



***Cal* OES**

**GOVERNOR'S OFFICE
OF EMERGENCY SERVICES**

**Fiscal Year 2021
Emergency Management
Performance Grant (EMPG) and American
Rescue Plan Act (EMPG-ARPA)**

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

September 2021

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**Federal Program
Announcement**

In February 2021, the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) issued the Fiscal Year (FY) 2021 Emergency Management Preparedness Grant (EMPG), Notice of Funding Opportunity (NOFO) and [FEMA Preparedness Grants Manual](#). An [updated NOFO](#) was released in April, 2021 to reflect supplemental funding provided by the American Rescue Plan Act (ARPA).

Subrecipients must follow the programmatic requirements in the NOFO, FEMA Preparedness Grants Manual, and the applicable provisions of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards located in [Title 2, Code of Federal Regulations \(C.F.R.\) Part 200](#).

Information Bulletins

DHS issues [Information Bulletins](#) (IBs) to provide updates, clarification, and new requirements throughout the life of the grant.

**Purpose of the
California Supplement**

The [FY 2021 EMPG and EMPG-ARPA California Supplement to the NOFO](#) (State Supplement) is intended to complement, rather than replace, the NOFO and the FEMA [Preparedness Grants Manual](#). **All references to the FY 2021 EMPG Program in this State Supplement, also extend to the EMPG-ARPA Program.** Applicants are highly encouraged to thoroughly read the NOFO and the Preparedness Grants Manual before referring to the State Supplement. The State Supplement will emphasize differences between the FY 2020 and FY 2021 EMPG and highlight additional California policies and requirements applicable to the FY 2021 EMPG .

**Key Changes to the
FY 2021 EMPG**

- Additional funding is provided to EMPG under the American Rescue Plan Act (ARPA).
- The FY 2021 EMPG Financial Management Forms Workbook (FMFW) has been updated.
- The Integrated Preparedness Plan (IPP) format, previously known as the Multi-Year Training and Exercise Plan (MYTEP), will be required for the September 30, 2022, submission.
- FEMA Independent Study training course 230e has been updated.
- The Office of Management and Budget (OMB) published revisions to various sections of Title 2 of the Code of Federal Regulations (2 C.F.R.) as they relate to federal financial assistance. While some of the revisions were effective on August 13, 2020, most of the changes took effect on November 12, 2020. We highly encourage subrecipients to familiarize themselves with these changes. Information on all 2 C.F.R. revisions can be found at the [Federal Register's Guidance for Grants and Agreements webpage](#).

**Grants Management
Memoranda**

Cal OES issues [Grants Management Memoranda](#) (GMMs) which provide additional information and requirements regarding EMPG funds.

Eligible Subrecipients

Eligible Applicants, referred to as Subrecipients, include Counties/Operational Areas (OAs), and federally-recognized tribes located in California.

Tribal Allocations

The NOFO strongly encourages Cal OES to provide EMPG funds directly to tribes in California. To implement this requirement, a special Request for Proposal will be issued to California's federally-recognized tribes. All Subrecipients are encouraged to coordinate with tribal governments to ensure that tribal needs are considered in their grant applications.

**Subrecipient
Allocations**

FY 2021 EMPG and EMPG-ARPA Subrecipient final allocations are included in Attachments A and B.

Supplanting

Grant funds must be used to supplement existing funds, not replace (supplant) funds that have been appropriated for the same purpose. Subrecipients may

Supplanting Cont. be required to provide supporting documentation that certifies a reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds. Supplanting will result in the disallowance of any activity associated with this improper use of federal grant funds.

Public/Private Organizations Subrecipients may contract with any other public or private organizations to perform eligible activities on approved EMPG projects.

**Debarred/
Suspended Parties** Subrecipients must not make or permit any award (subaward or contract) at any tier, to any party, that is debarred, suspended, or otherwise excluded from, or ineligible for, participation in federal assistance programs.

Subrecipients must obtain documentation of eligibility prior to making any subaward or contract funded by EMPG funds, and must be prepared to present supporting documentation to monitors/auditors.

Before entering into a Grant Subaward, the Subrecipient must notify Cal OES if it knows if any of the principals under the subaward fall under one or more of the four criteria listed at [2 C.F.R. § 180.335](#). The rule also applies to Subrecipients who pass-through funding to other local entities.

If at any time after accepting a subaward, Subrecipients learn that any of its principals fall under one or more of the criteria listed at [2 C.F.R. § 180.335](#), immediate written notice must be provided to Cal OES and all grant activities halted until further instructions are received from Cal OES. The rule also applies to subawards passed through by Subrecipients to local entities.

**FY 2021 Program
Priorities**

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

In developing applications for the FY 2021 EMPG Program, Subrecipients should fund projects that address areas for improvement as they relate to emergency management capabilities, including:

- Logistics – Distribution Management Planning;
- Evacuation Plan/Annex;
- Disaster Financial Management;
- Catastrophic Disaster Housing; and
- Resilient Communications

In addition, EMPG Subrecipients should consider funding projects that fall into the state, regional, and national priority areas:

- Mass Care
- Housing
- Economic Recovery

DHS/FEMA does not prescribe a minimum funding amount for these priorities. However, Subrecipients are required to support local, regional, state, and national efforts in achieving the desired outcomes of these priorities.

**National
Campaigns and
Programs**

Whole Community Preparedness – Subrecipients should engage with the whole community to advance individual and community preparedness and to work as a nation to build and sustain resilience. In doing so, Subrecipients are encouraged to consider the needs of individuals with access and functional needs and limited English proficiency in the activities and projects funded by the grant.

Subrecipients should utilize [established best practices for whole community inclusion](#) and engage with stakeholders to

National Campaigns and Programs Cont.

advance individual and jurisdictional preparedness and resilience. Subrecipients are encouraged to consider the necessities of all Californians in the activities and projects funded by the grant including children, seniors, individuals with disabilities or access and functional needs, individuals with diverse culture and language use, individuals with lower economic capacity, and other underserved populations.

Active Shooter Preparedness – DHS has developed a comprehensive [Active Shooter Preparedness website](#), which strives to enhance national preparedness through a whole-community approach by providing the necessary products, tools, and resources to help all stakeholders prepare for and respond to an active shooter incident. Subrecipients are encouraged to review the referenced active shooter resources and evaluate their preparedness needs.

Soft Targets and Crowded Places – States, territories, Urban Areas, and public and private sector partners are encouraged to identify security gaps and build capabilities that address security needs and challenges related to protecting locations or environments that are easily accessible to large numbers of people on a predictable or semi-predictable basis that have limited security or protective measures in place, including town centers, shopping malls, open-air venues, outside hard targets/venues perimeters, and other places of meeting and gathering. For more information, please see DHS's [Hometown Security Program](#).

Community Lifelines – FEMA created Community Lifelines to reframe incident information and impacts using plain language and unity of effort to enable the integration of preparedness efforts, existing plans, and identifies unmet needs to better anticipate response requirements. Additional information may be found at the [Community Lifelines Implementation Toolkit website](#).

Strategic Framework for Countering Terrorism and Targeted Violence – DHS adopted the [DHS Strategic Framework for Countering Terrorism and Targeted Violence](#) which explains how the department will use the tools and expertise that have protected and strengthened the country from foreign

National Campaigns and Programs Cont.	terrorist organizations to address the evolving challenges of today.
NIMS Implementation	Prior to allocation of any federal preparedness awards, Subrecipients must ensure and maintain adoption and implementation of the National Incident Management System (NIMS).
Match Requirement	The FY 2021 EMPG requires a dollar-for-dollar match. This can be cash or third-party in-kind contributions. Refer to 2 C.F.R. § 200.306 for specific details. Utilizing the FMFW Match Tab, Subrecipients will indicate the appropriate Solution Area and Solution Area Subcategory that accurately represents the specific activity(ies) and cost(s) used to meet the match requirement under the FY 2021 EMPG subaward. Contributions from the Subrecipient should be specifically identified in the match description located on the FMFW Match Tab. The non-federal match contributions have the same eligibility requirements as the federal share. For additional match guidance, see EMPG Clarifying Guidance IB 458 .
Management and Administration	The Management and Administration (M&A) allowance for Subrecipients is set at a maximum of 5 percent for the FY 2021 EMPG.
Indirect Costs	<p>Indirect costs are allowable under the FY 2021 EMPG Program Award. Subrecipients who claim indirect costs may do so provided they use one of the following two methods:</p> <ol style="list-style-type: none"> 1. Subrecipients with an indirect cost rate approved by their cognizant federal agency may claim indirect costs based on the established rate. Indirect costs claimed must be calculated using the base approved in the indirect cost Negotiation Agreement. A copy of the approved Negotiation Agreement is required at the time of application. 2. Subrecipients who have never received a negotiated indirect cost rate and receive <i>less than</i> \$35 million in <i>direct</i> federal funding per year may claim the 10% de minimis indirect cost rate based on Modified Total Direct Costs as described in 2 C.F.R. § 200.1 and Subpart E.

Indirect Costs Cont.

Indirect costs are *in addition to* the M&A allowance and must be included in the Grant Award application as a “Project” and reflected in the FMFW on the Indirect Cost Tab if being claimed under the award.

Indirect costs must be based on the claimed direct project costs, excluding equipment expenditures and other distorting items. Up to \$25,000 of each subaward may be included as a direct project cost when calculating indirect costs based on Modified Total Direct Costs.

Indirect costs must be claimed no more than once annually, and only at the end of the Subrecipient's fiscal year. An exception to this rule applies if there is a mid-year change to the approved indirect cost rate; in this case, costs incurred to date must be claimed. At that time, a Grant Subaward Modification reflecting the rate change must also be submitted to Cal OES, along with a copy of the new Indirect Cost Rate Agreement.

Equipment Typing/ Identification and Use

Allowable EMPG equipment is listed on the [FEMA Authorized Equipment List](#) (AEL) website, and includes equipment from the following AEL Sections:

- PPE (Category 1)
- Information Technology (Category 4)
- Cybersecurity Enhancement Equipment (Category 5)
- Interoperable Communication Equipment (Category 6)
- Detection Equipment (Category 7)
- Power Equipment (Category 10)
- Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) Reference Materials (Category 11)
- CBRNE Incident Response Vehicles (Category 12)
- Physical Security Enhancement Equipment (Category 14)
- CBRNE Logistical Support Equipment (Category 19)
- Other Authorized Equipment (Section 21)

Subrecipients should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances.

Large equipment purchases must be identified and explained. For more information regarding property management standards for equipment, refer to 2 C.F.R.

Equipment Typing/ Identification and Use Cont.

including [§ 200.310](#), [§ 200.313](#), and [§ 200.316](#).

Subrecipients that allocate FY 2021 EMPG funds for equipment are required to type and identify the capability associated with that equipment. Also, per FEMA policy, the purchase of weapons and weapon accessories are not allowed with EMPG funds. Special rules apply to critical emergency supplies; refer to Appendix H of the FEMA Preparedness Grants Manual for additional information.

Equipment Maintenance and Sustainment

Use of EMPG funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable as described in FEMA IBs [336](#) and [379](#), as well as Grant Programs Directorate Policy [FP 205-402-125-1](#).

Small Unmanned Aircraft Systems

All requests to purchase Small Unmanned Aircraft Systems (SUAS) with FEMA grant funding must comply with [IB 426](#) and include copies of the policies and procedures in place to safeguard individuals' privacy, civil rights, and civil liberties of the jurisdiction that will purchase, take title to, or otherwise use the SUAS equipment. Reference the [Presidential Memorandum: Promoting Economic Competitiveness While Safeguarding Privacy, Civil Rights, and Civil Liberties in Domestic Use of Unmanned Aircraft Systems](#) for additional information.

Telecommunications Equipment or Services Prohibitions

Effective August 13, 2020, DHS/FEMA Recipients and Subrecipients may not use any FEMA funds under open or new awards to:

1. Procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology of any system;
2. Enter into, extend, or renew a contract to procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology of any system; or
3. Enter into, extend, or renew contracts with entities that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system.

Telecommunications Equipment or Services Prohibitions Cont.

This prohibition is mandated by Section 889 of the [John S. McCain National Defense Authorization Act for Fiscal Year 2019 \(FY 2019 NDAA\), Pub. L. No. 115-232 \(2018\)](#). FEMA Grants Program Directorate issued a memo on August 3, 2020, with further guidance, titled [Prohibitions on Expending FEMA Award Funds for Covered Telecommunications Equipment or Services \(Interim\)](#).

Emergency Operations Plans

Subrecipients should update their Emergency Operations Plan (EOP) at least once every two years to remain compliant with the [Comprehensive Preparedness Guide 101 version 2.0](#). Subrecipients are highly encouraged to include an evacuation plan or annex as part of their EOP as well as plans to exercise and validate the evacuation plan and capabilities.

Conflict of Interest

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

Subrecipients must disclose to their Program Representative, in writing, any real or potential conflict of interest as defined by the federal, state, local, or tribal statutes or regulations, which may arise during the administration of the EMPG subaward within five days of learning of the conflict of interest.

**California
Homeland
Security Strategy
Goals**

The State has prioritized the following California Homeland Security Strategy Goals for the FY 2021 subawards:

1. Enhance Information Collection, Analysis, and Sharing, in Support of Public Safety Operations Across California;
2. Protect Critical Infrastructure and Key Resources From All Threats and Hazards;
3. Strengthen Security and Preparedness Across Cyberspace;
4. Strengthen Communications Capabilities Through Planning, Governance, Technology, and Equipment;
5. Enhance Community Preparedness;
6. Enhance Multi-Jurisdictional/Inter-Jurisdictional All-Hazards Incident Catastrophic Planning, Response, and Recovery Capabilities;
7. Improve Medical and Health Capabilities;
8. Enhance Incident Recovery Capabilities;
9. Strengthen Food and Agriculture Preparedness;
10. Enhance Homeland Security Exercise, Evaluation, and Training Programs; and
11. Protect Against Effects of Climate Change

“On Behalf Of”

Cal OES may, in conjunction with local approval authorities, designate funds “on behalf of” local entities who choose to decline or fail to utilize their subaward in a timely manner.

**Public Alert and
Warning**

Cal OES encourages Subrecipients to consider use of this funding to assist their jurisdiction’s alignment with the [State of California Alert and Warning Guidelines](#) developed pursuant to Senate Bill 833 of the 2018 Legislative Session.

**Financial
Management
Forms
Workbook**

The FY 2021 Cal OES FMFW includes:

Grant Subaward Face Sheet – Use the Grant Subaward Face Sheet to apply for grant programs. The Grant Subaward Face Sheet must be signed and printed in portrait format.

Authorized Agent Contact Information – Provides the contact information of Authorized Agents (AA), delegated via the Governing Body Resolution (GBR) or Signature Authorization Form, including staff related to grant activities. More than one person is recommended for designation as the AA; in the absence of an AA, an alternate AA can sign documents.

Project Ledger – The Project Ledger is used in the application process to submit funding information and is used for submitting cash requests and Grant Subaward Modifications, and assists with completion of the Biannual Strategy Implementation Report (BSIR).

Planning Tab – Provides detailed information on grant-funded planning activities with a final product identified.

Organization Tab – Provides detailed information on grant-funded organizational activities.

Equipment Tab – Detailed information must be provided under the equipment description for all grant-funded equipment. AEL numbers must be included for all items of equipment. Always refer to the AEL for a list of allowable equipment and conditions, if any.

Training Tab – Provides detailed information on grant-funded training activities. All training activities must receive Cal OES approval prior to starting the event, including a Training Feedback number. The [Training Request Form](#) may be obtained on the Cal OES website.

Exercise Tab – Provides detailed information on grant-funded exercises.

**Financial
Management
Forms Workbook
Cont.**

M&A Tab – Provides information on grant-funded M&A activities.

Indirect Costs Tab – Provides information on indirect costs.

Consultant-Contractor Tab – Provides detailed information on grant-funded consultants, and documents maintenance and sustainment contracts and activities on grant eligible items/equipment.

Personnel Tab – Provides detailed information on grant-funded personnel activities.

Match Tab – Provides detailed information on match activities.

Authorized Agent Page – The Authorized Agent (AA) Page must be submitted with the application, all cash requests, and Grant Subaward Modifications. The AA page must include a valid signature on file with Cal OES and the date.

**Subrecipient
Grants
Management
Assessment**

Per [2 C.F.R. § 200.332](#), Cal OES is required to evaluate the risk of non-compliance with federal statutes, regulations, and grant terms and conditions posed by each Subrecipient of pass-through funding. The [Subrecipient Grants Management Assessment](#) contains questions related to a Subrecipient organization's experience in the management of federal grant awards. It is used to determine, and provide, an appropriate level of technical assistance, training, and grant oversight to Subrecipients during the subaward. The questionnaire must be completed and returned with the Subrecipient's grant application.

**Application
Attachments**

Indirect Cost Rate Agreement – If claiming indirect costs at a federally-approved rate, please provide a copy of the approved Indirect Cost Rate Agreement.

Federal Funding Accountability and Transparency Act (FFATA) Financial Disclosure – Use the [FFATA Financial Disclosure](#) to provide information required by the Federal Funding Accountability and Transparency Act of 2006.

Application Attachments Cont.

Certification Regarding Lobbying – Use the [Certification Regarding Lobbying form](#) to certify lobbying activities, as stipulated by the Byrd Anti-Lobbying Amendment, 31 U.S.C. § 1352.

Standard Assurances

The Standard Assurances list the requirements to which the Subrecipients will be held accountable. All Applicants will be required to submit a signed **original** of [the FY 2021 Standard Assurances](#) as part of their FY 2021 EMPG application. The required Standard Assurances can be found only in PDF format on the Cal OES website.

NOTE: Self-created Standard Assurances will not be accepted.

Governing Body Resolution

The GBR appoints AAs (identified by the individual's name or by a position title) to act on behalf of the governing body and the Applicant by executing any actions necessary for each application and subaward. All Applicants are required to submit a copy of an approved GBR with their application. Resolutions may be valid for up to three grant years given the following:

- The resolution identifies the applicable grant program (e.g., EMPG and/or HSGP);
- The resolution identifies the applicable grant years, (e.g., FY 2021, FY 2022, FY 2023); and
- Adheres to any necessary elements required by local protocols, rules, etc., if applicable.

Resolutions that only identify a single grant program will only be valid for that single program. Resolutions that do not identify applicable grant years will only be valid for the grant year in which the resolution was submitted.

Authorized Agent Information

For each person or position appointed by the Governing Body, identify the individual in the AA and Contact Information page of the FMFW.

All changes in AA and contact information must be provided to Cal OES in writing. If the GBR identifies the AA by name, a new Resolution is needed when changes are made. If the GBR identifies the AA by position and/or title, changes may be made by submitting a request on the entity's letterhead, signed by an existing AA.

**Authorized
Agent
Information
Cont.**

Cal OES will not accept signatures of an AA's designee, unless authorized by the Governing Body's resolution. A change to an AA's designee must be submitted on agency letterhead and signed by the AA, announcing the change to their designee.

Application Submission	<p>Subrecipients must submit an electronic copy of their completed FMFW to their Program Representative for review no later than fourteen calendar days before the final Application due date. After the application is approved, all electronic copies of the FMFW, along with the required documents must be emailed, with original or electronic signatures, by the application due date. During the application process, if it is determined all allocated funds cannot be expended by the end of the period of performance, inform your Program Representative as soon as possible. The completed application documents should be received by Cal OES no later than the date provided in the FY 2021 EMPG Timeline, referenced as Attachment C.</p>								
Late or Incomplete Application	<p>Late or incomplete applications may be denied. If an application is incomplete, the Program Representative may request additional information. Requests for late submission of applications must be made in writing to the Program Representative prior to the application due date. Cal OES has sole discretion to accept or reject a late or incomplete grant application.</p>								
EMPG Contact Information	<p>All Subrecipient application materials, questions, comments, and correspondence should be directed to:</p> <p>California Governor's Office of Emergency Services ATTN: Grants Management (Building E) Emergency Management Performance Grants Unit 3650 Schriever Avenue Mather, CA 95655</p> <table border="0" style="margin-left: 40px;"> <tr> <td>Ronak Patel – Region III</td> <td>(916) 845-8124</td> </tr> <tr> <td>Bryan Reich – Region I & VI</td> <td>(916) 845-8794</td> </tr> <tr> <td>Lauren Swearengin – Region IV & V</td> <td>(916) 845-8950</td> </tr> <tr> <td>Yer Yang – Region II</td> <td>(916) 845-8468</td> </tr> </table>	Ronak Patel – Region III	(916) 845-8124	Bryan Reich – Region I & VI	(916) 845-8794	Lauren Swearengin – Region IV & V	(916) 845-8950	Yer Yang – Region II	(916) 845-8468
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Lauren Swearengin – Region IV & V	(916) 845-8950								
Yer Yang – Region II	(916) 845-8468								
Subaward Approval	<p>Subrecipients will receive a formal notification of award. Subrecipient Subaward letters must be signed and the original be returned to Cal OES within 20 calendar days. Once the completed application along with the signed subaward letter is received and approved, reimbursement of eligible subaward expenditures may be requested using the Cal OES FMFW.</p>								

Payment Request Process

To request a cash reimbursement of EMPG funds, Subrecipients must first complete a payment request using the Cal OES FMFW, returning it to the appropriate Program Representative. Subrecipients who fail to follow the workbook instructions may experience delays in processing the payment request.

Payments can only be made if the Subrecipient has submitted a completed and approved application.

Semi-Annual Drawdown Requirements

All Subrecipients should be reporting expenditures and requesting funds at least semi-annually throughout the period of performance. Semi-annual drawdowns should occur in March and October of each calendar year following final approval of the subaward application, with the exception of the final reimbursement request, which must be submitted within 20 calendar days after the end of the period of performance. Subrecipients not in compliance with this requirement will be required to submit all supporting documentation for subsequent cash requests.

Modifications

Post award budget, scope, and time modifications must be requested using the Cal OES EMPG FMFW, signed by the Subrecipient's AA, and submitted to the Program Representative.

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

Subrecipients must provide a written justification with all modification requests. The justification may be included in the body of the e-mail transmitting the request, or a document attached to the transmittal e-mail. Refer to [GMM 2018-17](#) for additional information regarding modification requests.

Training Requirements

Training activities supported with EMPG Program funds should align to NPG core capabilities identified in each Subrecipient's Training and Exercise Plan. Subrecipients must obtain a Training Feedback Number from Cal OES before beginning any training activities. This includes project components like travel to, materials for, or attendance in training courses. Training Feedback Numbers must be obtained no later than 30 days before the first day of the training or related activities. Subrecipients must complete a [Training Request Form](#) and submit it electronically to Cal OES.

For more information on this or other training-related inquiries, contact the [Cal OES Training Branch](#) at (916) 845-8752.

All EMPG-funded personnel, including M&A staff, and any staff being used for match, must complete the following training courses. Final reimbursement of personnel salaries will not be approved until all training requirements have been met. Proof of completion of the training requirements must be kept on file by the Subrecipient and be made available for review upon request. When seeking approval of non-DHS/FEMA developed courses, course materials must be submitted with the approval requests. Conditional approvals are not offered.

EMPG TRAINING

IS 100 (any version), Introduction to Incident Command System (ICS)

IS 200 (any version), ICS for Single Resources and Initial Action Incident

IS 700 (any version), National Incident Management System, An Introduction

IS 800 (any version), National Response Framework, An Introduction

IS 120.c An Introduction to Exercises

IS 230.e Fundamentals of Emergency Management

Training Requirements Cont.

IS 235.c Emergency Planning

IS 240.b Leadership and Influence

IS 241.b Decision Making and Problem Solving

IS 242.b Effective Communication

IS 244.b Developing and Managing Volunteers

In the event that any of the listed courses have been updated and the required version is no longer available, it is acceptable to take the updated course in place of the listed course (i.e., since IS-120.a has been replaced with IS-120.c, the latter may be used in the place of the original course). The courses listed above are the minimum accepted versions for FY 2021 EMPG.

Training activities should align to a current MYTEP, developed through an annual IPP Workshop. The training should help build core capabilities and fill gaps identified in real-world incidents and exercises. Further guidance can be found in the [HSEEP](#).

EMPG and non-EMPG -funded personnel may claim EMPG funds for tuition/travel costs for EMPG eligible trainings, provided that the purpose of the travel and training is to accomplish the objectives of the grant.

Exercises, Improvement Plans and After Action Reporting

Subrecipients should engage stakeholders to identify long-term training and exercise priorities. These priorities should address capability targets and gaps identified through a Threat and Hazard Identification and Risk Assessment, real-world events, previous exercises, and national areas for improvement identified in the NPR.

Subrecipients must report on all exercises conducted with EMPG grant funds. An After Action Report (AAR)/Improvement Plan (IP) or Summary Report (for Seminars, Drills & Workshops) must be completed and submitted to Cal OES within 90 days after the exercise/seminar/drill/workshop is conducted.

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

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

AAR/IPs and Summary Reports should be e-mailed to:

- hseep@fema.dhs.gov
- exercise@caloes.ca.gov
- Your Program Representative

All EMPG-funded personnel, including M&A staff and any staff being used for match, must participate in no less than two exercises between July 1, 2021, and June 30, 2023. These exercises must align to one of the priority areas via the Performance Reports. The Great Shakeout drop, cover, and hold drill is ineligible for the purpose of the two exercise requirement.

Final reimbursement of personnel salaries will not be approved until all exercise requirements have been met. Exercises used to meet this requirement during one period of performance cannot be used to meet the requirement in another. Extensions to the grant do not apply to this requirement or its due date. There is no specific requirement for level of participation in the exercises and the exercises can be of any type, provided they are related to the subrecipient's identified long-term training and exercises priorities.

For exercise-related issues and/or questions, email the Cal OES Exercise Team at exercise@caloes.ca.gov.

Exercise costs will not be considered for reimbursement until an AAR/IP is received by Cal OES.

**Procurement
Standards and
Written
Procedures**

Subrecipients must conduct procurement utilizing either their own documented procurement standards and procedures, or the federal procurement standards found in [2 C.F.R. Part 200](#), whichever is stricter. Procurement standards must also contain a written conflict of interest policy which reflect applicable federal, state, local, and tribal laws.

Procurement Thresholds

Effective June 20, 2018, the micro-purchase threshold was increased from \$3,500 to \$10,000 and the simplified acquisition threshold was increased from \$150,000 to \$250,000. These increases apply to all Subrecipient procurements executed on or after June 20, 2018. Refer to [IB 434](#) for additional information.

Noncompetitive Procurements

All noncompetitive procurements exceeding the simplified acquisition threshold requires Cal OES prior written approval. This method of procurement must be approved by the Subrecipient's local Purchasing Agent prior to submitting a request for Cal OES approval. A copy of the Purchasing Agent's approval must be included with submission. Cal OES may request additional documentation that supports the procurement effort.

Environmental Planning and Historic Preservation

DHS/FEMA is required to ensure all activities and programs that are funded by the agency comply with federal Environmental Planning and Historic Preservation (EHP) regulations. Subrecipients proposing projects or activities (including, but not limited to, training, exercises, the installation of equipment, and construction or renovation projects) that have the potential to impact the environment or a historic structure must participate in the EHP review process. EHP Screening Memos must include detailed project information, explain the goals and objectives of the proposed project, and include supporting documentation.

DHS/FEMA may also require that the Subrecipient provide a confidential California Historical Resources Information System (CHRIS) report in addition to the [EHP Screening Form](#). Determination on the necessity of a CHRIS report is based upon information disclosed on the EHP Screening Form. Program Representatives will provide additional instructions should this report be required.

EHP requests should be submitted to Cal OES as early as possible. All projects/activities triggering EHP must receive DHS/FEMA written approval prior to commencement of the funded activity.

Updated information may be referenced in the [FEMA GPD EHP Policy Guidance](#).

Construction and Renovation

When applying for construction activity at the time of application, including communications towers, Subrecipients must submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits, and a notice of federal interest. Additionally, Subrecipients are required to submit a SF-424C Budget and Budget Detail that cites the project costs. Communication tower construction requests also require evidence that the Federal Communications Commission's Section 106 review process has been completed.

Subrecipients using funds for construction projects must comply with the Davis-Bacon Act. Subrecipients must ensure that their contractors or subcontractors for construction projects pay workers no less than the prevailing wages for laborers and mechanics employed on projects of a character like the contract work in the civil subdivision of the state in which the work is to be performed.

Written approval for construction must be provided by DHS/FEMA prior to the use of any EMPG funds for construction or renovation.

Inventory Control and Property Management

Subrecipients must use standardized resource management concepts for resource typing and credentialing, in addition to maintaining an inventory by which to facilitate the effective identification, dispatch, deployment, tracking and recovery of resources.

Subrecipients must have an effective inventory management system, to include:

- Property records that document description, serial/ID number, fund source, title information, acquisition date, cost, federal cost share, location, use, condition, and ultimate disposition;
- A physical inventory conducted at least every two years;
- A control system to prevent loss, damage, and theft of grant purchased equipment and supplies; and
- Adequate maintenance procedures must be developed to keep the property in good condition.

Equipment Disposition

When original or replacement equipment acquired under the EMPG is no longer needed for program activities, the Subrecipient must contact their Program Representative to request disposition instructions. See [2 C.F.R. § 200.313\(e\)](#).

Performance Reporting

BSIR – Subrecipients must complete a BSIR each Winter and Summer using the DHS/FEMA [Grants Reporting Tool](#) (GRT) for the duration of the subaward period of performance or until all grant activities are completed and the subaward is formally closed by Cal OES. Failure to submit a BSIR could result in subaward reduction, suspension, or termination.

Access to the BSIR may be obtained through the GRT. To create a new account, click the link that reads, “Register for an account” and follow the instructions provided. The Subrecipient will be required to ensure up-to-date project information is entered. The Project Ledger in the FMFW may assist with the BSIR data entry process. For additional assistance with the GRT, contact the appropriate Program Representative.

Quarterly Performance Reports – Subrecipients must prepare and submit Performance Reports to the State for the duration of the subaward period of performance, or until all grant activities are completed and the subaward is formally closed by Cal OES. The quarterly reports must include the progress made on identified activities, as well as other required information. Failure to submit a quarterly Performance Report could result in subaward reduction, suspension, or termination.

In order to ensure that mandated performance metrics and other data required under the subaward is reported accurately, all EMPG Performance Reports must be submitted electronically, via email, to their Cal OES EMPG Program Representative for review and vetting. Electronic documents submitted for Cal OES review and vetting should be submitted as soon as possible, but no later than, seven calendar days before the identified due date(s) associated with the Performance Report. Submission of the electronic copy is only to occur after their Cal OES Program Representative’s review has concluded and the Subrecipient is directed by their Cal OES Program

Performance Reporting Cont.

Representative to submit the signed electronic copy.

Extension Requests

Extensions to the initial period of performance identified in the subaward will only be considered through formal, written requests to the Subrecipient's Program Representative. Upon receipt of the extension request, Cal OES will:

1. Verify compliance with performance reporting requirements by confirming the Subrecipient has submitted all necessary performance reports;
2. Confirm the Subrecipient has provided sufficient justification for the request; and
3. If applicable, confirm the Subrecipient has demonstrated sufficient progress in past situations where an extension was authorized by Cal OES.

Extension requests will be granted only due to compelling legal, policy, or operational challenges, and will only be considered for the following reasons:

1. Contractual commitments with vendors that prevent completion of the project within the period of performance;
2. The project must undergo a complex environmental review which cannot be completed within this timeframe;
3. Projects are long-term by design and therefore; acceleration would compromise core programmatic goals; and
4. Where other special circumstances exist.

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

1. Grant program, fiscal year, and award number;
2. Reason for delay;
3. Current status of the activity/activities;
4. Approved period of performance termination date and new project completion date;
5. Amount of funds drawn down to date;
6. Remaining available funds, both federal and non-federal;

Extension Requests Cont.

7. Budget outlining how remaining federal and non-federal funds will be expended;
8. Plan for completion, including milestones and timeframes for each milestone and the position/person responsible for implementing the plan for completion; and
9. Certification that the activity/activities will be completed within the extended period of performance without any modification to the original Statement of Work.

General questions regarding extension requirements and the Extension Request form should be directed to your Program Representative. For additional information, please see [IB 379](#). Extension requests for personnel and salaries do not meet the requirements of [IB 379](#) and will not be granted. Subrecipients are expected to complete all grant-funded personnel activity by the end of the subaward period of performance.

Progress Reports on Grant Extensions

All Subrecipients that receive Cal OES approval to extend their FY 2021 grant subaward period of performance may be required to submit progress reports indicating completed and future project milestones on all extended projects. Progress reports must be submitted electronically to their Program Representative. Deadlines for the submission of progress reports will be established at the time of extension approval.

Monitoring

Cal OES Grants Monitoring actively monitors Subrecipients, through day-to-day communications, programmatic site visits, and desk and on-site compliance assessments. The purpose of the compliance assessment is to ensure Subrecipients are in compliance with applicable state and federal regulations, grant guidelines, and programmatic requirements. Monitoring activities may include, but are not limited to:

- Verifying that entries recorded on the FMFW categories are properly supported with source documentation;
- Eligibility of and support for expenditures, typically covering two to three years of data;
- Comparing actual Subrecipient activities to those approved in the grant application and subsequent modifications, including the review of timesheets and

Monitoring Cont.

- invoices as applicable;
- Procurements and contracts;
- Ensuring equipment lists are properly maintained and physical inventories are conducted;
- Ensuring advances have been disbursed in accordance with applicable guidelines; and
- Confirming compliance with:
 - Standard Assurances, and
 - Information provided on performance reports and payment requests

NOTE: It is the responsibility of all Subrecipients that pass down grant funds to other entities, to maintain and utilize a formal process to monitor the grant activities of their subawards. This requirement includes, but is not limited to, on-site verification of grant activities, as required. It is common for Subrecipients to receive findings in a programmatic site visit or compliance assessment, which require a Corrective Action Plan (CAP) to be submitted by Subrecipients. Those Subrecipients who fail to submit a CAP, as required, shall have a “hold” placed on any future reimbursements until the “finding” is resolved.

Failure to Submit Required Reports

Periodic reporting is required by the grant. Subrecipients who miss a single reporting due date may receive a letter addressed to their Board of Supervisors informing them of the failure to report. County OAs and tribes who fail to report twice in a row may have subsequent awards reduced by 10 percent until timely reporting is reestablished.

**Suspension/
Termination**

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

- Failure to submit required reports.
- Failure to expend funds in a timely manner consistent with the grant milestones, guidance, and assurances.
- Failure to comply with the requirements or statutory progress toward the goals or objectives of federal or state law.
- Failure to make satisfactory progress toward the goals or objectives set forth in the Subrecipient application.
- Failure to follow Grant Subaward requirements or Special Conditions.

Suspension/ Termination Cont.

- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- False certification in the application or other document.
- Failure to adequately manage, monitor, or direct the grant funding activities of their Subrecipients.

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

Closeout

Cal OES will close-out Subrecipient awards when it determines all applicable administrative actions and all required work of the federal award have been completed.

Subawards will be closed after:

- Receiving any applicable Subrecipient Performance Report indicating all approved work has been completed, and all funds have been distributed;
- All funds have been requested and reimbursed, or disencumbered;
- Completing a review to confirm the accuracy of reported information;
- Reconciling actual costs to subawards, modifications and payments; and
- Verifying the Subrecipient has submitted a final BSIR showing all grant funds have been expended.

Records Retention

The records retention period is three years from the date of the Cal OES Grant Closeout letter, or until any pending litigation, claim, or audit started before the expiration of the three-year retention period has been resolved and final action is taken. The Cal OES Grant Closeout Letter will notify the Subrecipient of the start of the records retention period for all programmatic and financial grant-related records.

If the State Administrative Agency award remains open after the Subrecipient's submission of the final BSIR, Cal OES will complete any additional BSIR reporting required under the award on behalf of the Subrecipient.

Records Retention Cont.

Closed grants may still be monitored and audited. Failure to maintain all grant records for the required retention period could result in a reduction of grant funds, and an invoice to return costs associated with the unsupported activities.

If documents are retained longer than the required retention period, FEMA, the DHS Office of Inspector General, Government Accountability Office, and pass-through entity have the right to access these records as well. See Title [2 C.F.R. § 200.333](#) and [200.336](#).

Attachment A – FY 2021 EMPG Allocations | 2021

Operational Area	Population	Base Amount	Per Capita Total	Total Award
ALAMEDA	1,670,834	125,000	337,392	462,392
ALPINE	1,142	125,000	230	125,230
AMADOR	37,676	125,000	7,608	132,608
BUTTE	210,291	125,000	42,464	167,464
CALAVERAS	45,023	125,000	9,092	134,092
COLUSA	21,902	125,000	4,423	129,423
CONTRA COSTA	1,153,561	125,000	232,938	357,938
DEL NORTE	27,298	125,000	5,513	130,513
EL DORADO	193,227	125,000	39,018	164,018
FRESNO	1,023,358	125,000	206,647	331,647
GLENN	29,400	125,000	5,937	130,937
HUMBOLDT	133,302	125,000	26,917	151,917
IMPERIAL	188,777	125,000	38,120	163,120
INYO	18,584	125,000	3,753	128,753
KERN	917,553	125,000	185,282	310,282
KINGS	153,608	125,000	31,018	156,018
LAKE	64,040	125,000	12,931	137,931
LASSEN	28,833	125,000	5,822	130,822
LOS ANGELES	10,172,951	125,000	2,054,226	2,179,226
MADERA	158,147	125,000	31,935	156,935
MARIN	260,831	125,000	52,670	177,670
MARIPOSA	18,067	125,000	3,648	128,648
MENDOCINO	87,946	125,000	17,759	142,759
MERCED	283,521	125,000	57,251	182,251
MODOC	9,570	125,000	1,933	126,933
MONO	13,464	125,000	2,719	127,719
MONTEREY	441,143	125,000	89,080	214,080
NAPA	139,088	125,000	28,086	153,086
NEVADA	98,114	125,000	19,812	144,812
ORANGE	3,194,332	125,000	645,032	770,032
PLACER	403,711	125,000	81,521	206,521
PLUMAS	18,260	125,000	3,688	128,688
RIVERSIDE	2,442,304	125,000	493,175	618,175
SACRAMENTO	1,555,365	125,000	314,075	439,075
SAN BENITO	62,353	125,000	12,591	137,591
SAN BERNARDINO	2,180,537	125,000	440,316	565,316
SAN DIEGO	3,343,355	125,000	675,124	800,124
SAN FRANCISCO	897,806	125,000	181,294	306,294
SAN JOAQUIN	773,632	125,000	156,220	281,220

Attachment A – FY 2021 EMPG Allocations | 2021

Operational Area	Population	Base Amount	Per Capita Total	Total Award
SAN LUIS OBISPO	277,259	125,000	55,987	180,987
SAN MATEO	773,244	125,000	156,141	281,141
SANTA BARBARA	451,840	125,000	91,241	216,241
SANTA CLARA	1,961,969	125,000	396,180	521,180
SANTA CRUZ	271,233	125,000	54,770	179,770
SHASTA	178,045	125,000	35,953	160,953
SIERRA	3,201	125,000	646	125,646
SISKIYOU	44,461	125,000	8,978	133,978
SOLANO	440,224	125,000	88,895	213,895
SONOMA	492,980	125,000	99,548	224,548
STANISLAUS	557,709	125,000	112,618	237,618
SUTTER	100,750	125,000	20,344	145,344
TEHAMA	65,129	125,000	13,152	138,152
TRINITY	13,548	125,000	2,736	127,736
TULARE	479,977	125,000	96,921	221,921
TUOLUMNE	54,917	125,000	11,090	136,090
VENTURA	842,886	125,000	170,204	295,204
YOLO	221,705	125,000	44,769	169,769
YUBA	78,887	125,000	15,930	140,930
TRIBAL NATIONS	362,801	125,000	73,260	198,260
TOTAL	40,145,671	7,375,000	8,106,623	15,481,623

Attachment B – FY 2021 EMPG-ARPA Allocations | 2021

Operational Area	Population	Base Amount	Per Capita Total	Total Award
ALAMEDA	1,670,834	60,000	12,582	72,582
ALPINE	1,142	60,000	9	60,009
AMADOR	37,676	60,000	283	60,283
BUTTE	210,291	60,000	1,584	61,584
CALAVERAS	45,023	60,000	339	60,339
COLUSA	21,902	60,000	165	60,165
CONTRA COSTA	1,153,561	60,000	8,687	68,687
DEL NORTE	27,298	60,000	205	60,205
EL DORADO	193,227	60,000	1,455	61,455
FRESNO	1,023,358	60,000	7,706	67,706
GLENN	29,400	60,000	222	60,222
HUMBOLDT	133,302	60,000	1,004	61,004
IMPERIAL	188,777	60,000	1,421	61,421
INYO	18,584	60,000	140	60,140
KERN	917,553	60,000	6,910	66,910
KINGS	153,608	60,000	1,156	61,156
LAKE	64,040	60,000	483	60,483
LASSEN	28,833	60,000	217	60,217
LOS ANGELES	10,172,951	60,000	76,606	136,606
MADERA	158,147	60,000	1,190	61,190
MARIN	260,831	60,000	1,965	61,965
MARIPOSA	18,067	60,000	136	60,136
MENDOCINO	87,946	60,000	662	60,662
MERCED	283,521	60,000	2,135	62,135
MODOC	9,570	60,000	72	60,072
MONO	13,464	60,000	101	60,101
MONTEREY	441,143	60,000	3,322	63,322
NAPA	139,088	60,000	1,048	61,048
NEVADA	98,114	60,000	739	60,739
ORANGE	3,194,332	60,000	24,054	84,054
PLACER	403,711	60,000	3,040	63,040
PLUMAS	18,260	60,000	138	60,138
RIVERSIDE	2,442,304	60,000	18,391	78,391
SACRAMENTO	1,555,365	60,000	11,712	71,712
SAN BENITO	62,353	60,000	470	60,470
SAN BERNARDINO	2,180,537	60,000	16,420	76,420
SAN DIEGO	3,343,355	60,000	25,177	85,177
SAN FRANCISCO	897,806	60,000	6,761	66,761
SAN JOAQUIN	773,632	60,000	5,825	65,825

Attachment B – FY 2021 EMPG-ARPA Allocations | 2021

Operational Area	Population	Base Amount	Per Capita Total	Total Award
SAN LUIS OBISPO	277,259	60,000	2,088	62,088
SAN MATEO	773,244	60,000	5,823	65,823
SANTA BARBARA	451,840	60,000	3,403	63,403
SANTA CLARA	1,961,969	60,000	14,774	74,774
SANTA CRUZ	271,233	60,000	2,042	62,042
SHASTA	178,045	60,000	1,341	61,341
SIERRA	3,201	60,000	24	60,024
SISKIYOU	44,461	60,000	335	60,335
SOLANO	440,224	60,000	3,315	63,315
SONOMA	492,980	60,000	3,712	63,712
STANISLAUS	557,709	60,000	4,200	64,200
SUTTER	100,750	60,000	759	60,759
TEHAMA	65,129	60,000	490	60,490
TRINITY	13,548	60,000	102	60,102
TULARE	479,977	60,000	3,615	63,615
TUOLUMNE	54,917	60,000	413	60,413
VENTURA	842,886	60,000	6,347	66,347
YOLO	221,705	60,000	1,670	61,670
YUBA	78,887	60,000	594	60,594
TRIBAL NATIONS	362,801	60,000	2,732	62,732
TOTAL	40,145,671	3,540,000	302,311	3,842,311

Attachment C – FY 2021 EMPG Timeline | 2021

DHS Announcement of FY 2021 EMPG NOFO	February 25, 2021
DHS Announcement of updated FY 2021 NOFO to reflect funding provided by the ARPA	April 15, 2021
Cal OES Application due to DHS	May 15, 2021
DHS/FEMA Award to California	September, 2021
Subrecipient period of performance begins	July 1, 2021
Notification of Subrecipient Award	September, 2021
Subrecipient Webinars	September/October 2021
FY 2021 California Supplement release	September, 2021
Multi Year-Training and Exercise Plans due	September 30, 2021
Submission of the FY 2021 EMPG Performance Report for the period of 7/1/2021 – 9/30/2021	October 15, 2021
Subrecipient Final Applications due to Cal OES	December 31, 2021
Submission of the FY 2021 EMPG Performance Report for the period of 7/1/2021 – 12/31/2021	January 14, 2022
Submission of the FY 2021 EMPG Performance Report for the period of 7/1/2021 – 3/31/2022	April 15, 2022
Submission of the FY 2021 EMPG Performance Report for the period of 7/1/2021 – 6/30/2022	July 15, 2022
Submission of the FY 2021 EMPG Performance Report for the period of 7/1/2021 – 9/30/2022	October 14, 2022
All FY 2021 EMPG EHP-related documents must be received by Program Representative	December 31, 2022
Submission of the FY 2021 EMPG Performance Report for the period of 7/1/2021 – 12/31/2022	January 13, 2023
Submission of the FY 2021 EMPG Performance Report for the period of 7/1/2021 – 3/31/2023	April 14, 2023
Subrecipient period of performance ends	June 30, 2023
Submission of the FY 2021 EMPG Performance Report for the period of 7/1/2021 – 6/30/2023	July 20, 2023
Final Request for Reimbursement due	Within 20 calendar days of the subaward expiration date
Cal OES's period of performance ends	September 30, 2023

Attachment D – FY 2021 EMPG Program Checklist | 2021

Subrecipient: _____ **FIPS#:** _____

Program Representative: _____

Financial Management Forms Workbook:

- _____ Grant Subaward Face Sheet
- _____ Authorized Agent and Contact Tab
- _____ Project Ledger Tab
- _____ Planning Tab
- _____ Organization Tab
- _____ Equipment Tab
- _____ Training Tab
- _____ Exercise Tab
- _____ Management and Administration Tab
- _____ Indirect Cost Tab
- _____ Consultant-Contractor Tab
- _____ Personnel Tab
- _____ Match Tab
- _____ Indirect Cost Rate Summary (If Applicable)
- _____ Authorized Agent Sheet

Required Documents:

- _____ Counter-signed Award Letter
- _____ EHP Screening Form (If Applicable)
- _____ FFATA Financial Disclosure
- _____ Certification Regarding Lobbying
- _____ Governing Body Resolution
- _____ Subrecipient Grants Management Assessment form
- _____ 2021 EMPG Standard Assurances
- _____ Indirect Cost Rate Agreement (If Applicable)