**Matching Requirements** The FY11 EMPG requires a 50 percent (Federal) 50 percent (Tribe) cost match. Thus, the Tribe must contribute, dollar-for-dollar, the same amount as they are awarded through the EMPG Program. This can be cash or in-kind. Please refer to 44 Code of Federal Regulations (CFR), 13.24, as well as 2 CFR 215.23 for specific details and Appendix H.

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**NIMS Compliance Requirement** In accordance with the 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.

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## Section One: Subgrant Overview, continued

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### How to Apply for Grant

Federally-recognized Native American Tribes interested in applying for FY11 EMPG funding must submit the required Notice of Interest (NOI) documents to Cal EMA, as directed on Page 41 of this document, by the submission deadline of **January 16, 2012**.

For further information and specific details regarding the NOI requirements and submission process see Section Five of this document.

Cal EMA will establish a panel that will review and rate the NOI submissions. After the ranking process is complete, the applicant or applicants that are identified from the NOI process to continue in the application process will be invited to submit a complete application packet. At which point, the grant process will no longer be competitive and the applicant(s) will be able to receive assistance from Cal EMA in the development of their complete grant application packet.

Further details regarding the complete grant application packet process can be found in Section Three of this document.

For further information regarding these or any other EMPG related processes, contact Program Specialist, Michael Bright, at [michael.bright@calema.ca.gov](mailto:michael.bright@calema.ca.gov).

## Section One: Subgrant Overview, continued

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### Scoring Criteria

The EMPG Program is a competitive grant with established scoring criteria. Subject to Cal EMA Executive staff discretion, subgrants may be awarded to the top-scoring Notice of Interest (NOI) submittal(s) until all the allocated funding is awarded. NOI submissions will be scored as follows:

- Is a description of the current emergency management system included? 4 points maximum
- Is a description of how this funding would improve the current emergency management system included? 4 points maximum
- Is the Standardized Emergency Management System/National Incident Management System (SEMS/NIMS) incorporated into the emergency management system? 4 points maximum
- Are the areas of coordination with city and/or county included? 4 points maximum
- Do the Emergency Management Performance Grant (EMPG) eligible activities (Planning, Training, Exercise, Organization, Management and Administrative (M&A), Emergency Operations Center (EOC) Construction/Renovation) match the activities proposed to be completed with the grant funds? 4 points maximum
- Do the associated tasks realistically explain how activities identified to occur within the performance period timeline are going to be accomplished? 4 points maximum
- Is each activity associated with a California Emergency Management Agency (Cal EMA) Objective? 4 points maximum
- Are specific details of how the cost sharing/match requirement will be met included? 4 points maximum
- Are details included of how the required EMPG Program-funded personnel's training and exercise requirements will be met; including the development of a Multi-Year Training and Exercise Plan (TEP)? 4 points maximum
- Is a list of equipment to be purchased, number of items, and Authorized Equipment List (AEL) Numbers and Titles included? 4 points maximum
- Is a breakdown of proposed funding by solution area identified in the provided matrix? 4 points maximum
- Have all required Notice of Interest (NOI) documents, both the Investment Justification and Detailed Budget Sheet, with all applicable areas completed, been submitted? 4 points maximum

## Section One: Subgrant Overview, continued

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**Scoring Legend** The scoring legend, identified below, will be utilized for the scoring of NOI submissions.

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<b>Scoring Legend</b>		
0 Points	ABSENT	The response does not address the specific question or a response was not provided.
1 Point	UNSATISFACTORY	The response is incomplete and does not completely address the question. The information presented does not provide a good understanding of applicant's intent, does not give the detailed information requested of the applicant, and/or does not adequately support the proposal or the intent of the program.
2 Points	SATISFACTORY	The response addresses the question and provides a good understanding of the applicant's intent. The response adequately supports the proposal and the intent of the program.
3 Points	ABOVE AVERAGE	The response is above average and provides a clear and detailed understanding of the applicant's intent. The response presents a persuasive argument that supports the proposal and the intent of the program.
4 Points	EXCELLENT	The response is outstanding, with clear, detailed and relevant information. The response presents a compelling argument that supports the proposal and the intent of the program.

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### **Allocations and Methodology**

California will subgrant a total of \$155,133 to Tribes and Tribal Nations that will be distributed on a competitive basis. 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, *E-1: City/County Population Estimates with Annual Percent Change*.

This report can be accessed at the following website:

<http://www.dof.ca.gov/research/demographic/reports/estimates/e-1/view.php>

The data for January 1, 2011, was used for calculating allocations as it has the latest figures available at this time. A complete listing of the allocations for the FY11 EMPG can be found in Appendix A.

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## Section One: Subgrant Overview, continued

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### **Tribal Responsibilities**

The Tribe's responsibilities are to:

1. Submit a Financial Management Forms Workbook, as well as other required application packet documents to Cal EMA by February 28, 2012.
  2. Comply with all assurances and certifications contained in the Grant Assurances submitted with the FY11 EMPG application. In addition, if the Tribe subgrants funds to other entities, their subgrant agreements/contracts must also include these same assurances and certifications along with any local requirements.
  3. Prepare Performance Reports for the duration of the performance period. Further reporting details are included in Section Four, Performance Period Activities, under "Performance Reports."
  4. Maintain financial management systems that support subgrant activities in accordance with 44 CFR Part 13.20.
  5. Submit revision requests to Cal EMA prior to incurring any associated expenditures; if changes are required after the initial subgrant award. Further details are included in Section Four, Performance Period Activities, under "Revision Requests."
  6. Remit unexpended subgrant funds to Cal EMA after all work has been completed and reimbursements have been disbursed.
  7. Maintain property, programmatic, and financial records in accordance with the grant record retention requirements. Further details on the retention requirement are contained in Section Four, Performance Period Activities, under "Record Retention Requirements."
  8. Comply with the audit requirements contained in Office of Management and Budget (OMB) Circular A-133, and Title 44 CFR, Part 13.26.
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## Section One: Subgrant Overview, continued

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### Applicable Laws, Regulations, Guidance Documents and Websites

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

- Robert T. Stafford Disaster Relief and Emergency Assistance Act as amended.
- Office of Management and Budget (OMB) Circulars A-87, A-102, A-133 <http://www.whitehouse.gov/omb/circulars/index.html>
- California Emergency Services Act, Chapter 7 of Division 1 of Title 2 of the Government Code - Provides the legal basis for Emergency Management activities in California. Government Code Section 8607 describes the Standardized Emergency Management System.
- *Recipient Subgrant Guide for Tribal Nations* provided by Cal EMA.

The following documents produced and distributed by Cal EMA can be used as additional resources. They can be found on the Cal EMA website at: [www.calema.ca.gov](http://www.calema.ca.gov).

- Local Emergency Planning Guidance
- State Emergency Plan
- SEMS/NIMS Regulations
- Cal EMA Strategic Plan – 2010-2015

### Environmental Historic and Planning Preservation (EHP)

The Federal Emergency Management Agency (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 via FEMA's EHP Review. Grantees must comply with all applicable EHP laws, regulations, and Executive Orders (EOs) in order to draw down their EMPG Program grant funds. Any project with the potential to impact natural or biological resources or historic properties or involves Emergency Operations Center construction and renovation cannot be initiated until FEMA has completed the required Environmental Planning and Historic Preservation (EHP) review.

Subgrantees that implement projects prior to receiving EHP approval from FEMA risk de-obligation of funds. Subgrantees who are proposing communication tower projects are encouraged to complete their Federal Communication 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.

Furthermore, for those proposed construction or renovation projects that are part of larger projects funded from a non-FEMA source (such as an EOC that is part of a larger proposed public safety complex), a FEMA EHP review must be complete before the larger project is initiated. For these types of projects, grantees must complete the FEMA EHP Screening Form (OMB Number 1660-0115/FEMA Form 024-0-01) and submit it, with all supporting documentation, to Cal EMA.

Subgrantees should submit the FEMA EHP Screening Form for each project as soon as

## Section One: Subgrant Overview, continued

### Environmental Historic and Planning Preservation (EHP) - continued

possible upon receiving their grant award. Refer to IBs 329, 345, 356, and 371 located at: <http://www.fema.gov/government/grant/bulletins/index.shtm> and *Section II, Part I.B.5.5.6* for further details on EHP requirements.

Please forward completed EHP documents electronically to the appropriate Cal EMA Regional Office. After Regional Office review, the EHP document will be forwarded to the appropriate Cal EMA Office of Grants Management Program Specialist. The following activities would not require the submission of the FEMA EHP Screening Form: planning and development of policies or processes; management, administrative or personnel actions; classroom-based training; table top exercises; and acquisition of mobile and portable equipment (not involving installation). No projects initiated after August 29, 2008, without proper EHP review will be funded. Projects that were initiated or completed before an EHP review was concluded and used EMPG Program funds will be de-obligated. To avoid unnecessary delays in starting a project, grantees are encouraged to pay close attention to the reporting requirements for an EHP review.

In an attempt to further streamline the EHP review process, the GPD-EHP team has simplified and shortened the EHP Screening Form. A copy of the revised EHP Screening Form can be downloaded from:

[http://www.fema.gov/doc/government/grant/bulletins/info329\\_final\\_screening\\_memo.docx](http://www.fema.gov/doc/government/grant/bulletins/info329_final_screening_memo.docx).

### Subgrant Timelines

<b>September 1, 2011</b>	Subgrantee Performance Period Begins.
<b>December 15, 2011</b>	FY11 EMPG Recipient Subgrant Guide for Tribal Nations Released.
<b>January 16, 2012</b>	Interested Tribe's must submit Notice of Interest (NOI) to Cal EMA.
<b>January 24, 2012</b>	Cal EMA will complete a thorough review of NOI submissions; this includes reading, rating, and ranking.
<b>January 31, 2012</b>	Tribe(s) will be notified of their NOI being selected for funding and instructed to complete the application process.
<b>February, 28, 2012</b>	The selected Tribe(s) will submit to Cal EMA their completed application packet to be processed by the Cal EMA Office of Grants Management (OGM).
<b>March 7, 2012</b>	Cal EMA OGM will review and process submitted FY11 EMPG Tribal application packet(s).
<b>March 15, 2012</b>	Tribe(s) will be notified of their application's approval and its corresponding award of funds.
<b>April 16, 2012</b>	A Performance Report is due to the Cal EMA for the period September 1, 2011 through March 31, 2012.
<b>August 31, 2012</b>	Subgrantee Performance Period Ends. All subgrant activities must be completed and all funds disbursed.
<b>August 31, 2012</b>	A final Performance Report is due to the appropriate Cal EMA Program Specialist summarizing the entire year's activities.  A final Reimbursement Request is due to the appropriate Cal EMA Program Specialist.
<b>September 30, 2012</b>	Cal EMA's Federal Performance Period Ends.

## Section Two: Program Specific Information

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### Contents

This section contains the following:

- What's New?
  - Acting Secretary's Emphasis
  - Federally Mandated Objectives
  - Eligible Activities
    - Management and Administration
    - Planning
    - Organization
    - Equipment
      - 1122, 1033, and Homeland Defense Equipment Reuse (HDER) Programs
    - Training
    - Exercises
    - Construction and Renovation
      - Subcontractors
    - Maintenance and Sustainment
  - Unallowable Costs
  - Excluded Parties List System (EPLS)
  - Supplanting
-

## Section Two: Program Specific Information, continued

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### What's New?

- Financial Management Forms Workbook (FMFW) V 1.11 will now be used for the application process, revision requests, and reimbursement requests.
  - Federal Objectives have been added to the Performance Reports.
  - For FY11 EMPG, subgrantees are allowed to withhold up to five percent for Management and Administration (M&A) purposes.
  - FY11 EMPG reimbursement requests are now required to be submitted, at a minimum, on a quarterly basis. However; subgrantees are allowed to submit them as frequently as monthly.
- 

### Acting Secretary's Emphasis

Listed below are the key areas the State will be focusing on in the EMPG Program. Tribes are strongly encouraged to focus on these activities as well.

- **Information Management Technology and Process:** Tribes are encouraged to participate with Cal EMA in a Feasibility Study Review to develop a new emergency information management system (technology and process).
- **Emergency Responder Credentialing Program:** Participation in a Regional Emergency Managers Mutual Aid (EMMA) exercise is strongly encouraged.
- **Alert & Warning:** Counties should assess their ability to notify cities within their jurisdiction and, in turn, the cities' ability to notify their citizens, of imminent or actual emergencies where a warning would give sufficient additional time for action and increase safety.
- **Functional Needs:** Evacuation and sheltering requirements of the Tribe's functional needs population should be addressed. Tribes should recognize the need to identify, transport, and provide required medical or supportive care to people with physical, sensory, cognitive, language, or economic limitations that must be evacuated or sheltered during a disaster.
- **Mass Evacuation:** Tribes must evaluate their ability to move a large and demographically diverse group of people within a short time period to a safe location within their own county and/or an adjoining county. Under extreme catastrophic events, this distance may not be far enough to provide the expected level of protection. If necessary, plans should be developed or revised to address this issue.

## Section Two: Program Specific Information, continued

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### Acting Secretary's Emphasis - continued

- **Care and Sheltering:** In the event of a mass evacuation, the need to temporarily feed, shelter, and provide basic hygienic and medical support becomes an issue that Tribes will also have to address. Another consideration in this area will be the need to shelter-in-place and ensuring that the Tribe's population is prepared to remain in their homes and/or places of business for multiple days at a time.
- **Planning:** Review and revise the jurisdiction's Emergency Operations Plan in accordance with the schedule established in the plan, and submit the revised plan to Cal EMA Regions at least every three years for their review according to published emergency plan criteria.
- **Exercises:** Tribes should participate in disaster exercises that test the jurisdiction's emergency plan, emergency facilities and equipment; prepare After Action Reports identifying corrective actions; and take appropriate action to implement recommended corrective actions.
- **Regional Catastrophic Planning:** Where it is likely that a disastrous event could involve more than one Tribe, Tribes should be expanding their catastrophic event planning to include their neighboring jurisdictions and federal, state, and private entities.
- **Continuity of Operations (COOP) and Continuity of Government (COG) Planning:** Tribes should review and revise their current plan as necessary.

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### Federally Mandated Objectives

#### Priority for FY11

**Advancing "Whole Community" Security and Emergency Management.** As the country experiences threats of terrorist attacks (foreign and domestic) and natural disasters, communities are challenged to develop collective, local abilities to withstand the potential impacts of these events, respond quickly, and recover in a way that sustains or improves the community's overall well-being. Achieving this collective capacity calls for innovative approaches across the community, including emergency management to build up existing practices, institutions, and organizations that help make local communities successful, and that can leverage this infrastructure if and when an incident occurs.

#### ***Whole Community Priority Objectives and Performance Measures:***

To address the priority, four objectives have been identified and each is given a performance measure and associated reporting requirement to determine how effective subgrantees are in utilizing EMPG Program funding to prepare for all hazards and advance a whole community approach. With these measures, subgrantees must evaluate their progress toward achieving the stated objective in the quarterly EMPG Performance Report and in compliance with the below reporting requirements.

## Section Two: Program Specific Information, continued

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Federally  
Mandated  
Objectives -  
continued

**Please note that Objectives One and Two only apply to the State Agency, Cal EMA; whereas, Objectives Three and Four apply to Cal EMA and the subgrantees (Operational Areas/Tribe's). Therefore, the Tribes only need to complete Objectives Three and Four.**

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### **Objective One: Approved Emergency Plans.**

The Comprehensive Preparedness Guide (CPG) 101 v.2 September 2010 helps planners at all levels of government in their efforts to develop and maintain viable all-hazards, all-threats Emergency Operations Plans (EOPs) by engaging the whole community in thinking through the life cycle of a potential crisis, determining required capabilities, and establishing a framework for roles and responsibilities. Cal EMA has the responsibility to comply with this objective.

**This objective does not apply to the Operational Areas / Tribe's.**

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### **Objective Two: Completion of Threat and Hazard Identification and Risk Assessment (THIRA).**

THIRA processes at all levels of government establish a foundation to justify and guide preparedness activities and investments. A common approach to that process will enable the whole community to maintain a baseline understanding of the risks that they face, facilitating efforts to identify capability and resource gaps, focus capability improvements, and inform the community of actions they can take to manage their risks. Cal EMA shall develop and maintain a THIRA.

**This objective does not apply to the Operational Areas / Tribe's.**

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### **Objective Three: Develop and Maintain Multi-Year Training and Exercise Plans (TEPs).**

The Multi-year TEP provides a roadmap to accomplish the priorities described in the Homeland Security Strategy. Engaging the Whole Community in training and exercises allows all partners to evaluate and improve upon their level of preparedness. Cal EMA is required to conduct an annual Training and Exercise Plan Workshop (TEPW). All subgrantees are required to develop a Multi-Year TEP and update it annually. The Multi-Year TEP shall cover a two- to five-year period. Subgrantees are not required to submit a TEP if their entire EMPG funding is being used 100 percent for equipment. The TEP must be submitted to your Cal EMA Exercise Division POCs listed on Page 14.

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## Section Two: Program Specific Information, continued

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### Federally Mandated Objectives - continued

Specifically, TEPs should include the following requirements:

All EMPG Program-funded personnel shall participate in no less than three exercises in a 12-month period. EMPG Program-funded personnel are any personnel paid at any percentage with EMPG funding. This includes M&A and contracted staff paid for by EMPG Program funds, as well as any staff whose salaried positions are used to meet the cost share/match requirement for this grant. 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., Drills, Tabletop Exercises, or Functional) within the performance period (see <https://hseep.dhs.gov>). See Exercise section below for more information on the types of eligible exercises.

In addition, an After Action Report/Improvement Plan (AAR/IP) must be completed by the host for each EMPG-funded exercise and submitted to FEMA and your program specialist within 90 days. Please ensure the AAR/IP document is encrypted (password protected) and the password is also sent to [hseep@dhs.gov](mailto:hseep@dhs.gov) and your program specialist via a separate e-mail. 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).

A copy of the AAR/IPs must be e-mailed to your program specialist, as identified below:

- EMPG Program Specialist - Michael Bright: [michael.bright@calema.ca.gov](mailto:michael.bright@calema.ca.gov).

TEPs must be submitted to Cal EMA. TEPs should be e-mailed to Cal EMA Exercise Division POCs (listed below) no later than August 31st each year (this gives Cal EMA enough time to roll the Operational Area/Tribe’s TEPs into the State’s TEP).

- Southern Region OAs – Rich Mifsud: [richard.mifsud@calema.ca.gov](mailto:richard.mifsud@calema.ca.gov)
- Coastal Region OAs – Kevin Leisher: [kevin.leisher@calema.ca.gov](mailto:kevin.leisher@calema.ca.gov)
- Inland Region OAs – Sharon Avery: [sharon.avery@calema.ca.gov](mailto:sharon.avery@calema.ca.gov)

Furthermore, all subgrantees are also required to submit, with their Performance Report, on a one time basis, a copy of the Tribe’s Multi-Year TEP (i.e., the training and exercise plan calendar).

Additional information and guidance related to AAR/IPs and the NEP Base Plan can be found on the HSEEP website at <https://hseep.dhs.gov>. Questions regarding HSEEP guidance may be directed to [HSEEP@dhs.gov](mailto:HSEEP@dhs.gov). For HSEEP Toolkit technical support, contact the HSEEP helpdesk at [support@hseep.net](mailto:support@hseep.net) or (877) 612-4357.

## Section Two: Program Specific Information, continued

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### Federally Mandated Objectives - continued

#### Subgrantee Requirements:

1. All subgrantees are required to develop a Multi-Year Training and Exercise Plan (TEP). The Multi-Year TEP should encompass two-to-five years. However, at a minimum, EMPG required TEPs must cover a two-year period (24 consecutive months).
2. All subgrantees are required to update their Multi-Year TEP annually.
3. The TEP must be submitted to the Cal EMA Exercise Division POCs, as aforementioned.
4. All EMPG Program-funded personnel shall participate in no less than three exercises in a 12-month period. Real world events do not count toward meeting this requirement.
5. An After Action Report/Improvement Plan (AAR/IP) must be completed by the host of each EMPG-funded exercise and submitted to [hseep@dhs.gov](mailto:hseep@dhs.gov) and CC a copy to your program specialist within 90 days after the completion of an exercise.
6. The AAR/IP must be encrypted (password protected) and e-mailed to [hseep@dhs.gov](mailto:hseep@dhs.gov) and your program specialist. The password must be sent on a separate e-mail.
7. A summary of all collected corrective action items and a tracking of their implementation shall be reported as part of the EMPG quarterly reporting.

#### Measurement Method:

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

#### Reporting:

- Subgrantees must report quarterly, in the EMPG Performance Report, the percentage completed of the exercise requirements for the EMPG-funded personnel.
  - Subgrantees must submit AAR/IPs for each EMPG-funded exercise, if the exercise is hosted by the subgrantee. AAR/IPs will be completed by the host of the exercise. Participants do not have to individually complete an AAR/IP.
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## Section Two: Program Specific Information, continued

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### Federally Mandated Objectives - continued

#### Objective Four: Target Training and Verify Capability of Personnel.

1. Training activities supported with EMPG Program funds should strategically align to a target capability identified in the Multi-Year TEP.
2. To ensure the development of a professional emergency management workforce all EMPG Program-funded personnel shall complete the following 11 training requirements and record proof of completion no later than **August 31, 2012**:

#### National Incident Management System (NIMS) Training:

IS 100 Introduction to Incident Command System  
IS 200 ICS for Single Resources and Initial Action Incident  
IS 700 National Incident Management System, An Introduction  
IS 800 National Response Framework, An Introduction

#### FEMA Professional Development Series:

IS 139 Exercise Design  
IS 230.b Fundamentals of Emergency Management  
IS 235.a Emergency Planning  
IS 240.a Leadership and Influence  
IS 241.a Decision Making and Problem Solving  
IS 242.a Effective Communication  
IS 244.a Developing and Managing Volunteers

Please note: The “G” course series equivalents can be used as an alternate to satisfy the training requirements outlined above. Also, classroom-based equivalents to the above training courses may be used to satisfy the requirement. Furthermore, past completion of the above courses (or qualifying equivalent) is considered acceptable in meeting this requirement; such as, having completed IS 230.a, which was replaced by IS 230.b. However, recorded proof of completion (source documentation), such as certificates of completion, must exist and be kept on file by the subgrantee and be made available for review/verification upon request.

The above 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.asp>

<http://training.fema.gov/emiweb/PDS/>

EMPG-funded personnel are any personnel paid at any percentage with EMPG Program funds. This includes M&A staff, as well as contracted personnel funded by EMPG Program funds.

## Section Two: Program Specific Information, continued

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### Measurement Method:

- Submission to Cal EMA of an updated Multi-Year TEP to address the above requirements.
- Percent of EMPG Program-funded personnel completing the previously identified 11 required training courses.

### Reporting:

Subgrantees are required to share with Cal EMA, 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 EMA's Exercise Division POC.

- Submission of a list of EMPG-funded personnel along with the training completed is to be included in the EMPG Program quarterly reporting.
- Quarterly reporting of the implementation of TEP, including percent addressed, should be included in the EMPG Performance Report.

### Eligible Activities

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### **MANAGEMENT AND ADMINISTRATIVE (M&A) COSTS**

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

M&A costs are allowable for Tribes. Tribes may retain and use up to *Five percent of their subaward* from the State for Tribe M&A purposes.

M&A costs include the following categories of activities:

- Hiring of full-time or part-time staff or contractors/consultants:
  - To assist with the management of EMPG funds, and
  - To assist with design, requirements, and implementation of the EMPG Program.
- Hiring of full-time or part-time staff or contractors/consultants and expenses related to:
  - Meeting compliance with reporting/data collection requirements, including data calls.
- Development of operating plans for information collection and processing necessary to respond to FEMA data calls.
- Travel expenses directly related to management and administration of EMPG Program funds.
- Meeting-related expenses directly related to management and administration of EMPG Program funds.

## Section Two: Program Specific Information, continued

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### Eligible Activities - continued

- Acquisition of authorized office equipment, including personal computers, laptop computers, printers, LCD projectors, and other equipment or software which are used primarily by the M&A staff in their implementation of their assigned EMPG specific M&A activities.
- The following are allowable only within the period of performance of the grant program:
  - Recurring fees/charges associated with certain equipment, such as cell phones, faxes, etc., which are directly related to management and administration of FY11 EMPG Program funds; and
  - Leasing and/or renting of space for newly hired personnel to administer EMPG Program funds.

### PLANNING

FY11 EMPG funds may be used for a range of emergency management planning activities. Planning provides a methodical way to engage the whole community in thinking through the life cycle of potential crises, determining required capabilities, and establishing a framework for roles and responsibilities. Planning must include participation from all stakeholders in the community who are able to contribute critical perspectives and may have a role in executing the plan. Planning should be flexible enough to address incidents of varying types and magnitudes.

Planning activities may include, but are not limited to, the following:

- Community-based planning to advance “Whole Community” security and emergency management;
- Development of a THIRA that reflects a representative make up and composition of the jurisdiction;
- Acquisition of critical emergency supplies, such as shelf stable food products, water, and basic medical supplies (requires each Tribe to have FEMA’s approval of a viable inventory management plan; an effective distribution strategy; sustainment costs for such an effort; and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning);
- Disaster housing planning, such as creating/supporting a state disaster housing task force and developing/enhancing state disaster housing plans;
- Modifying existing incident management and emergency operations plans to ensure proper alignment with the National Incident Management System (NIMS) and National Response Framework (NRF) coordinating structures, processes, and protocols;
- Developing/enhancing comprehensive emergency management plans;
- Conducting a hazard analysis and risk assessment prior to mitigation plan development;
- Developing/enhancing all-hazards mitigation plans;
- Developing/enhancing large-scale and catastrophic event incident plans;
- Developing/enhancing comprehensive emergency management plans;
- Conducting a hazard analysis and risk assessment prior to mitigation plan development;
- Developing/enhancing all-hazards mitigation plans;

## Section Two: Program Specific Information, continued

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### Eligible Activities - continued

- Developing/enhancing large-scale and catastrophic event incident plans;
- Developing/enhancing COOP/COG plans Developing/enhancing logistics and resource management plans;
- Developing/enhancing evacuation plans, including alerts/warning, crisis communications, sheltering, and re-entry;
- Developing/enhancing financial and administrative procedures for use before, during, and after disaster events in support of a comprehensive emergency management program;
- Public education and awareness;
- Public-Private sector partnerships;
- Developing/enhancing other response and recovery plans;
- Developing/enhancing emergency management and operations plans to integrate citizen/volunteer and other non-governmental organization resources and participation;
- Program evaluations;
- Mass evacuation planning and pre-positioning of equipment for areas potentially impacted by mass evacuations;
- Supply preparation; and
- Pre-event recovery plans/response and mitigation plans in coordination with state and local government (including tribal governments, rural water associations, and chief information officers).

In support of efforts by Tribes to improve their preparedness programs, program evaluations are allowable planning costs. Program evaluations provide valuable information regarding a program's outcomes, efficiency, and effectiveness. Beyond financial audits and program monitoring, evaluations can help managers track progress and demonstrate performance by quantitatively measuring the results of programs.

The purchase of critical emergency supplies (such as shelf stable food products, water, and basic medical supplies), first identified as an allowable expense under the FY09 EMPG Program, will continue to be allowable expenses in the FY11 program. The consideration of critical emergency supplies under this program will continue indefinitely unless otherwise noted. As noted in FY09, each Tribe must have Cal EMA's approval of a viable inventory management plan, an effective distribution strategy, sustainment costs for such an effort, and logistics expertise to avoid wasted funding, causing supplies to be rendered ineffective, due to a lack of planning.

### **ORGANIZATION**

Per the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, (Public Law 93-288), as amended, 42 U.S.C. 5121-5207, EMPG 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. Proposed staffing activities should be linked to achieving goals outlined in the EMPG FMFW. To ensure that adequate resources are dedicated to the critical components of preparedness, subgrantees 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 funds. These costs must comply with 2 CFR Part 225, *Cost Principles for State, Local, and Indian*

## Section Two: Program Specific Information, continued

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### Eligible Activities - continued

*Tribal Governments (OMB Circular A-87).* Proposed personnel costs should be linked to achieving objectives outlined in your FMFW.

### **EQUIPMENT**

Allowable equipment categories for EMPG are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), which is sponsored by FEMA at <http://www.rkb.us>. 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)
- Medical Equipment (Category 9)
- Power Equipment (Category 10)
- Chemical, Biological, Radiological, Nuclear, Explosive 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 (such as sports utility 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 Program Specialist for clarification.

Subgrantees that are using FY11 EMPG Program funds to support emergency communications activities should comply with the *FY11 SAFECOM Guidance for Emergency Communication Grants*, including provisions on technical standards that ensure and enhance interoperable communications. Emergency communications activities include the purchase of Interoperable Communications Equipment and technologies such as voice-over-internet protocol bridging or gateway devices, or equipment to support the build out of wireless broadband networks in the 700 MHz public safety band (“D” Block) under the Federal Communications Commission Waiver Order. SAFECOM guidance can be found at <http://www.safecomprogram.gov>.

Subgrantees interested in developing a public safety broadband network in the 700 MHz band in their jurisdictions must adhere to the technical standards set forth in the FCC Waiver

## Section Two: Program Specific Information, continued

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**Eligible  
Activities -  
continued**

Order, or any succeeding FCC orders, rules, or regulations pertaining to broadband operations in the 700 MHz public safety band.

If any future regulatory requirement (from the FCC or other governmental entity) results in a material technical or financial change in the project, the recipient must submit a revised budget, associated documentation, and other material, as applicable, for review and approval by the Statewide Interoperability Coordinator (SWIC), or SWIC equivalent. Upon approval by the SWIC, the grantee shall then forward the approval and associated documentation to Cal EMA's Office of Grants Management (OGM). The recipient shall also ensure projects support the Statewide Communication Interoperability Plan (SCIP) and are fully coordinated with the full-time SWIC in the state of the project.

Subgrantees are required to provide the AEL number for all communications equipment purchased with grant award funding (plus a description of the equipment and the quantity purchased of each item) to Cal EMA once items are procured as part of periodic programmatic grant reporting.

## Section Two: Program Specific Information, continued

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### 1122, 1033, and HDER Procurement Programs

#### **California Public Safety Procurement Program:**

Tribes should consider taking advantage of the 1033 and/or the 1122 Procurement Programs available through Cal EMA for equipment needs. These programs offer significant savings and access to free Federal surplus for public safety agencies.

#### **1122 Program:**

The 1122 Program is a federal program authorized through the National Defense Authorization Act which allows state and local governmental agencies to purchase equipment and supplies suitable for Counter Drug, Homeland Security and Emergency Response activities from three separate federal sources. They are the Defense Logistics Agency, the Department of the Army, and the General Services Administration. This program affords state and local agencies the opportunity to take advantage of discounts available to the Federal Government due to its large volume purchases. By using this system, agencies are able to maximize their budget/grant dollars. Contact: Cathy Vigil [Cathy.Vigil@calema.ca.gov](mailto:Cathy.Vigil@calema.ca.gov), at (916) 324-8578; or Barrett Benson [Barrett.Benson@calema.ca.gov](mailto:Barrett.Benson@calema.ca.gov), at (916) 324-9161 for more information.

#### **1033 Program:**

The National Defense Authorization Act authorizes the Secretary of Defense to transfer excess Department of Defense personal property to federal, state, and local Law Enforcement Agencies at no cost other than shipping. Contact: Russ Gibson [Russ.Gibson@calema.ca.gov](mailto:Russ.Gibson@calema.ca.gov), at (916) 323-1453; Stephene Carrington [Stephene.Carrington@calema.ca.gov](mailto:Stephene.Carrington@calema.ca.gov), at (916) 324-6712; or Christlene Villefranche [Christlene.Villefranche@calema.ca.gov](mailto:Christlene.Villefranche@calema.ca.gov), at (916) 323-9171; for more information about the procurement process. Please contact them to find out if your agency is already participating. Visit them on the Cal EMA Website under the Public Safety Procurement Branch.

#### **Homeland Defense Equipment Reuse (HDER) Program:**

The Homeland Defense Equipment Reuse (HDER) program is a partnership between the U.S. Department of Homeland Security and the U.S. Department of Energy, serving state and local emergency responder communities. The mission of the HDER Program is to provide emergency responder agencies nationwide access to an inventory of items that are no longer needed by the Federal Government. Items are refurbished and provided at no cost to the recipient. Provision of items helps ensure that emergency responders are equipped to properly detect, prevent, respond to, and recover from a national security threat. For further information or to sign up for this program, go to <http://hder.oro.doe.gov/>.

## Section Two: Program Specific Information, continued

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### Eligible Activities - continued

### TRAINING

EMPG 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). Further guidance concerning the Training and Exercise Plan can be obtained by consulting your Cal EMA Exercise Division POC, as identified on Page 14.

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. All EMPG Program-funded personnel shall participate in no less than three exercises in a 12-month period and shall complete the training requirements listed on Page 16 and record proof of completion.

In addition to the required training, types of training 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; and
- Mass evacuation training at local, state, and tribal levels.

Allowable training-related costs include the following:

- **Funds used to develop, deliver, and evaluate training** – Includes costs related to administering the training: planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment.
- **Overtime and Backfill** – Overtime costs which are the direct result of attendance at FEMA and/or approved training courses and programs are allowable. Overtime payments related to backfilling personnel who have been sent to training are also allowable, but only for the marginal added cost to the grantee of having to pay overtime instead of regular time. The grantee must maintain financial responsibility for the regular time portion of backfill costs. 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 the awarding agency, 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 pm to 5:00 pm), 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 approved training.

## Section Two: Program Specific Information, continued

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### Eligible Activities, continued

- **Hiring of Full- or Part-Time Staff or Contractors/Consultants** – Full- or part-time staff 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 awarding agency, whichever is applicable.
- **Certification/Re-certification of Instructors** – Costs associated with the certification and re-certification of instructors are allowed. Tribes 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.

Subgrantees who are utilizing EMPG Program funding to pay for training activities are required to have a training request (feedback/tracking) number within 30 days of a training event. Training request (feedback/tracking) numbers are obtained from the Cal EMA Training Division.

For further information regarding this requirement and specific details on how to obtain a training request (feedback/tracking) number click on this link: <http://www.calema.ca.gov/EMS-HS-HazMat/Pages/Emergency-Management-Performance-Grant-Documents.aspx>, and click on the “How to Obtain a Training Feedback Number” link under EMPG Reference Links on the bottom of the EMPG webpage.

### **EXERCISES**

Exercises implemented with grant funds should evaluate performance of the capabilities required to respond to the exercise scenario. Exercise activities should align to a current, Multi-Year TEP. Further guidance concerning the Training and Exercise Plan can be obtained by consulting your Cal EMA Exercise Division POC, as identified on Page 14. Subgrantees are encouraged to develop exercises that test their Emergency Operations Plans in accordance with the following allowable exercise related costs.

#### Exercise Types:

There are seven types of exercises defined within HSEEP, each of which is either discussion-based or operations-based.

Discussion-based Exercises familiarize participants with current plans, policies, agreements, and procedures, or may be used to develop new plans, policies, agreements, and procedures.

#### Types of Discussion-based Exercises include:

Seminar. A seminar is an informal discussion, designed to orient participants to new or updated plans, policies, or procedures (e.g., a seminar to review a new Evacuation Standard Operating Procedure).

## Section Two: Program Specific Information, continued

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### Eligible Activities, continued

Workshop. A workshop resembles a seminar but is employed to build specific products, such as a draft plan or policy (e.g., a Training and Exercise Plan Workshop is used to develop a Multi-Year Training and Exercise Plan).

Tabletop Exercise (TTX). A tabletop exercise involves key personnel discussing simulated scenarios in an informal setting. TTXs can be used to assess plans, policies, and procedures.

Games. A game is a simulation of operations that often involves two or more teams, usually in a competitive environment, using rules, data, and procedures designed to depict an actual or assumed real-life situation.

Operations-based Exercises validate plans, policies, agreements and procedures; clarify roles and responsibilities; and identify resource gaps in an operational environment.

Types of Operations-based Exercises include:

Drill. A drill is a coordinated, supervised activity usually employed to test a single specific operation or function within a single entity (e.g., a fire department conducts a decontamination drill).

Functional Exercise (FE). A functional exercise examines and/or validates the coordination, command, and control between various multi-agency coordination centers (e.g., emergency operation center, joint field office, etc.). A functional exercise does not involve any "boots on the ground" (i.e., first responders or emergency officials responding to an incident in real time).

Full-Scale Exercises (FSE). A full-scale exercise is a multi-agency, multi-jurisdictional, multi-discipline exercise involving functional (e.g., joint field office, emergency operation centers, etc.) and "boots on the ground" response (e.g., firefighters decontaminating mock victims).

Allowable exercise-related costs include:

- **Implementation of Homeland Security Exercise and Evaluation Program (HSEEP)** – This refers to costs related to developing and maintaining a self-sustaining State Homeland Security Exercise and Evaluation Program which is modeled after the national HSEEP.
- **Funds Used to Design, Develop, Conduct, and Evaluate an Exercise** – Includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation.
- **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 the awarding agency, whichever is applicable. The services of contractors/consultants may also be procured to support the design, development, conduct, and evaluation of exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.

## Section Two: Program Specific Information, continued

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### Eligible Activities, continued

- **Overtime and Backfill** – Overtime costs which are the direct result of time spent on the design, development, and conduct of exercises are allowable expenses. Overtime payments related to backfilling personnel who have been sent to exercises are also allowable but only for the marginal added cost to the grantee of having to pay overtime instead of regular time. The grantee must maintain financial responsibility for the regular time portion of backfill costs. 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 the awarding agency, 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 pm to 5:00 pm), 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 project(s).
- **Supplies** – Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment).
- **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 (e.g., portable toilets, tents), and the procurement of gasoline, exercise signs, badges, and other essential nondurable goods. The only vehicle costs that are reimbursable are fuel/gasoline or mileage. Grantees are encouraged to use free public space/locations, whenever available, prior to the rental of space/locations.

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)
- 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**

FEMA recognizes that an updated, functioning Emergency Operations Center (EOC), accessible to and usable by individuals with disabilities, is a core component of an effective emergency management system. Therefore, construction and renovation activities for a state, local, or tribal government's principal EOC are allowable under EMPG. Allowable costs for EOC construction and renovation are consistent with the FY11 EOC Grant Program. In addition, EOCs may use up to \$1,000,000 for construction projects or up to \$250,000 for renovation projects. However, the match requirement for EOC construction and renovation with EMPG funding is 50 percent federal and 50 percent grantee.

## Section Two: Program Specific Information, continued

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### Eligible Activities, continued

“Construction,” as defined in this program, refers to building a new facility or any changes to the footprint of an existing facility. “Renovation” refers to internal improvements to an “existing facility.”

FY11 EMPG subgrant recipients using funds for construction projects must comply with the Davis-Bacon Act. Subgrant recipients must ensure that their contractors or subcontractors for construction projects pay workers employed directly at the worksite no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor wage determinations, is available from the following website: <http://www.dol.gov/esa/programs/dbra/>.

In order for subgrant recipients to draw down funds for limited EOC construction and renovation projects under EMPG, subgrantee recipients must provide to Cal EMA the following:

- A description of the EOC facility, location, and the scope of the construction or renovation project;
- A certification that an assessment has been conducted to identify EOC needs regarding such issues as the facility, communications capability, computer systems and network capabilities, survivability, and sustainability;
- A description of how the construction or renovation project will address the needs identified from the assessment;
- Consequences of not implementing the construction or renovation project;
- A NEPA Compliance Checklist.

### **Written approval must be obtained by Cal EMA from FEMA prior to the use of any EMPG funds for EOC construction or renovation.**

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 under the FY11 EMPG Program should pay special attention to the EHP requirements contained in *GPD Preparedness Grant Programs Guidance Section II, Part I.B.5.5.6*. No projects initiated after August 29, 2008 without proper EHP review will be funded. Projects using EMPG Program funds that were initiated or completed before an EHP review was concluded will be disapproved and funds will be de-obligated. To avoid unnecessary delays in starting a project, subgrantees are encouraged to pay close attention to the reporting requirements for an EHP review. For more information on FEMA’s EHP requirements, subgrantees should refer to Section One, Page 8, Environmental Historic and Planning Preservation, of this document. Failure of a grant recipient to meet these requirements may jeopardize federal funding.

### **Subcontractors**

Any time funds are given to a contractor, the local jurisdiction must ensure that the Assurances and Certifications of this subgrant are included as part of the contractual agreement with the contractor. It is the subrecipients’ responsibility to monitor and ensure the contractors are adhering to all applicable federal and state laws.

## Section Two: Program Specific Information, continued

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### Eligible Activities, continued

- **Implementation and Reporting**

Planned or actual expenditures for maintenance contracts and warranties, repair and replacement costs, upgrades and user fees must be reflected in the Initial Strategy Implementation Plan (ISIP) or Biannual Strategy Implementation Report (BSIR). For FEMA to be able to track maintenance and sustainment costs, grantees are required to identify costs associated with maintenance and sustainment each time they report in BSIR.

Grantees must comply with all the requirements in 44 CFR Part 13 and 2 CFR Part 215.

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### Unallowable Costs

- Expenditures for weapons systems and ammunition.
  - Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness or response functions), general-use vehicles, and licensing fees are unallowable costs. General-use expenditures may be reviewed and approved by Cal EMA on a case by case basis.  
Personnel costs (except for costs as detailed above). 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 unrelated to the completion and implementation of the EMPG.
  - Other items not in accordance with the portions of the AEL and allowable cost listed in “Eligible Activities” section.
  - Supplanting.
- 

### Excluded Parties List System (EPLS)

- The Excluded Parties List System (EPLS) 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.epls.gov>.
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### 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 subgrantee 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.
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## Section Three: Application Requirements and Process

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### Contents

This section contains the following:

- Financial Management Forms Workbook
  - Application Components
  - Optional Application Components
  - Mailing Address and Contact Information
  - Governing Body Resolution
  - Grant Assurances
  - NIMS Compliance Certification
  - Application Due Date
  - Application Submittal
  - Approval of Application
  - Closeout
  - Final Subgrant Report
  - Audit Requirements
-

## Section Three: Application Requirements and Process, continued

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### Financial Management Forms Workbook (FMFW)

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

**Grant Award Face Sheet** – Use the Face Sheet to apply for grant programs. Each grant program requires its own separate cover sheet. The application cover sheet must be signed in *blue ink*.

**Grant Management Roster** – List the names and details of employees and/or contractors who are being funded by the EMPG Program.

**Project Ledger** – The project ledger is used in the application process to submit funding information and is used in the post-award phase for submitting Cash (Reimbursement) Requests, Modifications, and Advances (No advances on the EMPG).

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

**Equipment Inventory Ledger** – Provide detailed information on grant-funded Equipment including the Authorized Equipment List (AEL) numbers. All AEL information can be found on the web at: <http://www.rkb.us>.

**Organization Roster** – Provide detailed information on grant-funded Organizational activities, such as staffing, operations, and day-to-day activities that support emergency management.

**Training Roster** – Provide detailed information on training courses including the Cal EMA course-approved feedback numbers for each activity.

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

**Exercise Roster** – Provide detailed information on Exercise activities.

**Match** – Provide detailed information on Match.

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

**Summary** – This page is auto-populated from the information provided in the workbook. Include this page when submitting your completed FMFW.

**FY11 EMPG FMFW Version 1.11, both macros and non-macros versions, can be accessed on Cal EMA's website at: <http://www.calema.ca.gov/EMS-HS-HazMat/Pages/Emergency-Management-Performance-Grant-Documents.aspx>**

## Section Three: Application Requirements and Process, continued

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### Application Components

The application must include the following components. See Appendix D for the forms.

- Financial Management Forms Workbook;
- Project Contact Information Sheet;
- FY11 Emergency Management Program Grant Application Checklist (To be completed by the applicant and submitted with their application packet. Tribes are encouraged to use this checklist as a reference when completing the application.);
- Governing Body Resolution (GBR) and Addendum to the GBR;
- Grant Assurances; and
- NIMS Compliance Certification.

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### Mailing Address and Contact Information

The application must be sent to Cal EMA by the due date of **February 28, 2012**:

Cal EMA  
Attention: Michael Bright  
3650 Schriever Avenue  
Mather, CA 95655  
[Michael.Bright@calema.ca.gov](mailto:Michael.Bright@calema.ca.gov)

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### Governing Body Resolution

The Governing Body Resolution (GBR) appoints agents authorized to execute any actions necessary under this subgrant. 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. Universal GBRs are strongly encouraged. This refers to a GBR that does not identify a specific grant award amount, specific grant years, and do not identify a specific grant program by name.

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

- |                 |                     |
|-----------------|---------------------|
| • Jurisdiction  | • Telephone Number  |
| • Grant Program | • FAX Number        |
| • Name          | • Cell Phone Number |
| • Title         | • E-mail Address    |
| • Address       |                     |

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

## Section Three: Application Requirements and Process, continued

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### Grant Certifications and Assurances

The Grant Assurances Form lists the requirements to which the Tribe will be held accountable. Tribes are required to file a new Grant Assurances form with the FY11 EMPG application.

**Failure to comply with any of the Certifications and Assurances may result in suspension, termination, or reduction of grant funds.**

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

- Failing to expend funds in a timely manner consistent with the grant 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 subgrant application;
- Failing to follow grant agreement requirements or special conditions;
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
- Failing to submit required reports;
- False certification in the application or other report or document;
- Failing to adequately manage, monitor or direct the grant funding activities of their subrecipients; or
- Failing to submit reimbursement requests or report of expenditures, and request for funds documents on a quarterly basis.

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

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### NIMS Certification

The NIMS Certification form must be signed by the authorized agent.

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### Application Due Date

The application must be submitted to Cal EMA by **February 28, 2012**.

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### Application Submittal

The completed original hard copy of the FMFW V1.11 and all other application components must be mailed in with original signatures by the Application Due Date. Signatures must be in *blue ink* only. Tribes will also submit an electronic copy of the completed FMFW to the assigned Cal EMA Program Specialist. In order to streamline the process, please electronically submit the completed FMFW to assigned Cal EMA Program Specialist **prior** to signing and submitting a hard copy, in order to identify any corrections that may need to be addressed.

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## Section Three: Application Requirements and Process, continued

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<b>Application Submittal - continued</b>	All application materials have to be submitted to Cal EMA no later than <b>February 28, 2012</b> . All subgrantees that are notified that special conditions have been placed on their tentative award must complete the conditional hold requirements prior to drawing down any grant funds.
<b>Approval of Application</b>	Cal EMA will notify the Tribe, in writing, of the approved application, award amount, and performance period. Please note that subgrantee reimbursements will not be made until all required application components have been approved by the State and all conditional holds removed.
<b>Closeout</b>	<p>The State will close a subgrantee award after:</p> <ul style="list-style-type: none"><li>• Receiving a subgrantee Performance Report indicating that all approved work has been completed, and all funds have been disbursed;</li><li>• Completing a review to confirm the accuracy of reported information; and</li><li>• Reconciling actual costs to awards, modifications and payments.</li></ul> <p>If the closeout review and reconciliation indicates that the subgrantee</p> <ul style="list-style-type: none"><li>• Is owed additional funds, the State will send the final payment automatically to the subgrantee;</li><li>• Did not use all funds received, the State will issue an Invoice or letter to recover unused funds; or</li><li>• Did not expend all obligated grant funds, the State will require that a grant award amendment be done to de-obligate the unspent funds and revert them back to the State.</li></ul> <p>In the Grant Closeout Letter, the State will notify the subgrantee of the start of the record retention period for all programmatic and financial grant related records.</p>
<b>Final Subgrant Report</b>	Cal EMA will review the Tribe's final Performance Report for compliance with all subgrant conditions. The final Performance Report is due to Cal EMA by September 15, 2012, (unless extended) and will serve as the final subgrant report.
<b>Audit Requirements</b>	The Tribes, and their subrecipients, must comply with the audit requirements contained in OMB Circular A-133 and Title 44, CFR, Part 13.26.

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## Section Four: Performance Period Activities

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### Contents

This section contains the following:

- Reimbursement of Eligible Costs
  - Revision Requests
  - Performance Report
  - Interest Earnings
  - Monitoring Subgrant Performance
  - Record Retention Requirements
  - Accessibility of Records
  - Suspension or Termination
-

## Section Four: Performance Period Activities, continued

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### Reimbursement of Eligible Costs

The FY11 EMPG funds will be disbursed on a reimbursement basis, using the FMFW. Follow the Workbook instructions below for reimbursement claims and submit the signed forms to your Cal EMA assigned Program Specialist. After the Cal EMA Office of Grants Management review, the Reimbursement Request will be forwarded to Cal EMA's Grants Processing Section.

Use the following steps to submit a reimbursement request using the FMFW:

1. Click on the most up-to-date "**Project Ledger**" tab.
2. Click on "**NEW CASH / MOD REQUEST**" macro button on the "**Project Ledger**" tab to make a copy of the "**Project Ledger**".
3. Enter the name of your new Cash / Modification request. (For example: Cash 1 or CR#1).
4. Click on "**Cash Req.**" macro button. Enter the expenditure period and Cash Request #. Enter the amount requesting into "**Amount This Request**" column. If applicable, enter the Match amount.
5. Review for accuracy. **IMPORTANT:** These steps must be completed individually for Equipment Inventory, Organization Roster, Training Roster, Planning Roster, Exercise Roster and Match Roster.
6. Click on "**Auth. Agent**" tab.
7. Select "**Cash Request**" macro button.
8. Enter expenditure period.
9. Print name, date, and sign by an authorized agent.
10. Mail the forms to your Program Specialist.

The cost of employee labor and expenses has been incurred as soon as the time has been worked or the expense has been paid. Vendor costs have been incurred when the purchasing jurisdiction has paid the vendor's invoice. Encumbrances, purchase orders, or signed contracts do not qualify as incurred costs.

**Tribes are required to submit reimbursement requests on a minimum of a quarterly basis**, but can submit reimbursement requests as frequently as on a monthly basis. Please note that a reimbursement request will need to be submitted on a quarterly basis even if it is a zero dollar amount. Subgrantees should be drawing down funds based upon their expenditures as they are incurred, on at least a quarterly basis, in order to reflect an accurate amount of remaining funds throughout the performance period. Ideally, the timely drawdown of expanded funds will reflect a need for EMPG Program funds at the local level to FEMA which may perpetuate the sustained funding of the EMPG Program.

**NOTE:** Payments can only be made if the Tribe has an:

- Approved Application;
- Valid Governing Body Resolution; and
- Valid Grant Assurance.

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 EMA may require submittal of these documents at any time.

## Section Four: Performance Period Activities, continued

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### Reimbursement of Eligible Costs - continued

Cal EMA may withhold grant funds and/or disallow expenditures anytime the project fails to comply with any term or condition of the Grant Award. This may include, but is not limited to, the following:

- Failure to submit the required progress reports in a timely manner;
- Failure to submit the final reports from previous projects in a timely manner;
- Failure to resolve interim or final audit exceptions on past or current grants in a timely manner;
- Inadequate maintenance of accounting records;
- Failure to submit proof of bond coverage in a timely manner;
- Failure to cooperate with or admit Cal EMA staff or representatives; or
- Failure to pay costs disallowed by Cal EMA according to payment terms agreed to by the subgrantee and in a timely manner.

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### Revision Requests (Modifications)

Post award budget, scope and time modifications must be requested using the Cal EMA FMFW V 1.11, signed by the subgrantee's Authorized Agent. A hard copy must be submitted to Cal EMA and approved by Cal EMA's Office of Grant Management, **prior** to initiating any revised scope of work or incurring the associated expenditures. The Tribes may submit revision requests to Cal EMA once per quarter during the performance period. Failure to submit revision requests and receive approval prior to expenditure could result in a reduction or disallowance of that part of the subgrant.

## Section Four: Performance Period Activities, continued

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### Revision Requests (Modifications) - continued

#### How to submit a modification:

1. Open FMFW and enable macros. (Note: Please follow the instructions on how to enable macros on the instructions tab)
2. Click on the most up-to-date “**Project Ledger**” tab.
3. Click on “NEW CASH / MOD REQUEST” macro button on the “**Project Ledger**” tab to make a copy of the “**Project Ledger**”.
4. Enter the name of your new Cash / Modification request. (For example: Mod 1 or Mod #1)
5. Click on “**NEW MOD ITEM**” macro button on the “**Project Ledger**”.
6. Select a cell within the row to be modified and press OK (Note: The text in the selected row will become red with strikethrough line (to indicate an incorrect item) and create a copy of itself. Modify the copied row (automatically colored in blue font) as needed.)
7. To **delete a project** (without adding a project), please select the row/line and click on “**ROW**” (in **RED**). The text in the selected row will become red with strikethrough line.
8. To **add a project** (without deleting a project), please select the row/line and click on “**ROW**” (in **BLUE**). The text in the selected row will become blue.
9. Review for accuracy. **IMPORTANT**: Steps **3-10** must be completed individually for Equipment Inventory, Organization Roster, Training Roster, Planning Roster, and Exercise Roster.
10. E-mail the modification request to the below identified Program Specialist at the Office of Grants Management (OGM).
11. The Program Specialist will review and approve the modification.
12. If the modification request has been approved by the Program Specialist, then an approved modification request will be e-mailed back to the subgrantee, at which point to finalize the process the subgrantee will be instructed to complete the following steps 13-15.
13. Click on “**Auth. Agent**” tab. Select “**Modification**” macro button.
14. Print name/title, date and sign by an authorized agent.
15. Mail the original modification (with proposed changes), the approved modification (with approved tabs inputted by OGM), and the signed Authorized Agent page to:

California Emergency Management Agency  
Attention: Michael Bright,  
Office of Grants Management  
Emergency Management Grants Section  
3650 Schriever Avenue, Mather, CA 95655.

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## Section Four: Performance Period Activities, continued

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### Performance Reports

Subgrantees must prepare and submit Performance Reports to the State for the duration of the grant performance period, or until all grant activities are completed and the grant is formally closed by Cal EMA. The report must include the progress made on identified activities, as well as other requested information and data.

Subgrantees must also complete a Biannual Strategy Implementation Report (BSIR) using the DHS/FEMA Grants Reporting Tool (GRT). To obtain access to the online GRT, please log on to their website at [www.reporting.odp.dhs.gov](http://www.reporting.odp.dhs.gov). To create a new account, follow the instructions that read, “If you need to register for an account, please click here.” For additional assistance with the GRT, please contact:

Wilda Benamati at [wilda.benamati@calema.ca.gov](mailto:wilda.benamati@calema.ca.gov) or (916) 324-6054.

The last Performance Report is due to Cal EMA by September 15, 2012, (unless extended), and will serve as the final subgrant report. Failure to submit a Performance Report could result in subgrant reduction, termination or suspension.

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### Interest Earnings

In accordance with Title 44, Code of Federal Regulations, Part 13.21, any interest earned, in excess of \$100 per Federal Fiscal Year, must be remitted quarterly to Cal EMA:

NOTE: The transmittal letter included with the check should indicate that the Tribe is returning interest earned on FY11 EMPG funds.

A copy of the transmittal letter should be sent to Cal EMA at:

Cal EMA  
Attention: Michael Bright  
3650 Schriever Avenue  
Mather, CA 95655

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### Monitoring Subgrant Performance

The State may perform periodic reviews of the Tribes subgrant performance. The Monitoring and Audits Unit (MAU) is actively conducting monitoring visits, both desk review and on-site, among subgrantees. These reviews may include, but are not limited to:

- Comparing actual subgrant activities to those approved on the Financial Management Forms Workbook;
  - Confirming compliance with:
    - Grant Assurances; and
    - Information provided on the Performance Reports; and
  - Reviewing and monitoring financial and administrative records.
- 

### Record Retention Requirements

Specific requirements for record retention can be found in Title 44, CFR, Part 13.42.

In the Subgrant Closeout letter, Cal EMA will notify the Tribe of the start of the record retention period for programmatic and financial records.

## Section Four: Performance Period Activities, continued

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### Accessibility of Records

The federal Department of Homeland Security, the DHS Office of Inspector General, the Comptroller General of the United States, Cal EMA, 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 subgrant, in order to make audits, monitoring review, 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 44 CFR 13.42 for more information about accessibility of records.

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### Suspension or Termination

Should a jurisdiction materially fail to comply with any term of an award, whether stated in a federal statute or regulation, an assurance, in a state plan or application, a notice of award, or elsewhere, Cal EMA may take one or more of the following actions:

- Temporarily withhold cash reimbursements pending correction of the deficiency by the jurisdiction;
- Disallow all or part of the cost of the activity or action not in compliance;
- Wholly or partly suspend or terminate the current award for the jurisdiction's program;
- Withhold further awards for the program; or
- Take other remedies that may be legally available.

Before taking action, the State will provide the jurisdiction reasonable notice of intent to impose measures and will make efforts to resolve the problem informally. For more details on enforcement, see 44 CFR Part 13.43.

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## **Section Five: Notice of Interest (NOI) Requirements and Submission Process**

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### **Contents**

This section contains the following:

- Purpose of Notice of Interest (NOI)
  - Notice of Interest (NOI) Components
  - Notice of Interest (NOI) Submission Process and Contact Information
-

## Section Five: Notice of Interest (NOI) Requirements and Submission Process, continued

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### Purpose of Notice of Interest (NOI)

The purpose of the Notice of Interest (NOI) process is to solicit and obtain proposed tribal emergency management projects from interested and eligible applicants seeking competitive funding from the FY11 Tribal EMPG. The NOI process will allow Cal EMA the opportunity to evaluate the applicant's proposal for EMPG funding while at the same time eliminate the necessity of the applicant to incur the effort and expense related to the development of a complete application. The eligible NOIs received by the submission deadline will be read, evaluated, and scored by a panel to determine which of the interested applicant(s) will be selected to continue in the grant application process.

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### Notice of Interest (NOI) Components

The Notice of Interest (NOI) components consist of the following two documents:

1. Notice of Interest (NOI) Investment Justification
  2. Notice of Interest (NOI) Detailed Budget Sheet
- 

### Notice of Interest (NOI) Submission Process and Contact Information

The complete NOI submission packet, consisting of the NOI Investment Justification and the NOI Detailed Budget Sheet must be submitted, as an e-mail attachment, to Cal EMA Program Specialist, Michael Bright, at [michael.bright@calema.ca.gov](mailto:michael.bright@calema.ca.gov).

The NOI submission packet must be received by Cal EMA **No Later Than January 16, 2012 11:59 PM PST**.

If you have any questions regarding the NOI submission requirements or process please do not hesitate to contact Program Specialist Michael Bright at [michael.bright@calema.ca.gov](mailto:michael.bright@calema.ca.gov).

Please note that due to the competitive nature of the NOI process, during the NOI development and submission phase, only technical questions pertaining to NOI requirements or submission processes or other technical EMPG-related inquiries can be answered by the program specialist.

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## Section Six: Appendices

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**List of  
Appendices**

- A: Allocations to Operational Areas
  - B: FY10 vs. FY11 Allocation Difference
  - C: Cal EMA Goals and Objectives
  - D: Forms
  - E: Project Proposal Reference Materials
  - F: Acronyms
  - G: Match Information
-

## Appendix A: FY11 EMPG Allocations to Operational Areas

FY11 EMPG Local Allocations					
Operational Area	Population	Base	Per Capita	Total Allocation	
ALAMEDA	1,521,157	\$125,000	\$282,508	\$407,508	
ALPINE	1,176	\$125,000	\$218	\$125,218	
AMADOR	37,911	\$125,000	\$7,041	\$132,041	
BUTTE	221,388	\$125,000	\$41,116	\$166,116	
CALAVERAS	45,693	\$125,000	\$8,486	\$133,486	
COLUSA	21,593	\$125,000	\$4,010	\$129,010	
CONTRA COSTA	1,056,064	\$125,000	\$196,131	\$321,131	
DEL NORTE	28,594	\$125,000	\$5,310	\$130,310	
EL DORADO	182,498	\$125,000	\$33,893	\$158,893	
FRESNO	940,220	\$125,000	\$174,617	\$299,617	
GLENN	28,273	\$125,000	\$5,251	\$130,251	
HUMBOLDT	135,263	\$125,000	\$25,121	\$150,121	
IMPERIAL	176,258	\$125,000	\$32,734	\$157,734	
INYO	18,634	\$125,000	\$3,461	\$128,461	
KERN	846,883	\$125,000	\$157,282	\$282,282	
KINGS	153,365	\$125,000	\$28,483	\$153,483	
LAKE	64,784	\$125,000	\$12,032	\$137,032	
LASSEN	34,577	\$125,000	\$6,422	\$131,422	
LOS ANGELES	9,858,989	\$125,000	\$1,831,003	\$1,956,003	
MADERA	151,949	\$125,000	\$28,220	\$153,220	
MARIN	254,692	\$125,000	\$47,301	\$172,301	
MARIPOSA	18,261	\$125,000	\$3,391	\$128,391	
MENDOCINO	88,197	\$125,000	\$16,380	\$141,380	
MERCED	257,984	\$125,000	\$47,913	\$172,913	
MODOC	9,705	\$125,000	\$1,802	\$126,802	
MONO	14,308	\$125,000	\$2,657	\$127,657	
MONTEREY	419,038	\$125,000	\$77,823	\$202,823	
NAPA	137,639	\$125,000	\$25,562	\$150,562	
NEVADA	99,111	\$125,000	\$18,407	\$143,407	
ORANGE	3,029,859	\$125,000	\$562,703	\$687,703	
PLACER	352,380	\$125,000	\$65,444	\$190,444	
PLUMAS	20,025	\$125,000	\$3,719	\$128,719	
RIVERSIDE	2,217,778	\$125,000	\$411,884	\$536,884	
SACRAMENTO	1,428,355	\$125,000	\$265,273	\$390,273	
SAN BENITO	55,619	\$125,000	\$10,330	\$135,330	
SAN BERNARDINO	2,052,397	\$125,000	\$381,169	\$506,169	
SAN DIEGO	3,118,876	\$125,000	\$579,235	\$704,235	
SAN FRANCISCO	812,820	\$125,000	\$150,956	\$275,956	
SAN JOAQUIN	690,899	\$125,000	\$128,313	\$253,313	
SAN LUIS OBISPO	270,966	\$125,000	\$50,324	\$175,324	
SAN MATEO	724,702	\$125,000	\$134,591	\$259,591	
SANTA BARBARA	426,189	\$125,000	\$79,151	\$204,151	
SANTA CLARA	1,797,375	\$125,000	\$333,807	\$458,807	
SANTA CRUZ	264,430	\$125,000	\$49,110	\$174,110	
SHASTA	177,924	\$125,000	\$33,044	\$158,044	
SIERRA	3,248	\$125,000	\$603	\$125,603	
SISKIYOU	45,084	\$125,000	\$8,373	\$133,373	
SOLANO	414,509	\$125,000	\$76,982	\$201,982	
SONOMA	487,125	\$125,000	\$90,468	\$215,468	
STANISLAUS	517,685	\$125,000	\$96,144	\$221,144	
SUTTER	95,800	\$125,000	\$17,792	\$142,792	
TEHAMA	63,950	\$125,000	\$11,877	\$136,877	
TRINITY	13,853	\$125,000	\$2,573	\$127,573	
TULARE	446,837	\$125,000	\$82,986	\$207,986	
TUOLUMNE	55,256	\$125,000	\$10,262	\$135,262	
VENTURA	828,383	\$125,000	\$153,847	\$278,847	
YOLO	201,759	\$125,000	\$37,471	\$162,471	
YUBA	72,479	\$125,000	\$13,461	\$138,461	
TRIBAL NATIONS	162,250	\$125,000	\$30,133	\$155,133	
<b>TOTALS</b>	<b>37,673,016</b>	<b>\$7,375,000</b>	<b>\$6,996,601</b>	<b>\$14,371,601</b>	

## Appendix B: 2010 Allocation vs 2011 Allocation

EMPG ALLOCATIONS -- 2010 vs 2011			
County	2010 Allocation	2011 Allocation	Difference
ALAMEDA	\$393,816	\$407,508	\$13,692
ALPINE	\$125,207	\$125,218	\$11
AMADOR	\$131,576	\$132,041	\$465
BUTTE	\$163,121	\$166,116	\$2,995
CALAVERAS	\$132,941	\$133,486	\$545
COLUSA	\$128,799	\$129,010	\$211
CONTRA COSTA	\$308,124	\$321,131	\$13,007
DEL NORTE	\$130,102	\$130,310	\$208
EL DORADO	\$156,116	\$158,893	\$2,777
FRESNO	\$287,724	\$299,617	\$11,893
GLENN	\$130,049	\$130,251	\$202
HUMBOLDT	\$147,925	\$150,121	\$2,196
IMPERIAL	\$155,955	\$157,734	\$1,779
INYO	\$128,117	\$128,461	\$344
KERN	\$267,843	\$282,282	\$14,439
KINGS	\$151,722	\$153,483	\$1,761
LAKE	\$136,056	\$137,032	\$976
LASSEN	\$131,139	\$131,422	\$283
LOS ANGELES	\$1,919,779	\$1,956,003	\$36,224
MADERA	\$151,306	\$153,220	\$1,914
MARIN	\$169,660	\$172,301	\$2,641
MARIPOSA	\$128,161	\$128,391	\$230
MENDOCINO	\$140,578	\$141,380	\$802
MERCED	\$169,286	\$172,913	\$3,627
MODOC	\$126,675	\$126,802	\$127
MONO	\$127,332	\$127,657	\$325
MONTEREY	\$199,583	\$202,823	\$3,240
NAPA	\$148,757	\$150,562	\$1,805
NEVADA	\$142,047	\$143,407	\$1,360
ORANGE	\$667,071	\$687,703	\$20,632
PLACER	\$183,641	\$190,444	\$6,803
PLUMAS	\$128,563	\$128,719	\$156
RIVERSIDE	\$488,966	\$536,884	\$47,918
SACRAMENTO	\$372,494	\$390,273	\$17,779
SAN BENITO	\$135,019	\$135,330	\$311
SAN BERNARDINO	\$480,901	\$506,169	\$25,268
SAN DIEGO	\$673,009	\$704,235	\$31,226
SAN FRANCISCO	\$271,018	\$275,956	\$4,938
SAN JOAQUIN	\$244,065	\$253,313	\$9,248
SAN LUIS OBISPO	\$171,700	\$175,324	\$3,624
SAN MATEO	\$253,801	\$259,591	\$5,790
SANTA BARBARA	\$199,482	\$204,151	\$4,669
SANTA CLARA	\$445,789	\$458,807	\$13,018
SANTA CRUZ	\$171,390	\$174,110	\$2,720
SHASTA	\$156,606	\$158,044	\$1,438
SIERRA	\$125,580	\$125,603	\$23
SISKIYOU	\$132,939	\$133,373	\$434
SOLANO	\$198,691	\$201,982	\$3,291
SONOMA	\$209,035	\$215,468	\$6,433
STANISLAUS	\$215,900	\$221,144	\$5,244
SUTTER	\$141,674	\$142,792	\$1,118
TEHAMA	\$135,851	\$136,877	\$1,026
TRINITY	\$127,411	\$127,573	\$162
TULARE	\$201,238	\$207,986	\$6,748
TUOLUMNE	\$134,728	\$135,262	\$534
VENTURA	\$269,381	\$278,847	\$9,466
YOLO	\$159,660	\$162,471	\$2,811
YUBA	\$137,589	\$138,461	\$872
TRIBAL NATIONS	\$137,310	\$155,133	\$17,823
<b>Totals</b>	<b>\$14,000,000</b>	<b>\$14,371,601</b>	<b>\$371,601</b>

## Appendix C: Cal EMA Goals and Objectives

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### STRATEGIC GOALS AND OBJECTIVES

1. Enhance prevention and detection capabilities to protect our State and critical infrastructure from all hazards.

#### **Objective 1.1**

**Strengthen information sharing and collaboration among all levels of government, private industry, non-governmental and community-based organizations.**

Enhance the State Terrorism Threat Assessment System by strengthening relationships with federal, state, local and private sector partners. Expand the Terrorism Liaison Officer Network and provide these first preventers with the best tools and training. Provide statewide strategic assessments of the current and emerging risks, as well as adversarial capabilities, throughout California. Identify and share best practices and innovative technologies to enhance the analytical capabilities of our state and local partners.

#### **Objective 1.2**

**Implement the California critical infrastructure protection program.**

Implement the California critical infrastructure protection program and its concepts by allocating funding for critical infrastructure protection and providing a forum in which to coordinate efforts amongst the federal government and private owners/operators. Continue collaboration with the Department of Homeland Security (DHS) to ensure that security measures at high-risk facilities, systems and assets - to include our cyber infrastructure - are in place.

#### **Objective 1.3**

**Strengthen our ability to identify and counter emerging threats.**

Enact policies and build programs that support our statewide ability to develop and deploy strategies and technologies aimed at the prevention of and protection from emerging threats, to include the ability to detect, and ultimately counter, chemical, biological, radiological, nuclear and explosive (CBRNE) devices. Engage in activities that include the development of plans, evaluation of mass-gathering facilities, exercises, assessment of critical infrastructure and allocation of funds based on risk.

#### **Objective 1.4**

**Strengthen the capacity of Cal EMA's public safety and criminal justice programs to serve customers statewide. Enhance law enforcement and victim services programs.**

Invest in and manage key programs, resources and services to provide integrated and timely assistance and coordination by enhancing law enforcement and victim services programs. Support local and state government efforts to ensure public health and safety, by developing, fostering and maintaining working relationships with Agency taskforces, councils and coalitions to achieve public-safety and criminal-justice objectives.

#### **Objective 1.5**

**Institutionalize hazard identification, risk assessment, and hazard-mitigation planning to reduce vulnerability and provide effective tools for planning, preparedness and recovery.**

Reduce vulnerability and provide tools for effective emergency management by identifying and targeting investments that reduce risk, developing after action and improvement plan reports following disasters and training exercises, participating in catastrophic disaster planning actions and developing a statewide approach to facilitating and coordinating recovery efforts.

## 2. Strengthen California’s ability to plan, prepare for and mitigate disasters, emergencies and terrorist events.

### **Objective 2.1**

#### **Enhance state and regional operational capabilities and readiness.**

Enhance the capabilities of Cal EMA staff through training and exercises to include credentialing and the development of EOC teams. Ensure that the California State Warning Center, Regional Emergency Operations Centers and the State Operational Center facilities are modernized. Continue to improve the Emergency Management, Law Enforcement and Fire and Rescue mutual aid systems through workshops, revised guidelines and plans, and support of key partner agencies.

### **Objective 2.2**

#### **Strengthen planning for both intentional and natural disasters.**

Improve capabilities through the full implementation of the National Incident Management System (NIMS), the National Response Framework (NRF), and the use of emergency technologies. In coordination with the State Emergency Plan (SEP), establish multi-agency coordination groups to develop emergency function capabilities, address key emergency functions for catastrophic events, and ensure the development of the Emergency Function Annex. Develop supporting plans to address all-hazards prevention and preparedness, while providing the necessary support for conducting state and regional exercises.

### **Objective 2.3**

#### **Encourage citizen preparedness while integrating the needs of vulnerable populations.**

Provide education regarding the hazards facing Californians, the role of the emergency management community and what to expect when a disaster occurs. Through these efforts, incorporate the needs of vulnerable populations into early-warning notification systems, care and shelter plans, emergency response activities, prevention and planning efforts, transportation and evacuation plans, exercises and other emergency-related measures. Additionally, work to create community resource listings, citizen emergency plans, statewide exercises to assess citizen preparedness and community recovery plans. Provide tools and guidance to help prepare citizens for disasters.

### **Objective 2.4**

#### **Provide tools to develop and maintain continuity plans for both the private and public sector.**

Provide integrated and timely assistance and coordination by developing and maintaining continuity plans on a statewide basis. Develop and exercise state continuity plans, and provide continuity guidance, templates and training for all partners.

### **Objective 2.5**

#### **Enhance agriculture food systems and animal health preparedness.**

Continue partnership and collaboration with the California Department of Food and Agriculture, the California Department of Public Health, state, local and private stakeholders to defend and protect our agriculture and food systems which supply our State and Nation against accidental or intentional contamination and natural disasters.

### **Objective 2.6**

#### **Expand statewide training and exercises across all mission areas, while enhancing professional training for emergency management and homeland security disciplines.**

We will promote professional growth and a sustained workforce by enhancing professional training for emergency management and homeland security disciplines. This will include working with the Commission on

Peace Officer Standard and Training (POST) and other professional organizations to develop public safety courses. Build and certify curricula for academic development, providing college credit - for bachelor and master degree programs, and making disaster and public administration related training available to staff.

### **Objective 2.7**

#### **Enhance resource management through implementation of the California Metrics project.**

Continue the State and National effort to develop a common structure and nomenclature for the inventory and assessment of emergency resources and capabilities. The Metrics project will enhance our resource management efforts through the development and implementation of a multi-disciplinary resource database to inventory, support and coordinate disaster and response capabilities across the State. Continuing to support and build public/private partnerships.

### **3. Effectively respond to and quickly recover from both intentional and natural disasters.**

#### **Objective 3.1**

##### **Institutionalize Recovery Planning.**

Enhance our ability to mitigate the effects associated with large scale events through the planning of recovery efforts in advance of any disaster. This will have a direct impact on our ability to recover quickly and to resume normal business practices. Effective planning will ensure that we continue to pre-position the appropriate resources in anticipation of events.

#### **Objective 3.2**

##### **Strengthen statewide, national and international mutual-assistance compacts.**

Strengthen statewide, national and international mutual-assistance compacts. Work with various partners to develop new systems and agreements and provide exercises to strengthen existing compacts. In addition, create a forum for the exchange of information and best practices to further facilitate the development of mutual-assistance relationships and agreements.

#### **Objective 3.3**

##### **Provide guidance and support for enhancing primary and alternate Emergency Operations Centers (EOCs) to increase regional readiness.**

Increase regional readiness by enhancing primary and alternate EOCs. Relevant activities include providing statewide exercises to enable participants to assess the functions of their EOCs and ensuring that all emergency facilities are appropriately equipped and that all reference resources are accurate and current. Develop a mobile command and control capability, and enhance our planning efforts with the Federal Emergency Management Agency to establish Joint Field Office operations.

#### **Objective 3.4**

##### **Expand the Standardized Emergency Management System (SEMS) to ensure inclusion of all customer groups.**

Work with California Volunteers to assist in citizen emergency planning and preparedness capabilities. In addition, continue to support public/private partnerships to include better utilization of the private sector, non-government organizations and volunteers in disaster planning and response and enhancing selected components of SEMS through a statewide exercise series.

#### **Objective 3.5**

##### **Strengthen alert and warning systems to ensure the delivery of clear and consistent public information.**

Strengthen alert and warning systems by utilizing innovative and reliable technologies to improve current systems. Refine policies and procedures to ensure the communication needs of diverse and at-risk populations are met and develop relationships with other local, state agency and private partners to strengthen Cal EMA's ability to provide all citizens with notice of an impending disaster. Use tools such as videos and social media outlets to provide real-time, coordinated emergency information to educate and inform the public about Cal EMA's mission, provide disaster-related resource information, and to improve overall information gathering and dissemination.

### **Objective 3.6**

#### **Enhance Geographic Information system (GIS) and information-mapping capabilities.**

Provide accurate, real-time communications by enhancing GIS and information-mapping capabilities. Activities to this end include replacing and implementing data servers that support mapping tools, developing a reference library for maps, providing situational awareness and modeling tools, and generating maps.

### **Objective 3.7**

#### **Strengthen operable and interoperable communications.**

Enhance operable and interoperable communications through the assessment of tactical interoperable communication plans, investment in communications infrastructures, improvement of interoperability and the enhancement of existing systems.

## **4. Responsible and accountable investments of homeland security and emergency management funding.**

### **Objective 4.1**

#### **Streamline grant application and approval processes.**

In collaboration with our state and local partners, identify processes to improve the application and approval process for homeland security and emergency management grant programs. Educate policy makers on unduly burdensome federal requirements and the benefits of providing more flexibility to our state and local partners. Reduce, wherever possible, growth of overly bureaucratic requirements that do not enhance operational effectiveness.

### **Objective 4.2**

#### **Provide technical assistance and resources to customers.**

Provide technical assistance and resources such as the distribution of funds, establishment of programs, creations of networks and the development of plans and strategies.

### **Objective 4.3**

#### **Ensure transparency and accountability.**

Invest in training and technology to enhance the transparency and accountability of investments.

## **5. Strengthen and unify operations and management to increase operational efficiency and effectiveness.**

### **Objective 5.1**

#### **Develop and implement Agency retention plans.**

Foster an environment that promotes professional growth and a sustained workforce by developing a workforce retention and succession plan to ensure essential competencies exist and are sustainable.

## **Objective 5.2**

### **Increase organizational opportunities for learning and professional growth.**

Increase organizational opportunities for professional growth and development by providing training, information sharing, continuous professional education, and performance evaluations. In addition, provide the necessary support, tools and resources to enable Cal EMA staff to conduct their work in a pleasant working environment.

## **Objective 5.3**

### **Coordinate and align California's emergency management planning efforts to achieve overall consistency.**

Enhance operational efficiency through effective planning and management of key initiatives, assets and resources. Achieve consistency by producing and maintaining mandated reports, assisting other agencies and organizations in emergency management planning efforts, and following standard document-control procedures. Agency efforts to this end include developing consistent project management, enhancing emergency management programs, coordinating services and resources with local and federal government agencies, and effectively managing reference and resource plans and materials.

## **Objective 5.4**

### **Develop networks for identifying and sharing lessons learned and best practices.**

Develop networks for soliciting and sharing best practices by including accurate and timely compilation of after-action issues and effective corrective-action reports. Provide staff with procedures to effectively perform job responsibilities.

## Appendix D: Forms

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### Forms

The forms for this subgrant include the following.

- Governing Body Resolution
  - Grant Assurances
  - NIMS Compliance Certification
  - Project Contact Information Sheet
  - FY11 Emergency Management Performance Grant Application Checklist
  - Performance Report
  - Notice of Interest (NOI) Investment Justification
  - Notice of Interest (NOI) Detailed Budget Sheet
-

**Governing Body Resolution**

BE IT RESOLVED BY THE \_\_\_\_\_  
(Governing Body)

OF THE \_\_\_\_\_ THAT  
(Name of Applicant)

\_\_\_\_\_  
(Name or Title of Authorized Agent) OR

\_\_\_\_\_  
(Name or Title of Authorized Agent) OR

\_\_\_\_\_  
(Name or Title of Authorized Agent) ,

is hereby authorized to execute for and on behalf of the named applicant, a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining federal financial assistance provided by the federal Department of Homeland Security and subgranted through the State of California.

Passed and approved this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

**Certification**

I, \_\_\_\_\_, duly appointed and  
(Name)

\_\_\_\_\_ of the \_\_\_\_\_  
(Title) (Governing Body)

do hereby certify that the above is a true and correct copy of a resolution passed and approved by

the \_\_\_\_\_ of the \_\_\_\_\_ on the  
(Governing body) (Name of Applicant)

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

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

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

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

# Instruction Sheet for the Governing Body Resolution and Addendum to GBR

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**Purpose**

The purpose of the Governing Body Resolution (GBR) is to appoint individuals to act on behalf of the governing body and the Tribe.

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**Authorized Agent(s)**

The Governing Body Resolution allows for the appointment of individuals or positions. **For each person or position appointed by the governing body, you must submit the following information, with the resolution, to Cal EMA on the applicant's letterhead:**

- |  |   |
|--|---|
| <input type="checkbox"/> Jurisdiction  | <input type="checkbox"/> Telephone      |
| <input type="checkbox"/> Grant Program | <input type="checkbox"/> Fax #          |
| <input type="checkbox"/> Name          | <input type="checkbox"/> Cell Phone #   |
| <input type="checkbox"/> Title         | <input type="checkbox"/> E-Mail Address |
| <input type="checkbox"/> Address       |   |
| <input type="checkbox"/> City          |   |
| <input type="checkbox"/> Zip Code      |   |
- 

**Authorized Agent Changes**

- If the Governing Body Resolution identified Authorized Agents by position and/or title, changes can be made by submitting new Authorized Agent information to Cal EMA, as indicated above.
  - If the Governing Body Resolution identified Authorized Agents by name, a new Resolution is needed when any changes are made. The information list above must also be submitted with the new Resolution.
-

## **FY11 Emergency Management Performance Grant Assurances, Certifications, Terms, and Conditions**

### **ASSURANCES**

The applicant hereby assures and certifies compliance with all applicable federal statutes, regulations, policies, guidelines, and requirements, including OMB Circulars A-87, A-102, A-133; Executive Order 12372 (intergovernmental review of federal programs); and 44 C.F.R. pt.13 (administrative requirements for grants and cooperative agreements). The applicant also specifically assures and certifies that:

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 Controller 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 award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
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 OPM's 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. 92-255), 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 Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination 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.
7. Will comply, or has already complied, with the requirements of Titles II and 111 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 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 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 276a7), 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. §§ 327-33.3), 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. 93234) 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.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act 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 of 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 (Clear Air) Implementation Plans under Section 176(c) of the Clear 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).

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 contained in Part VI (B, 5.7) of the Guidance.

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.).
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.
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.
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 Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.
18. 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.
19. 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 Emergency Management Agency (Cal EMA) Fiscal Year 2011 Emergency Management Performance Grant (EMPG) Recipient Subgrant Guide for Tribal Nations.
20. 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.
21. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
22. 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.
23. Will comply with the Federal Funding Accountability and Transparency Act of 2006 (FFATA) or Transparency Act – P.L. 109-282, as amended by section 6202(a) of P.L. 110-252.

## **CERTIFICATIONS**

### 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.
- (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 Form to Report Lobbying," 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, subgrants, 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.

### 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 Form to Report Lobbying," 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 Order 12549, Debarment and Suspension, and implemented at 44 CFR, Part 17:

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 CFR, Part 17 *Government-wide Requirements for Drug-Free Workplace (Grants)*.

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;
- (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 subgrant 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](http://www.dir.ca.gov), and Public Contract Code Section 6108.

- 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 subgrants 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 subgrantee 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 12-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 Worker's Compensation or to undertake self-insurance in 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.

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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# *NIMS COMPLIANCE CERTIFICATION*

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I, \_\_\_\_\_, the Authorized Agent for the \_\_\_\_\_  
(print name of authorized agent) (city, county, tribe, other)

of \_\_\_\_\_, do hereby certify that all the requirements to be NIMS  
(name of agency)

compliant have been met and the information has been entered into NIMSCAST.

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

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

## PROJECT CONTACT INFORMATION SHEET INSTRUCTIONS

1. Provide the name, title, address, telephone number, fax number, and e-mail address for the **Project Director** for the project.
2. Provide the name, title, address, telephone number, fax number, and e-mail address for the **Financial Officer** for the project.
3. Provide the name, title, address, telephone number, fax number, and e-mail address for the **person** having **routine programmatic responsibility** for the project.
4. Provide the name, title, address, telephone number, fax number, and e-mail address for the **person** having **routine fiscal responsibility** for the project.
5. Provide the name, title, address, telephone number, fax number, and e-mail address for the **Executive Director** of a Community Based Organization or the **Chief Executive Officer** (e.g., chief of police, superintendent of schools) for the implementing agency.
6. Provide the name, title, address, telephone number, fax number, and e-mail address for the **person** who is the **Official Authorized** to enter into the Grant Award Agreement for the city/county/tribal government/university or Community-Based Organization, as stated in Section 14 of the Grant Award Face Sheet (Cal EMA 2-101).
7. Provide the name, title, address, telephone number, fax number, and e-mail address for the **person(s)** who are the **Official(s) Authorized** to act on behalf of the city/county/tribal government/university or Community-Based Organization, as listed on the Governing Body Resolution and/or Addendum to the Governing Body Resolution.
8. Provide the name, title, address, telephone number, fax number, and e-mail address for the **Chair** of the **governing body** of the Subgrantee.

\*\* Please note: The Project Contact Information Sheet needs to be completed in its entirety. No blank spaces are allowed, except on #7, if no additional Designated Officials exist.

## PROJECT CONTACT INFORMATION SHEET

Subgrantee:	Cal EMA ID#:
Grant Year and Program Name: FY11 EMPG	

Provide the name, title, address, telephone number, fax number, and e-mail address for the project contacts named below. **NOTE: If you use a P.O. Box address, a street address is also required for package delivery and site visit purposes.**

1. The **Project Director** for the project:

Name:	Title:		
Telephone #:	Fax#:	E-mail Address:	
Address/City/Zip:			

2. The **Financial Officer** for the project:

Name:	Title:		
Telephone #:	Fax#:	E-mail Address:	
Address/City/Zip:			

3. The **person** having **Routine Programmatic** responsibility for the project:

Name:	Title:		
Telephone #:	Fax#:	E-mail Address:	
Address/City/Zip:			

4. The **person** having **Routine Fiscal Responsibility** for the project:

Name:	Title:		
Telephone #:	Fax#:	E-mail Address:	
Address/City/Zip:			

5. The **Executive Director** of a nonprofit organization or the **Chief Executive Officer** (i.e., chief of police, sheriff) of the implementing agency:

Name:	Title:		
Telephone #:	Fax#:	E-mail Address:	
Address/City/Zip:			

6. The **Official Designated** by the Governing Board to enter into the Grant Award Agreement for the city/county /tribal government/university or Community-Based Organization, as stated in Block 14 of the Grant Award Face Sheet:

Name:	Title:		
Telephone #:	Fax#:	E-mail Address:	
Address/City/Zip:			

7. The Other **Official(s) Designated** by the Governing Board to act on behalf of the city/county/ tribal government/university or Community-Based Organization, as listed on the Governing Body Resolution / Addendum to the Governing Body Resolution:

Name:		Title:	
Telephone #:	Fax#:	E-mail Address:	
Address/City/Zip:			

Name:		Title:	
Telephone #:	Fax#:	E-mail Address:	
Address/City/Zip:			

Name:		Title:	
Telephone #:	Fax#:	E-mail Address:	
Address/City/Zip:			

Name:		Title:	
Telephone #:	Fax#:	E-mail Address:	
Address/City/Zip:			

8. The **Chair** of the **Governing Body** of the Subgrantee:

Name:		Title:	
Telephone #:	Fax#:	E-mail Address:	
Address/City/Zip:			

## FY11 Emergency Management Program Grant Application Checklist

<b>Subgrantee Name:</b>				
<b>Grant: EMPG FY11</b>				
<b>Checklist Items</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
<b>1. Grant Award Face Sheet</b>				
The most current Grant Award Face Sheet (Cal EMA 2-101) is being used.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The Implementing Agency information is complete.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sections 2a - 2e are completed with appropriate information.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The Disaster/Program Title information is complete.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The Performance Period is exactly the same as on the Guidance. Dates must include Month, Date, and Year (i.e., 06/30/12).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Each Fund source and year has its own row.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The funding amounts are exactly the same as identified on Appendix A, in the FY11 EMPG Recipient Subgrant Guide for Local Governments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The match is identified and in the correct box(s) (cash, in-kind).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Column C Total is complete.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Information in section 12-14 is complete including e-mail address.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Section 14 must have an original signature (in <i>blue ink</i> ) of the person authorized by the Governing Board to sign and accept the grant.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>2. Authorized Body and Contact Information</b>				
Contact Information is completed for each Authorized Agent.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Additional Authorized Agent contact information is complete (if applicable).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>3. Grant Management</b>				
Name and Title are completed for each EMPG Program-funded employee/contractor.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Checklist Items	Yes	No	N/A	Comments
Area of Responsibility is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Employee/Contractor is identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>4. Project Ledger</b>				
'EMPG' is selected for the Funding Source.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
'EMG' is selected for the Discipline.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Solution Area is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Solution Area Sub-Category is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Obligated amount is complete (whole dollar amounts).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>5. Project Description</b>				
Have they identified a goal/objective (per the goals and objectives identified in Appendix C and E in the FY11 EMPG Recipient Subgrant Guide for Local Governments)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Description is completed for each Project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Six-month and 12-month Project Milestones are supplied.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>6. Equipment Inventory</b>				
Project letter is correct (based on Project Ledger).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
AEL Number is correct.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
AEL Title is complete.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
If applicable, has SAFECOM consultation occurred?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
'EMPG' is selected for the Funding Source.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
'EMG' is selected for the Discipline.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Solution Area Sub-Category is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Estimated cost is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>7. Organization Roster</b>				
Project letter is correct (based on Project Ledger).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
'EMPG' is selected for the Funding Source.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Estimated cost is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
'EMG' is selected for the Discipline.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Checklist Items	Yes	No	N/A	Comments
<b>8. Training Roster</b>				
Project letter is correct (based on Project Ledger).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
'EMPG' is selected for the Funding Source.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
'EMG' is selected for the Discipline.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Solution Area Sub-Category is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Estimated cost is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>9. Planning Roster</b>				
Project letter is correct (based on Project Ledger).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
'EMPG' is selected for the Funding Source.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
'EMG' is selected for the Discipline.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Solution Area Sub-Category is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Estimated cost is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>10. Exercise Roster</b>				
Project letter is correct (based on Project Ledger).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
'EMPG' is selected for the Funding Source.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
'EMG' is selected for the Discipline.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Solution Area Sub-Category is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Estimated cost is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>11. Match</b>				
Project letter is correct (based on Project Ledger).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the Project Name completed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
'EMPG' is selected for the Funding Source.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
'EMG' is selected for the Discipline.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Solution Area is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Solution Area Sub-Category is completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>12. Authorized Agent</b>				
Signed and dated by Authorized Agent (in <i>blue ink</i> ).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Checklist Items	Yes	No	N/A	Comments
<b>13. Forms</b>				
<b><u>Governing Body Resolution</u></b>				
• Is the Governing Body Resolution included?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Was the Resolution approved/signed by the Board?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Were Authorized Agents listed by name or title/position?	<input type="checkbox"/> Name	<input type="checkbox"/> Title	<input type="checkbox"/>	
• Did the applicant supply a letter, on County letterhead, to identify the pertinent information of each person occupying the title/position authorized in the Resolution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b><u>Grant Assurances</u></b>				
• Is the Assurance and Certification form included?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Is it signed and dated with authorized agent signature?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b><u>NIMS Compliance Certification</u></b>				
• Is the Certification included?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Is it signed by an authorized agent?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b><u>Project Contact Information Sheet</u></b>				
• Is the contact information complete for the required contact persons including email, phone, fax and street address (not just P.O. Box), and are there no blank boxes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>I hereby certify this Grant Application Checklist is accurate and complete to the best of my knowledge.</b>				
<b><u>Applicant:</u></b>				
Printed:	Signature:		Date:	
<b><u>Cal EMA Program Specialist:</u></b>				
Printed:	Signature:		Date:	

# FY11 Emergency Management Performance Grant (EMPG) Performance Report - Cumulative

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## Part I: General Information Table

### FY11 EMPG General Information Table Template

<b>Jurisdiction</b>	
<b>Cal EMA ID#</b>	
<b>Date of Report</b>	
<b>Quarter #</b>	
<b>Grant #</b>	

## Part II: Grant Activities Table

### FY 11 EMPG Program Activities Table Template

ACTIVITY	TASK(S) TO BE COMPLETED	STATUS	ACTIVITY SUMMARY
	•	•	Complete? Yes <input type="checkbox"/> No <input type="checkbox"/> Summary:
	•	•	Complete? Yes <input type="checkbox"/> No <input type="checkbox"/> Summary:
	•	•	Complete? Yes <input type="checkbox"/> No <input type="checkbox"/> Summary:
	•	•	Complete? Yes <input type="checkbox"/> No <input type="checkbox"/> Summary:
	•	•	Complete? Yes <input type="checkbox"/> No <input type="checkbox"/> Summary:



## Part V: Exercise Data Table

### FY11 Exercise Data Table Template

Type of Exercise	Number of Exercises	Number Counting Towards Multi-Year TEP	Number of EMPG Program-Funded Personnel	Number of EMPG Program-Funded Personnel participating in Exercise	Name or Description	Exercise Aligned to Emergency Operations Plan? (Yes/No)
<b>Discussion-Based</b>						
<b>Seminar</b>						
• AAR Complete						
• Corrective Actions Identified						
Progress made towards addressing Corrective Actions. Please indicate at least the percentage progress made towards the addressing of the findings and recommendations of the AAR. Provide more details if satisfactory progress has not been made (use additional pages, if necessary).						
<b>Workshop</b>						
• AAR Complete						
• Corrective Actions Identified						
Progress made towards addressing Corrective Actions. Please indicate at least the percentage progress made towards the addressing of the findings and recommendations of the AAR. Provide more details if satisfactory progress has not been made (use additional pages, if necessary).						
<b>Tabletop Exercise (TTX)</b>						
• AAR Complete						
• Corrective Actions Identified						
Progress made towards addressing Corrective Actions. Please indicate at least the percentage progress made towards the addressing of the findings and recommendations of the AAR. Provide more details if satisfactory progress has not been made (use additional pages, if necessary).						
<b>Game</b>						
• AAR Complete						
• Corrective Actions Identified						
Progress made towards addressing Corrective Actions. Please indicate at least the percentage progress made towards the addressing of the findings and recommendations of the AAR. Provide more details if satisfactory progress has not been made (use additional pages, if necessary).						
<b>Operations-Based</b>						
<b>Drill</b>						
• AAR Complete						
• Corrective Actions Identified						
Progress made towards addressing Corrective Actions. Please indicate at least the percentage progress made towards the addressing of the findings and recommendations of the AAR. Provide more details if satisfactory progress has not been made (use additional pages, if necessary).						
<b>Functional Exercise</b>						
• AAR Complete						
• Corrective Actions Identified						
Progress made towards addressing Corrective Actions. Please indicate at least the percentage progress made towards the addressing of the findings and recommendations of the AAR. Provide more details if satisfactory progress has not been made (use additional pages, if necessary).						
<b>Full-Scale Exercise</b>						
• AAR Complete						
• Corrective						

Actions Identified						
Progress made towards addressing Corrective Actions. Please indicate at least the percentage progress made towards the addressing of the findings and recommendations of the AAR. Provide more details if satisfactory progress has not been made (use additional pages, if necessary).						
Progress made towards completing Multi-Year TEP.						

**Part VI: EMPG Program-Funded Personnel and Training Data Table**

**FY11 EMPG Program-Funded Personnel and Training Completed Template**

Complete the following four matrixes using data from the Program-Funded Personnel and Training Completed Template.

Metrics	Data
Total number of FY11 EMPG Program-funded personnel, as identified in the above matrix.	

Metrics	Data
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List of EMPG-Funded Personnel	NIMS Training				FEMA Professional Development Series						
	IS 100	IS 200	IS 700	IS 800	IS 139	IS 230.b	IS 235.a	IS 240.a	IS 241.a	IS 242.a	IS 244.a
Total number of required trainings (11) multiplied by the total number of FY11 EMPG Program-funded personnel (identified above).											

Metrics	Data
Total number of completed trainings by all EMPG Program-funded personnel.	

Metrics	Data
Total percent (%) completion of all eleven (11) FY11 EMPG required NIMS and FEMA Professional Development Series training courses by all EMPG-funded personnel.	%

**Part VII: EMPG Program-Funded Personnel and Exercise Data Table**

**FY11 EMPG Program-Funded Personnel and Exercises Completed Template**

List of EMPG-Funded Personnel	Exercise 1	Exercise 2	Exercise 3

Complete the following four matrixes using data from the Program-Funded Personnel and Exercise Completed Template.

Metrics	Data
Total number of FY11 EMPG Program-funded personnel, as identified in the above matrix.	

Metrics	Data
Total number of required exercises (3) multiplied by the total number of FY11 EMPG Program-funded personnel (identified above).	

Metrics	Data
Total number of completed exercises by all EMPG Program-funded personnel.	

Metrics	Data
Total percent (%) completion of all three (3) FY11 EMPG required exercises by all EMPG-funded personnel.	%

**Part VIII: Multi-Year Training and Exercise Plan (TEP)**

**FY11 EMPG Multi-Year TEP Submission Inquiry Template**

Question	Response
Was a Multi-Year TEP submitted to the appropriate Cal EMA Exercise Division Point of Contact?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Was a Multi-Year TEP submitted to Cal EMA on a one-time basis with an FY11 EMPG Performance Report?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Was the Operational Area Multi-Year TEP updated annually, as required under FY11 EMPG?	Yes <input type="checkbox"/> No <input type="checkbox"/>

**Part IV: Additional Information/Comments to be Added**

**FY11 EMPG Additional Information/Comments to be Added Template**

Additional Information:

**Part V: Certification of Reported Activities**

**FY11 EMPG Certification of Reported Activities Section**

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*I am the duly appointed Authorized Agent and certify that the above activities are true and correct.*

\_\_\_\_\_  
*Signature of Authorized Agent*

\_\_\_\_\_  
*Printed Name*

\_\_\_\_\_  
*Title*

\_\_\_\_\_  
*Date*

Cal EMA use only

Reviewed by: \_\_\_\_\_

Date \_\_\_\_\_

Comments:

# Instructions Sheet for the FY11 EMPG Performance Report - Cumulative-

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## **Part I: General Information Table**

**Purpose:** The information being requested will identify the subgrantee, their Cal EMA identification number, the date the report was completed, the quarter being reported, and the grant number associated with this Performance Report.

**Instructions:** Provide the following required general information.

**Jurisdiction:** Enter the Operational Area name.

**Cal EMA ID#:** Enter the California Emergency Management Agency identification number assigned to the subgrantee, such as 000-00000.

**Date of Report:** This would be the date the report is completed.

**Quarter #:** This would be the quarterly performance period that this cumulative Performance Report is relating to, such as 1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup>, 4<sup>th</sup>, 5<sup>th</sup> (if a grant award period is extended), etc.

**Note:** All Performance Reports for FY11 EMPG are **CUMULATIVE**. As a result, all tallied data will be reported successively in an ongoing fashion. Therefore, all reported data provided in previously submitted FY11 EMPG Performance Reports must be included in all future FY11 EMPG Performance Reports submitted throughout the FY11 EMPG award period.

**Grant #:** This would be the federal grant number associated with this specific grant, such as EMW-2011-EP-00048-S01.

## **Part II: Grant Activities Table**

**Purpose:** The data in this template will be used to evaluate the timely completion of planned emergency management activities.

**Instructions:** Report on activities and/or projects supported with FY11 EMPG Program funds.

**Activity:** List one of the specific activities and/or projects identified in your application.

**Task(s) to be completed:** List the task(s) to be completed associated with the corresponding activity and/or project.

**Status:** List the status of the corresponding activity and task(s) to be completed.

**Activity Summary Complete?:** Indicate whether or not you completed this activity. Double click on the appropriate box and a pop-up window will allow you to put an "X" in the box.

**Activity Summary:** In the space below these boxes, describe what was done from start to finish on this activity.

Repeat for each of your activities.

### **Part III: Personnel Data Table**

**Purpose:** This data requested will assist in documenting the extent to which EMPG Program funding contributes to enhancing or sustaining emergency management capacity in terms of personnel support at the Operational Area level.

**Instructions:** Report data on personnel supported/not supported with FY11 EMPG Program funds.

**EMPG Program funds allocated towards Operational Area emergency management personnel:** List the total amount of EMPG Program funds allocated towards Operational Area emergency management personnel. **Note:** Emergency management personnel are personnel who perform emergency management-related functions.

**EMPG Program funds allocated towards Operational Area contractors:** List the total amount of EMPG Program funds allocated towards Operational Area contractors. **Note:** An Operational Area contractor refers to contracted personnel not vendors.

**Non-EMPG Program funds allocated towards Operational Area emergency management personnel:** List the total amount of non-EMPG funds allocated towards Operational Area emergency management personnel. **Note:** Non-EMPG-funded implies funds other than EMPG sources.

**Total Number of Operational Area emergency management full-time equivalent (FTE) personnel (including those supported and not supported by the EMPG Program):** List the total number of Operational Area emergency management full-time equivalent (FTE) personnel (including those supported and not supported by the EMPG Program). **Note:** Supported implies EMPG-funded while not supported implies funded by sources other than EMPG.

**Number of Operational Area emergency management full-time equivalent (FTE) personnel supported by EMPG Program:** List the total number of Operational Area emergency management full-time equivalent (FTE) personnel supported by the EMPG Program.

### **Part IV: Training Data Table**

**Purpose:** The data requested will be used to assess the strategic allocation of training funds according to a long-term target capability.

**Instructions:** Report data on training sessions funded with FY11 EMPG Program funds.

**Name of Training:** List the name of the (EMPG-funded) training course.

**Number of Personnel Trained:** List the total number of personnel (both EMPG and Non-EMPG-funded personnel) who were trained in EMPG-funded training courses.

**Number of EMPG Program-Funded Personnel:** List the total number of EMPG-funded personnel.

**Number of EMPG Program-Supported Personnel Trained:** List the total number of EMPG Program-supported personnel trained in EMPG-funded training courses. **Note:** Supported implies grant-funded.

**Training Aligned to Multi-Year Training and Exercise Plan? (Yes/No):** Specify, yes or no, whether the funded training is aligned to the Operational Areas Multi-Year Training and Exercise Plan (TEP).

## **Part V: Exercise Data Table**

**Purpose:** The data requested will be used to assess the extent to which funded exercises test jurisdiction-specific capability requirements.

**Instructions:** Report data on exercises conducted using FY11 EMPG Program funds.

**Number of Exercises:** List the number of discussion-based exercises funded by type and list the number of operations-based exercises funded by type.

**Number Counting Towards Multi-Year Training and Exercise Plan (TEP):** With regards to the number of exercises conducted, by type, list the number of exercises counting towards the Operational Areas Multi-Year TEP.

**Number of EMPG-Funded Personnel:** List the total number of EMPG-funded personnel.

**Number of EMPG Program-Funded Personnel participating in Exercise:** List the total number of EMPG-funded personnel who participated in the exercise.

**Name or Description:** List the name or description of each exercise.

**Exercise Aligned to Emergency Operations Plan? (Yes/No):** Specify, yes or no, whether the exercise tests the Emergency Operations Plan of the Operational Area.

**AAR Complete:** Specify, yes or no, if the After Action Reports/Improvement Plans (AARs/IPs) associated with the reported exercises has been completed or not.

**Note:** AAR Complete refers to all of the following: 1.) AAR/IP completed by the Operational Area; 2.) AAR/IP has been encrypted (password-protected) and e-mailed to both, [hseep@dhs.gov](mailto:hseep@dhs.gov) and the appropriate Cal EMA Office of Grants Management Program Specialist and also the password is also sent via separate e-mail to both, [hseep@dhs.gov](mailto:hseep@dhs.gov) and the appropriate Cal EMA Office of Grants Management Program Specialist.

**Corrective Actions Identified:** Specify, yes or no, if corrective actions have been identified for the exercises being reported on.

**Progress made towards addressing Corrective Actions. Please indicate at least the percentage progress made towards the addressing the findings and recommendations of the AAR. Provide more details if satisfactory progress has not been made (use additional pages, if necessary):** In this box, specify the progress made towards addressing the corrective actions identified for the exercises you are reporting on. At a minimum, indicate at least the percentage of progress made towards the addressing of the findings and recommendations of the AAR. If satisfactory progress has not been made, provide more details regarding this matter (use additional pages, if necessary).

**Progress made towards completing Multi-Year TEP:** In this box, specify the progress made towards completing the Operational Area's Multi-Year Training and Exercise Plan (TEP). Please indicate at least the percentage of progress towards the completing of activities identified in your Multi-Year TEP.

## **Part VI: EMPG Program-Funded Personnel and Training Data Table**

**Purpose:** The data requested will be used to identify the EMPG Program-funded personnel along with the completion of FY11 EMPG-required training.

**Instructions:** Report data on EMPG Program-funded personnel and their completion of FY11 EMPG required training.

**List of EMPG-Funded Personnel:** Vertically list the name(s) or position title(s) of the (EMPG-funded) personnel who are being supported (in part or full) by FY11 EMPG Program funds.

**Note:** Supported implies grant funded.

**NIMS Training (IS-100; IS-200; IS-700; IS-800):** Upon a specific EMPG Program-funded personnel's completion of a required NIMS training course, input an "X" in the corresponding horizontal box to the right of the identified personnel's name or position title that is associated with the completed NIMS training.

**FEMA Professional Development Series (IS-139; IS-230.b; IS-235.a; IS 240.a; IS-241.a; IS-242.a; IS-244.a):** Upon a specific EMPG Program-funded personnel's completion of a required FEMA Professional Development Series training course, input an "X" in the corresponding horizontal box to the right of the identified personnel's name or position title that is associated with the completed FEMA Professional Development Series training.

**Total number of FY11 EMPG Program-funded personnel, as identified in the above matrix:** List the total number of FY11 EMPG Program-funded personnel.

**Total number of required trainings (11) multiplied by the total number of FY11 EMPG Program-funded personnel:** Input the numerical answer for the following calculation, total number of required trainings (11) multiplied by (X) the total number of FY11 EMPG Program-funded personnel.

**Total number of completed trainings by all EMPG Program-funded personnel:** List the total number of completed trainings by all EMPG Program-funded personnel, as identified by the number of "X"'s listed in the FY11 EMPG Program-Funded Personnel and Training Completed Template.

**Total percent completion of all eleven (11) FY11 EMPG required NIMS and FEMA Professional Development Series training courses by all EMPG-funded personnel:** Input the total percent completion of all eleven (11) FY11 EMPG required NIMS and FEMA Professional Development Series training courses by all EMPG-funded personnel.

**Note:** To calculate the percent of total required trainings completed by all EMPG Program-funded personnel do the following: Divide the following calculation (total number of required trainings (11) multiplied by the total number of FY11 EMPG Program-funded personnel), i.e., the denominator, by the following numerator, (total number of completed trainings by all EMPG Program-funded personnel). The answer will be the total percentage of FY11 EMPG required training completed by all FY11 EMPG Program-funded staff.

## **Part VII: EMPG Program-Funded Personnel and Exercise Data Table**

**Purpose:** The data requested will be used to identify the EMPG Program-funded personnel along with the completion of FY11 EMPG-required exercises (three exercises in a 12-month period).

**Instructions:** Report data on EMPG Program-funded personnel and their completion of FY11 EMPG required exercises (three exercises in a 12-month period).

**List of EMPG-Funded Personnel:** Vertically list the name(s) or position title(s) of the (EMPG-funded) personnel who are being supported (in part or full) by FY11 EMPG Program funds.

**Note:** Supported implies grant funded.

**Exercise 1:** Upon a specific EMPG Program-funded personnel’s completion of their first required FY11 EMPG exercise, input an “X” in the corresponding horizontal box, “Exercise 1” to the right of the identified personnel’s name or position title that is associated with the successful completion of the first required exercise.

**Exercise 2:** Upon a specific EMPG Program-funded personnel’s completion of their second required FY11 EMPG exercise, input an “X” in the corresponding horizontal box, “Exercise 2” to the right of the identified personnel’s name or position title that is associated with the successful completion of the second required exercise.

**Exercise 3:** Upon a specific EMPG Program-funded personnel’s completion of their third required FY11 EMPG exercise, input an “X” in the corresponding horizontal box, “Exercise 3” to the right of the identified personnel’s name or position title that is associated with the successful completion of the third required exercise.

**Total number of FY11 EMPG Program-funded personnel, as identified in the above matrix:** List the total number of FY11 EMPG Program-funded personnel.

**Total number of required exercises (3) multiplied by the total number of FY11 EMPG Program-funded personnel:** Input the numerical answer for the following calculation, total number of required exercises (31) multiplied by (X) the total number of FY11 EMPG Program-funded personnel.

**Total number of completed exercises by all EMPG Program-funded personnel:** List the total number of completed exercises by all EMPG Program-funded personnel, as identified by the number of “X”s listed in the FY11 EMPG Program-Funded Personnel and Exercises Completed Template.

**Total percent completion of all three (3) FY11 EMPG required exercises by all EMPG-funded personnel:** Input the total percent completion of all three (3) FY11 EMPG required exercises by all EMPG-funded personnel.

**Note:** To calculate the percent of total required exercises completed by all EMPG Program-funded personnel do the following: Divide the following calculation (total number of required exercises (3) multiplied by the total number of FY11 EMPG Program-funded personnel), i.e., the denominator, by the following numerator, (total number of completed exercises by all EMPG Program-funded personnel). The answer will be the total percentage of FY11 EMPG required exercises completed by all FY11 EMPG Program-funded staff.

## **Part VIII: Multi-Year Training and Exercise Plan (TEP)**

**Purpose:** The data requested will be used to identify if the FY11 EMPG requirements associated with the Multi-Year Training and Exercise Plan were met.

**Instructions:** Report on activity pertaining to the completion, submission and updating of an FY11 EMPG Multi-Year Training and Exercise Plan.

**Was a Multi-Year TEP submitted to the appropriate Cal EMA Exercise Division POC? (Yes/No):** Indicate whether or not you completed this activity. Double click on the appropriate box and a pop-up window will allow you to put an “X” in the box.

**Was a Multi-Year TEP submitted to Cal EMA on a one-time basis with a Performance Report?** Indicate whether or not you completed this activity. Double click on the appropriate box and a pop-up window will allow you to put an “X” in the box.

**Was the Operational Area Multi-Year TEP updated annually, as required under FY11 EMPG?** Indicate whether or not you completed this activity. Double click on the appropriate box and a pop-up window will allow you to put an “X” in the box.

#### **Part IV: Additional Information/Comments to be Added**

**Purpose:** The data requested will be used to identify any additional information or comments you would like to discuss pertaining to your Operational Area’s accomplishments using FY11 EMPG funds that was not captured or discussed in other areas of the Performance Report.

**Instructions:** List any additional information or comments you would like to discuss pertaining to your Operational Area’s accomplishments using FY11 EMPG funds that was not captured or discussed in other areas of the Performance Report.

#### **Part V: Certification of Reported Activities**

**Certification:** Have the authorized agent sign this form in *blue ink*. Please print the name, title and date as well.

#### **Submission and Mailing Instructions**

**Mailing Instructions:** Mail the original Performance Report with “wet” signature to Cal EMA at:

Cal EMA  
Attention: Michael Bright  
3650 Schriever Avenue  
Mather, CA 95655

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## Notice of Interest (NOI) Investment Justification

**Instructions:** Complete all fields, answer all questions, and follow all instructions for areas “I” through “XIII” of this “Notice of Interest (NOI) Investment Justification” document.

### I. Applicant Information

Grant Year and Program:	Fiscal Year 2011 Tribal Emergency Management Performance Grant (EMPG)
Tribe Name:	
Point of Contact’s Name:	
Address:	
Telephone:	
E-Mail:	
Total Requested Grant Amount:	
Dun and Bradstreet Number (DUNS #):	
Federally-Recognized Tribe Status (Yes/No):	

### II. Provide a description of the Tribe’s current emergency management system.

(2,200 Character max-not including spaces)

### III. Provide a description of how FY 2011 EMPG funding would improve the current emergency management system.

(2,200 Character max-not including spaces)

### IV. Detail how the Standardized Emergency Management System/National Incident Management System (SEMS/NIMS) is incorporated into the Tribe’s emergency management system.

(2,200 Character max-not including spaces)

**V. Describe the area(s) of coordination between the Tribe and its regional city and/or county entities.**

(2,200 Character max-not including spaces)

**VI. Detail how Emergency Management Performance Grant (EMPG) eligible activities (Planning, Training, Exercise, Organization, Management and Administrative (M&A), Emergency Operations Center (EOC) Construction/Renovation) match the activities proposed to be completed with the grant funds.**

(2,200 Character max-not including spaces)

**VII. Identify the grant-funded activities and how they are associated with a California Emergency Management Agency (Cal EMA) Objective.**

(2,200 Character max-not including spaces)

**VIII. Realistically explain how the associated tasks and activities identified to occur within the performance period timeline are going to be accomplished.**

(2,200 Character max-not including spaces)

**IX. Provide specific details of how the grant's cost sharing/match requirement will be met by the Tribe.**

(2,200 Character max-not including spaces)

**X. Provide details of how the required EMPG Program-funded personnel’s training and exercises requirement will be met, including the development of a Multi-Year Training and Exercise Plan (TEP).**

(2,200 Character max-not including spaces)

**XI. Provide a list of the equipment to be purchased, the number of items, and their corresponding Authorized Equipment List (AEL) Numbers and Titles.**

(2,200 Character max-not including spaces)

**XII. Using the following matrix, provide a breakdown of proposed funding by solution area.**

<b>Proposed Funding By Solution Area</b>	<b>Amount of Proposed Funding</b>
Planning	
Organization	
Equipment	
Training	
Exercise	
Emergency Operations Center (EOC) Construction or Renovation	
Grand Total of Proposed Grant-Funded Project	

**XIII. Submit the following two (2) completed Notice of Interest (NOI) documents:**

- 1.) Investment Justification**
- and**
- 2.) Detailed Budget Sheet**

To Cal EMA Program Specialist Michael Bright via e-mail, at [michael.bright@calema.ca.gov](mailto:michael.bright@calema.ca.gov), **no later than January 16, 2012 11:59 PM PST.**

## Notice of Interest (NOI) Detailed Budget Sheet

Agency Name:

FY11 EMERGENCY MANAGEMENT PERFORMANCE GRANT (EMPG)

Project Name:

Personal Services							
Position	# of positions	Monthly Salary	# of Months on project	% of time on project	Total	Current Position Fund Source	Functional Role
					-		
					-		
					-		

Personal Services Cost Summary	
Permanent Salaries	-
Temporary Help	
Staff Benefits	
Total Personal Services	-
Operating Expense & Equipment	
General Expense	
Printing	
Postage	
Travel In-State	
Consultant & Prof - Internal	
Consultant & Prof - External	
Data Processing	
Equipment	
Other Items	
Total Oper Expense & Equip	-
<b>TOTAL PROPOSED PROJECT BUDGET</b>	<b>-</b>

## Appendix E: Project Proposal Reference Materials

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### EMAP #

4.1	Administration and Finance	4.9	Mutual Aid
4.2	Laws and Authorities	4.10	Communications and Warning
4.3	Hazard Identification, Risk Assessment and Consequence Analysis	4.11	Operations and Procedures
4.4	Hazard Mitigation	4.12	Facilities
4.5	Prevention	4.13	Training
4.6	Operational Planning	4.14	Exercises, Evaluations, and Correctional Actions
4.7	Incident Management	4.15	Crisis Communications, Public Education and Information
4.8	Resource Management and Logistics		

### **CAL EMA STRATEGIC PLAN OBJECTIVES**

#### Objective 1.1

Strengthen information sharing and collaboration among all levels of government, private industry, nongovernmental and community-based organizations.

#### Objective 1.2

Implement the California critical infrastructure protection program.

#### Objective 1.3

Strengthen our ability to identify and counter emerging threats.

#### Objective 1.4

Strengthen the capacity of Cal EMA's public safety and criminal justice programs to serve customers statewide. Enhance law enforcement and victim services programs.

#### Objective 1.5

Institutionalize hazard identification, risk assessment, and hazard-mitigation planning to reduce vulnerability and provide effective tools for planning, preparedness and recovery.

#### Objective 2.1

Enhance state and regional operational capabilities and readiness.

#### Objective 2.2

Strengthen planning for both intentional and natural disasters.

#### Objective 2.3

Encourage citizen preparedness while integrating the needs of vulnerable populations.

Objective 2.4

Provide tools to develop and maintain continuity plans for both the private and public sector.

Objective 2.5

Enhance agriculture food systems and animal health preparedness.

Objective 2.6

Expand statewide training and exercises across all mission areas, while enhancing professional training for emergency management and homeland security disciplines.

Objective 2.7

Enhance resource management through implementation of the California Metrics project.

Objective 3.1

Institutionalize Recovery Planning

Objective 3.2

Strengthen statewide, national and international mutual-assistance compacts.

Objective 3.3

Provide guidance and support for enhancing primary and alternate Emergency Operations Centers (EOCs) to increase regional readiness.

Objective 3.4

Expand the Standardized Emergency Management System (SEMS) to ensure inclusion of all customer groups.

Objective 3.5

Strengthen alert and warning systems to ensure the delivery of clear and consistent public information.

Objective 3.6

Enhance Geographic Information system (GIS) and information-mapping capabilities.

Objective 3.7

Strengthen operable and interoperable communications.

Objective 4.1

Streamline grant application and approval processes

Objective 4.2

Provide technical assistance and resources to customers.

Objective 4.3

Ensure transparency and accountability

Objective 5.1

Develop and implement Agency retention plans.

Objective 5.2

Increase organizational opportunities for learning and professional growth.

Objective 5.3

Coordinate and align California’s emergency management planning efforts to achieve overall consistency.

Objective 5.4

Develop networks for identifying and sharing lessons learned and best practices.

NATIONAL PRIORITIES

1. Expand Regional Collaboration
2. Implement the National Incident Management System and National Response Plan
3. Implement the National Infrastructure Protection Plan
4. Strengthen Information Sharing and Collaboration Capabilities
5. Strengthen Interoperable and Operable Communications Capabilities
6. Strengthen CBRNE Detection, Response, and Decontamination Capabilities
7. Strengthen Medical Surge and Mass Prophylaxis Capabilities
8. Strengthen Planning and Citizen Preparedness Capabilities

TARGET CAPABILITIES

<b>Common Mission Area</b>
Communications Community Preparedness and Participation Planning Risk Management Intelligence/Information Sharing and Dissemination
<b>Prevent Mission Area</b>
CBRNE Detection Information Gathering and Recognition of Indicators and Warnings Intelligence Analysis and Production Counter-Terror Investigations and Law Enforcement
<b>Protect Mission Area</b>
Critical Infrastructure Protection Epidemiological Surveillance and Investigation Food and Agriculture Safety and Defense Laboratory Testing
<b>Recover Mission Area</b>
Economic and Community Recovery Restoration of Lifelines Structural Damage Assessment

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**Respond Mission Area**

Animal Health Emergency Support  
Citizen Evacuation and Shelter-in-Place  
Critical Resource Logistics and Distribution  
Emergency Operations Center Management  
Emergency Public Information and Warning  
Environmental Health  
Explosive Device Response Operations  
Fatality Management  
Fire Incident Response Support  
Isolation and Quarantine  
Mass Care (Sheltering, Feeding, and Related Services)  
Mass Prophylaxis  
Medical Supplies Management and Distribution  
Medical Surge  
Onsite Incident Management  
Emergency Public Safety and Security Response  
Responder Safety and Health  
Emergency triage and pre-hospital treatment  
Search and Rescue (land-based)  
Volunteer Management and Donations  
WMD/Hazardous Materials Response and Decontamination

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## Appendix F: Acronyms

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A & W	Alert and Warning
AAR	After Action Report
ARC	American Red Cross
ARP	Accidental Risk Prevention
BSA	California Bureau of State Audits
CAER	Community Awareness and Emergency Response
Cal ARP	California Accidental Release Prevention
Cal EMA	California Emergency Management Agency
Cal EPA	California Environmental Protection Agency
CAR	Capability Assessment for Readiness
CBO	Community based organization
CBRN	Chemical, Biological, Radiological, or Nuclear materials
CDF	California Department of Forestry and Fire Protection
CDMG	California Division of Mines and Geology
CEC	California Energy Commission or California Emergency Council
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
CERT	Community Emergency Response Team
CEPEC	California Earthquake Prediction Evaluation Council
CESRS	California Emergency Services Radio System
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulations
CHIP	California Hazard Identification Program
CHMIRS	California Hazardous Material Incident Reporting System
CHP	California Highway Patrol
CLETS	California Law Enforcement Telecommunications System
COG	Continuity of Government
COOP	Continuity of Operations
CSTI	California Specialized Training Institute
CUPA	Certified Unified Program Agency
DFO	Disaster Field Office
DGS	California Department of General Services
DHS	U.S. Department of Homeland Security
DHS-RHB	California Department of Health Services, Radiological Health Branch
DOC	Department Operations Center
DOE	Department of Energy (U.S.)
DOF	California Department of Finance
DOJ	California Department of Justice
DSR	Disaster Survey Report
DSW	Disaster Service Worker
DWR	California Department of Water Resources
EAS	Emergency Alerting System
EDIS	Emergency Digital Information System
EERI	Earthquake Engineering Research Institute
EHP	Environmental Planning and Historic Preservation
EMA	Emergency Management Assistance
EMAP	Emergency Management Accreditation Program
EMF	Emergency Management Function
EMI	Emergency Management Institute
EMMA	Emergency Managers Mutual Aid
EMPG	Emergency Management Performance Grant
EMS	Emergency Medical Services
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
EPA	Environmental Protection Agency (U.S.)
EPEDAT	Early Post Earthquake Damage Assessment Tool
EPI	Emergency Public Information

## Appendix F: Acronyms, continued

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EPIC	Emergency Public Information Council
EP&R	Emergency Preparedness and Response (DHS Directorate)
ESF	Emergency Service Functions (Federal)
FEMA	Federal Emergency Management Agency
FIR	Final Inspection Reports
FIRESCOPE	Fire Fighting Resources of Southern California Organized for Potential Emergency
FMA	Flood Management Assistance
FSR	Feasibility Study Report
FY	Fiscal Year
GPD	Grant Programs Directorate
GIS	Geographical Information System
HAZMAT	Hazardous Material
HAZMIT	Hazardous Mitigation
HAZUS	Hazards-United States (an earthquake damage assessment prediction tool)
HCD	Housing and Community Development
HDER	Homeland Defense Equipment Reuse
HEICS	Hospital Emergency Incident Command System
HEPG	Hospital Emergency Planning Guidance
HMEP	Hazardous Materials Emergency Preparedness
HMGP	Hazard Mitigation Grant Program
HSEEP	Homeland Security Exercise and Evaluation Program
IDE	Initial Damage Estimate
IA	Individual Assistance
IFGP	Individual and Family Grant Program
IPA	Information and Public Affairs (of Cal EMA)
IRG	Incident Response Geographic Information System
LEMA	Law Enforcement Mutual Aid
LEPC	Local Emergency Planning Committee
M&A	Management and Administrative
MARAC	Mutual Aid Regional Advisory Committee
MOU	Memorandum of Understanding
NBC	Nuclear, Biological, Chemical
NEMA	National Emergency Management Agency
NEMIS	National Emergency Management Information System
NFIP	National Flood Insurance Program
NIMCAST	National Incident Management Capability Assessment Tool
NIMS	National Incident Management System
NOAA	National Oceanic and Atmospheric Association
NPP	Nuclear Power Plant
NSF	National Science Foundation
NWS	National Weather Service
OA	Operational Area
OASIS	Operational Area Satellite Information System
OCC	Operations Coordination Center
OSHPD	Occupational Safety and Health Protection Division
OSPR	Oil Spill Prevention and Response
PA	Public Assistance
PDA	Preliminary Damage Assessment
POST	Police Officer Standards and Training
PSA	Public Service Announcement
RAMP	Regional Assessment of Mitigation Priorities
RAPID	Railroad Accident Prevention and Immediate Deployment
RDO	Radiological Defense Officer
RDMHC	Regional Disaster Medical Health Coordinator
REOC	Regional Emergency Operations Center
REPI	Reserve Emergency Public Information

## Appendix F: Acronyms, continued

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RES	Regional Emergency Staff
RKB	Responder Knowledge Base
RIMS	Response Information Management System
RMP	Risk Management Plan
RRT	Regional Response Team
SARA	Superfund Amendments and Reauthorization Act
SAP	Safety Assessment Program
SBA	Small Business Administration
SEMS	Standardized Emergency Management System
SEPIC	State Emergency Public Information Committee
SHMO	State Hazard Mitigation Officer
SLA	State and Local Assistance
SONGS	San Onofre Nuclear Generating Station
SOP	Standard Operating Procedure
SWEPC	Statewide Emergency Planning Committee
SWIC	Statewide Interoperability Coordinator
TEP	Training and Exercise Plans
TEPW	Training and Exercise Plan Workshop
TRU	Transuranic
THIRA	Threat
UPA	Unified Program Account
USAR	Urban Search and Rescue
USGS	United States Geological Survey
WC	California State Warning Center
WIPP	Waste Isolation Pilot Project
WMD	Weapons of Mass Destruction

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# Appendix G: Match Information

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## *FY11 Match Guidance*

### *Introduction*

Determining match for the purposes of submitting grant applications to any federal agency should be a coordinated process at the state and local level. It is highly recommended that programmatic staff at the state and local level consult with their financial staff prior to submitting any grant applications, especially those that identify cash or in-kind match.

### *Types of Match*

- 1. Cash Match.** Cash (hard) match includes non-federal cash spent for project related costs, according to the program guidance. Allowable cash match must only include those costs which are in compliance with 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87) and 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*.
- 2. In-kind Match.** In-kind (soft) match includes, but is not limited to, the valuation of in-kind services. “In-kind” is the value of something received or provided that does not have a cost associated with it. For example, if in-kind match (other than cash payments) is permitted, then the value of donated services could be used to comply with the match requirement. Also, third party in-kind contributions may count toward satisfying match requirements provided the grantee receiving the contributions expends them as allowable costs in compliance with 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87) and 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*.

### *Definitions*

- **Matching or Cost Sharing.** This means the value of the third party in-kind contributions and the portion of the costs of a federally-assisted project or program not borne by the Federal Government. All cost-sharing or matching funds claimed against a FEMA grant by state, local or tribal governments must meet the requirements of the program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225.
- **Cash Match (hard).** This includes cash spent for project-related costs under a grant agreement. Allowable cash match must include only those costs which are allowable with federal funds in compliance with the program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225.
- **In-kind Match (soft).** This means contributions of the reasonable value of property or services in lieu of cash which benefit a federally-assisted project or program. This type of match may only be used if not restricted or prohibited by program statute, regulation or guidance and must be supported with source documentation. Only property or services that are in compliance with program guidance and/or program regulations, 44 CFR § 13, and 2 CFR § 225, are allowable.

### *Basic Guidelines*

- For costs to be eligible to meet matching requirements, the costs must first be allowable under the grant program.
- The costs must also be in compliance with all federal requirements and regulations (e.g., 44 CFR Part 13 and 2 CFR Part 225); the costs must be reasonable, allowable, allocable, and necessary.
- Records for all expenditures relating to cost sharing or matching must be kept in the same manner as those for the grant funds.
- The following documentation is required for third-party cash and in-kind contributions: Record of donor; Dates of donation; Rates for staffing, equipment or usage, supplies, etc.; Amounts of donation;

and deposit slips for cash contributions. According to 44 CFR § 13.24, this documentation is to be held at the Applicant and/or sub-applicant level.

- Except as provided by federal statute, a cost sharing or matching requirement may not be met by costs borne by another federal grant.
- The source of the match funds must be identified in the grant application.
- Every item must be verifiable, i.e., tracked and documented.
- Any claimed cost share expense can only be counted once.

*Examples (For additional examples of match, please contact your state finance office)*

- The Emergency Management Director has 50 percent of his/her salary paid from state funds and 50 percent paid from federal grant funds, but he/she provides 60 percent effort in the federal grant program that only pays 50 percent salary. The additional 10 percent of effort/time toward the federal grant program can be claimed as soft match. All record keeping requirements to prove the 60 percent time allocation apply.
- Non-federally funded equipment or facilities used during exercises can be claimed as soft match, but only at the time of donation. For example, only the fair market price for the use of the facility for the period of the exercise can be claimed as match.
- Third party in-kind contributions of salary, travel, equipment, supplies and other budget areas that are from third party sources must be in compliance with 44 CFR §13.24, *Matching or Cost Sharing*. These types of contributions include voluntary contributions such as emergency personnel, lawyers, etc., who donate their time to a federal grant program. The normal per hour rate for these professionals (acting in their professional capacity) can be used to meet the matching requirement. The value of the services provided is taken into consideration when determining the value of the contribution - not who is providing the service. For example, if a lawyer is volunteering his services to assist flood victims in filing legal paper work, the lawyer's normal hourly rate is allowable. If the lawyer is volunteering his services and is working in a soup kitchen, the lawyer's hourly rate would not be applicable; it would be the hourly rate for a soup kitchen worker.

### **Governing Provisions**

- 44 CFR Part 13, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*
- Reference 44 CFR § 13.24, *Matching or Cost Sharing*
- 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments* (OMB Circular A-87)
- Program Guidance and/or Program Regulations

### **44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments**

#### **44 CFR § 13.24, Matching or Cost Sharing**

**(a) Basic rule:** Costs and contributions acceptable. With the qualifications and exceptions listed in paragraph (b) of this section, a matching or cost sharing requirement may be satisfied by either or both of the following:

- (1) Allowable costs incurred by the grantee, subgrantee or a cost-type contractor under the assistance agreement. This includes allowable costs borne by non-federal grants or by others cash donations from non-federal third parties.
- (2) The value of third party in-kind contributions applicable to the period to which the cost sharing or matching requirements applies.

#### **(b) Qualifications and exceptions:**

- (1) Costs borne by other federal grant agreements. Except as provided by federal statute, a cost sharing or matching requirement may not be met by costs borne by another federal grant. This prohibition does not apply to income earned by a grantee or subgrantee from a contract awarded under another federal grant.

- (2) General revenue sharing. For the purpose of this section, general revenue sharing funds distributed under 31 U.S.C. 6702 are not considered federal grant funds.
- (3) Cost or contributions counted towards other federal costs-sharing requirements. Neither costs nor the values of third party in-kind contributions may count towards satisfying a cost sharing or matching requirement of a grant agreement if they have been or will be counted towards satisfying a cost sharing or matching requirement of another federal grant agreement, a federal procurement contract, or any other award off federal funds.
- (4) Costs financed by program income. Costs financed by program income, as defined in § 13.25, shall not count towards satisfying a cost sharing or matching requirement unless they are expressly permitted in the terms of the assistance agreement (This use of general program income is described in § 13.25 (g)).
- (5) Services or property financed by income earned by contractors. Contractors under a grant may earn income from the activities carried out under the contract in addition to the amounts earned from the party awarding the contract. No costs of services or property supported by this income may count toward satisfying a cost sharing or matching requirement unless other provisions of the grant agreement expressly permit this kind of income to be used to meet the requirement.
- (6) Records. Costs and third party in kind contributions counting towards satisfying a cost sharing or matching requirement must be verifiable from the records of grantees and subgrantees or cost-type contractors. These records must show how the value placed on third party in-kind contributions was derived. To the extent feasible, volunteer services will be supported by the same methods that the organization uses to support the allocability of regular personnel costs.
- (7) Special standards for third party in kind contributions.
  - (i) Third party in kind contributions count towards satisfying a cost sharing or matching requirement only where, if the party receiving the contributions were to pay for them, the payments would be allowable costs.
  - (ii) Some third party in-kind contributions are goods and services that if the grantee, subgrantee, or contractor receiving the contribution had to pay for them, the payments would have been indirect costs. Costs sharing or matching credit for such contributions shall be given only if the grantee, subgrantee, or contractor has established, along with its regular indirect cost rate, a special rate for allocating to individual projects or programs the value of the contributions.
  - (iii) A third party in-kind contribution to a fixed-price contract may count towards satisfying a cost sharing or matching requirement only if it results in:
    - (A) An increase in the services or property provided under the contract (without additional cost to the grantee or subgrantee); or
    - (B) A cost savings to the grantee or subgrantee.
  - (iv) The values placed on third party in kind contributions for cost sharing or matching purposes will conform to the rules in the succeeding sections of this part. If a third party in-kind contribution is a type not treated in those sections, the value placed upon it shall be fair and reasonable.

**(c) Valuation of donated services:**

- (1) Volunteer services. Unpaid services provided to a grantee or subgrantee by individuals will be valued at rates consistent with those ordinarily paid for similar work in the grantee's or subgrantee's organization. If the grantee or subgrantee does not have employees performing similar work, the rates will be consistent with those ordinarily paid by other employers for similar work in the same labor market. In either case, a reasonable amount for fringe benefits may be included in the valuation.
- (2) Employees of other organizations. When an employer other than a grantee, subgrantee, or cost-type contractor furnishes free of charge the services of an employee in the employee's normal line of work, the services will be valued at the employee's regular rate of pay exclusive of the employee's fringe benefits and overhead costs. If the services are in a different line of work, paragraph(c)(1) of this section applies.

**(d) Valuation of third party donated supplies and loaned equipment or space:**

- (1) If a third party donates supplies, the contribution will be valued at the market value of the supplies at the time of donation.
- (2) If a third party donates the use of equipment or space in a building but retains title, the contribution will be valued at the fair rental rate of the equipment or space.

**(e) Valuation of third party donated equipment, buildings, and land.** If a third party donates equipment, buildings, or land, and title passes to a grantee or subgrantee, the treatment of the donated property will depend upon the purpose of the grant or subgrant, as follows:

- (1) Awards for capital expenditures. If the purpose of the grant or subgrant is to assist the grantee or subgrantee in the acquisition of property, the market value of that property at the time of donation may be counted as cost sharing or matching,
- (2) Other awards. If assisting in the acquisition of property is not the purpose of the grant or subgrant, paragraphs (e)(2) (i) and (ii) of this section apply:
  - (i) If approval is obtained from the awarding agency, the market value at the time of donation of the donated equipment or buildings and the fair rental rate of the donated land may be counted as cost sharing or matching. In the case of a subgrant, the terms of the grant agreement may require that the approval be obtained from the federal agency as well as the grantee. In all cases, the approval may be given only if a purchase of the equipment or rental of the land would be approved as an allowable direct cost. If any part of the donated property was acquired with federal funds, only the non-federal share of the property may be counted as cost sharing or matching.
  - (ii) If approval is not obtained under paragraph (e)(2)(i) of this section, no amount may be counted for donated land, and only depreciation or use allowances may be counted for donated equipment and buildings. The depreciation or use allowances for this property are not treated as third party in-kind contributions. Instead, they are treated as costs incurred by the grantee or subgrantee. They are computed and allocated (usually as indirect costs) in accordance with the cost principles specified in § 13.22, in the same way as depreciation or use allowances for purchased equipment and buildings. The amount of depreciation or use allowances for donated equipment and buildings is based on the property's market value at the time it was donated.

**(f) Valuation of grantee or subgrantee donated real property for construction/ acquisition.** If a grantee or subgrantee donates real property for a construction or facilities acquisition project, the current market value of that property may be counted as cost sharing or matching. If any part of the donated property was acquired with federal funds, only the non-federal share of the property may be counted as cost sharing or matching.

**(g) Appraisal of real property.** In some cases under paragraphs (d), (e), and (f) of this section, it will be necessary to establish the market value of land or a building or the fair rental rate of land or of space in a building. In these cases, the federal agency may require the market value or fair rental value be set by an independent appraiser, and that the value or rate be certified by the grantee. This requirement will also be imposed by the grantee on subgrantees.

***2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments  
(OMB Circular A-87)***

**Basic Guidelines**

- 1. Factors affecting allow-ability of costs.** To be allowable under federal awards, costs must meet the following general criteria:
  - a. Be necessary and reasonable for proper and efficient performance and administration of federal awards.
  - b. Be allocable to federal awards under the provisions of 2 CFR Part 225.

- c. Be authorized or not prohibited under state or local laws or regulations.
  - d. Conform to any limitations or exclusions set forth in these principles, federal laws, terms and conditions of the federal award, or other governing regulations as to types or amounts of cost items.
  - e. Be consistent with policies, regulations, and procedures that apply uniformly to both federal awards and other activities of the governmental unit.
  - f. Be accorded consistent treatment. A cost may not be assigned to a federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the federal award as an indirect cost.
  - g. Except as otherwise provided for in 2 CFR Part 225, be determined in accordance with generally accepted accounting principles.
  - h. Not be included as a cost or used to meet cost sharing or matching requirements of any other federal award in either the current or a prior period, except as specifically provided by federal law or regulation.
  - i. Be the net of all applicable credits.
  - j. Be adequately documented.
- 2. Reasonable costs.** A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. The question of reasonableness is particularly important when governmental units or components are predominately federally-funded. In determining reasonableness of a given cost, consideration shall be given to:
- a. Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the governmental unit or the performance of the federal award.
  - b. The restraints or requirements imposed by such factors as: Sound business practices; arm's-length bargaining; federal, state and other laws and regulations; and, terms and conditions of the federal award.
  - c. Market prices for comparable goods or services.
  - d. Whether the individuals concerned acted with prudence in the circumstances considering their responsibilities to the governmental unit, its employees, the public at large, and the Federal Government.
  - e. Significant deviations from the established practices of the governmental unit which may unjustifiably increase the federal award's cost.
- 3. Allocable costs.**
- a. A cost is allocable to a particular cost objective if the goods or services involved are chargeable or assignable to such cost objective in accordance with relative benefits received.
  - b. All activities which benefit from the governmental unit's indirect cost, including unallowable activities and services donated to the governmental unit by third parties, will receive an appropriate allocation of indirect costs.
  - c. Any cost allocable to a particular federal award or cost objective under the principles provided for in 2 CFR Part 225 may not be charged to other federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the federal awards, or for other reasons.
  - d. Where an accumulation of indirect costs will ultimately result in charges to a federal award, a cost allocation plan will be required as described in Appendices C, D, and E to this part.
- 4. Applicable credits.**
- a. Applicable credits refer to those receipts or reduction of expenditure-type transactions that offset or reduce expense items allocable to federal awards as direct or indirect costs. Examples of such transactions are: Purchase discounts, rebates or allowances, recoveries or indemnities on losses, insurance refunds or rebates, and adjustments of overpayments or erroneous charges. To the extent that such credits accruing to or received by the governmental unit relate to allowable costs, they shall be credited to the federal award either as a cost reduction or cash refund, as appropriate.
  - b. In some instances, the amounts received from the Federal Government to finance activities or service operations of the governmental unit should be treated as applicable credits. Specifically, the concept of netting such credit items (including any amounts used to meet cost sharing or matching requirements) should be recognized in determining the rates or amounts to be charged to federal awards.