



***Cal* OES**

GOVERNOR'S OFFICE  
OF EMERGENCY SERVICES

**Fiscal Year 2019  
Emergency Management  
Performance Grant**

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

*September 2019*

<b>SECTION 1—OVERVIEW .....</b>	<b>1</b>
Federal Program Announcement	
Information Bulletins	
Purpose of the California Supplement	
Key Changes to the FY 2019 Emergency Management Performance Grant	
Grant Management Memoranda	
Eligible Subrecipients	
Tribal Allocations	
Subrecipient Allocations	
NIMS Implementation	
Supplanting	
Public/Private Organizations	
Debarred/Suspended Parties	
<b>SECTION 2—FEDERAL CHANGES AND INITIATIVES .....</b>	<b>4</b>
FY 2019 Program Priorities	
National Campaigns and Programs	
Match Requirement	
Management and Administration	
Indirect Costs	
Equipment Typing/Identification and Use	
Equipment Maintenance/Sustainment	
Small Unmanned Aircraft Systems	
Emergency Operations Plans	
Whole Community Preparedness	
Conflict of Interest	
<b>SECTION 3—STATE CHANGES AND INITIATIVES .....</b>	<b>9</b>
California Homeland Security Strategy Goals	
"On Behalf Of"	
Regional Approach	
Public Alert and Warning	
<b>SECTION 4—REQUIRED STATE APPLICATION COMPONENTS.....</b>	<b>10</b>
Financial Management Forms Workbook	
Subrecipient Grants Management Assessment	
Application Attachments	
Standard Assurances	
Governing Body Resolution	
Authorized Agent Information	
<b>SECTION 5—THE STATE APPLICATION PROCESS.....</b>	<b>13</b>
Application Submission	
Late or Incomplete Application	
EMPG Contact Information	
Subaward Approval	

**SECTION 6—POST AWARD REQUIREMENTS ..... 15**

- Payment Request Process
- Semi-Annual Drawdown Requirements
- Modifications
- Training Requirements
- Exercises, Improvement Plans and After Action Reporting
- Procurement Standards and Written Procedures
- Procurement Thresholds
- Noncompetitive Procurements
- Environmental Planning and Historic Preservation
- Construction and Renovation
- Inventory Control and Property Management
- Equipment Disposition
- Performance Reporting
- Extension Requests
- Progress Reports on Grant Extensions
- Monitoring
- Failure to Submit Required Reports
- Suspension/Termination
- Closeout
- Records Retention

**ATTACHMENTS**

- A – FY 2019 EMPG Allocations
- B – FY 2019 EMPG Timeline
- C – FY 2019 EMPG Program Checklist

<b>Federal Program Announcement</b>	<p>In April 2019, the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) issued the Fiscal Year (FY) 2019 Emergency Management Performance Grant (EMPG) Program, <u>Notice of Funding Opportunity (NOFO)</u> and <u>FEMA Preparedness Grants Manual</u>. Subrecipients must follow the programmatic requirements set forth 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 <u>Title 2, Code of Federal Regulations (C.F.R.), Part 200</u>.</p>
<b>Information Bulletins</b>	<p>DHS issues <u>Information Bulletins</u> (IBs) to provide updates, clarification, and new requirements throughout the life of the grant.</p>
<b>Purpose of the California Supplement</b>	<p>The FY 2019 EMPG California Supplement to the NOFO (State Supplement) is intended to complement, rather than replace, the NOFO and the Preparedness Grants Manual published by DHS/FEMA. It is recommended that Applicants thoroughly read the NOFO and the Preparedness Grants Manual before referring to the State Supplement. The State Supplement will emphasize differences between the FY 2018 and FY 2019 EMPG, and highlight additional California policies and requirements applicable to the FY 2019 EMPG.</p>
<b>Key Changes to the FY 2019 EMPG</b>	<ul style="list-style-type: none"><li>• The FY 2019 EMPG subaward period of performance will be 24 months. In FY 2018, the period of performance was 12 months.</li><li>• The FY 2019 EMPG Financial Management Forms Workbook (FMFW) has been updated.</li><li>• Starting in FY 2019, all EMPG Subrecipient projects must align to the California Homeland Security Strategy Goals.</li><li>• Subrecipients will be required to complete and include the Certification Regarding Lobbying form as part of the application package.</li><li>• Subrecipients should be reporting expenditures and requesting funds at least semi-annually throughout the period of performance.</li></ul>
<b>Grant Management Memoranda</b>	<p>Cal OES issues <u>Grant Management Memoranda</u> (GMMs) which provide additional information and requirements regarding EMPG funds.</p>

<b>Eligible Subrecipients</b>	Eligible Applicants, referred to as Subrecipients, include Counties/Operational Areas (OAs) and federally-recognized tribes located in California.
<b>Tribal Allocations</b>	<p>The NOFO strongly encourages Cal OES to provide access to 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 and Indian organizations, as described in the Cal OES <u>Tribal Consultation Policy</u>.</p> <p>All Subrecipients are encouraged to coordinate with tribal governments to ensure that tribal needs are considered in their grant applications.</p>
<b>Subrecipient Allocations</b>	FY 2019 EMPG Subrecipient allocations are included in Attachment A.
<b>NIMS Implementation</b>	Prior to allocation of any federal preparedness awards in FY 2019, Subrecipients must ensure and maintain adoption and implementation of the <u>National Incident Management System</u> (NIMS).
<b>Supplanting</b>	Grant funds must be used to supplement existing funds, not replace (supplant) funds that have been appropriated for the same purpose. Subrecipients may 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 the activity(s) associated with this improper use of the federal grant funds.
<b>Public/Private Organizations</b>	Subrecipients may contract with any other public or private organizations to perform eligible activities on approved EMPG projects.
<b>Debarred/ Suspended Parties</b>	<p>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.</p> <p>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</p>

**Debarred/  
Suspended  
Parties Cont.**

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 2019 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.

EMPG Subrecipients are required to prioritize grant funding to demonstrate how investments support closing capability gaps or sustaining capabilities identified in the Threat and Hazard Identification and Risk Assessment (THIRA)/State Preparedness Review (SPR) process.

In developing applications for the FY 2019 EMPG Program, Subrecipients should consider funding 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 national priority areas:

- Emerging Threats, including Cybersecurity
- Lifelines (more information in this [fact sheet](#) and [tool kit](#))
  - Safety and Security
  - Food, Water, Sheltering
- Health and Medical
- Energy
- Communications
- Transportation
- Hazardous Material

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**

**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 of soft targets and crowded places, understanding the unique challenges related to protecting locations which are open to the public.

**Community Lifelines** – FEMA has introduced a new lifeline construct to enable the operational continuity of government and critical business essential to human health, safety, or economic security during and after a disaster. These lifelines enable a true unity of effort between government, non-governmental organizations, and the private sector, including infrastructure owners and operators. Additional information may be found at the Community Lifelines Implementation Toolkit website.

### **Match Requirement**

The FY 2019 EMPG requires a dollar-for-dollar match. This can be cash or third party in-kind contributions. Refer to 2 C.F.R. § 200.29 and § 200.306 for specific details. Utilizing the FMFW Match ledger, Subrecipients will indicate the appropriate Solution Area and Solution Area Subcategory that accurately represents the specific activity(s) and cost(s) used to meet the match requirement under the FY 2019 EMPG subaward. Contributions from the Surecipient should be specifically identified in the match description located on the FMFW Match ledger. The non-federal match contributions have the same eligibility requirements as the federal share.

### **Management and Administration**

The Management and Administration (M&A) allowance for Subrecipients is set at a maximum of 5% for the FY 2019 EMPG.



### Indirect Costs

Indirect costs are allowable under the FY 2019 EMPG Grant Award. Subrecipients who claim indirect costs may do so provided they use one of the following two methods:

1. Subrecipients with an indirect cost rate approved by their cognizant federal agency may claim indirect costs based on the established rate. Indirect costs claimed must be calculated using the base approved in the indirect cost Negotiation Agreement. A copy of the approved Negotiation Agreement is required at the time of application.
2. Subrecipients who have never received a negotiated indirect cost rate and receive *less than* \$35 million in *direct* federal funding per year may claim the 10% de minimis indirect cost rate based on Modified Total Direct Costs as described in 2 C.F.R. Part 200, § 200.68, and Subpart E.

Indirect costs are *in addition to* the M&A allowance, and must be included in the Grant Award application as a "Project" and reflected in the FMFW on the Indirect cost category ledger 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.

## Section 2 – Federal Changes and Initiatives | 2019

---

### **Equipment Typing/ Identification and Use**

Allowable EMPG equipment is listed on the FEMA Authorized Equipment List (AEL) website.

Subrecipients that allocate FY 2019 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.

Expenditures for general purpose equipment are allowable if they align to and support one or more core capabilities identified in the National Preparedness Goal (NPG), and in addition, are deployable/sharable through the Emergency Management Assistance Compact and allowable under 6 U.S.C. § 609. Refer to the NOFO for examples of allowable general purpose equipment.

### **Equipment Maintenance/ 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. Please reference Presidential Memorandum: Promoting Economic Competitiveness While Safeguarding Privacy, Civil Rights, and Civil Liberties in Domestic Use of Unmanned Aircraft Systems for additional information.

### **Emergency Operations Plans**

Subrecipients must 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.

**Whole  
Community  
Preparedness**

Subrecipients should engage with the whole community to advance individual and community preparedness. In doing so, Subrecipients are encouraged to consider individuals with disabilities or access and functional needs, including the needs of children into their planning and exercises.

**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 2019 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. Prevent Violent Extremism Through Multi-Jurisdictional/Inter-Jurisdictional Collaboration and Coordination;
11. Enhance Homeland Security Exercise, Evaluation, and Training Programs; and
12. 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.

### **Regional Approach**

Subrecipients must take a regional approach and consider the needs of local units of government in the projects and activities included in their FY 2019 EMPG application.

### **Public Alert and Warning**

Cal OES strongly 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 2019 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** – Provide the contact information of Authorized Agents (AA), delegated via the Governing Body Resolution 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 requests.

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

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

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

**Equipment Ledger** – It is an EMPG requirement that detailed information 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 Ledger** – 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 Ledger** – Provides detailed information on grant-funded Exercises.

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

### Financial Management Forms Workbook Cont.

**Indirect Costs Ledger** – Provides information on Indirect Costs.

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

**Personnel Ledger** – Provides detailed information on grant-funded Personnel activities.

**Match Ledger** – Provides detailed information on Match activities.

**Authorized Agent Page** – The AA Page must be submitted with the application, all Cash Requests, and Grant Subaward Modifications. The AA must include the appropriate signature and date.

### Subrecipient Grants Management Assessment

Per 2 C.F.R. § 200.331, Cal OES is required to evaluate the risk of noncompliance 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 your 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 your grant application.

### Application Attachments

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

**FFATA Financial Disclosure** – Use the FFATA Financial Disclosure to provide information required by the Federal Funding Accountability and Transparency Act of 2006.

**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.

## Section 4 – Required State Application Components | 2019

---

### **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 2019 Standard Assurances as part of their FY 2019 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 Governing Body Resolution (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 their FY 2019 GBR with their application.

### **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. Cal OES will not accept signatures of an AA's designee.



### **Application Submission**

Subrecipients must submit an electronic copy of their completed FMFW to their Program Representative for review prior to submitting a signed hardcopy. The electronic copy of the FMFW should be submitted for Cal OES review by no later than fourteen (14) calendar days before the final Application due date. Submission of the hard copy originals is only to occur after the Cal OES EMPG Program Representative's review has concluded and the Subrecipient is directed by their Program Representative to submit the signed hard copy.

After the application is approved, a completed hard copy of the FMFW, along with all other application components must be received by Cal OES by no later than December 6, 2019. 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 FY 2019 EMPG Timeline is referenced as Attachment A.

### **Late or Incomplete Application**

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.

### **EMPG Contact Information**

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

California Governor's Office of Emergency Services  
ATTN: Grants Management (Building E)  
Emergency Management Performance Grants Unit  
3650 Schriever Avenue  
Mather, CA 95655

Ronak Patel	(916) 845-8124
Bryan Reich	(916) 845-8794
Yer Yang	(916) 845-8468

The [Program Representative Regional Assignments Map](#) is available under "Regional Assignments"



### **Subaward Approval**

Subrecipients will receive a formal notification of award. Subrecipient Award letters must be signed and the original be returned to Cal OES within 20 calendar days. Once the completed application along with the signed award letter is received and approved, reimbursement of eligible subaward expenditures may be requested using the Cal OES FMFW.

### **Payment Request Process**

EMPG is a reimbursement grant. To request a cash reimbursement of FY 2019 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.

**Exercise costs will not be reimbursed until an After Action Report (AAR)/Improvement Plan (IP) has been submitted to the Homeland Security Exercise and Evaluation Program (HSEEP), and a copy sent to your Program Representative.**

### **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 cash request, which must be submitted within 20 calendar days after the end of the period of performance.

### **Modifications**

Post award budget, scope, and time modifications must be requested using the Cal OES FMFW V 1.19 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. Please reference 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 Subrecipients Training and Exercise Plan. Subrecipients must obtain a

### **Training Requirements Cont.**

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 one of the two following sets of training courses. 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.d Fundamentals of Emergency Management

IS 235.c Emergency Planning

IS 240.b Leadership and Influence

IS 241.b Decision Making and Problem Solving

IS 242.b Effective Communication

### **Training Requirements Cont.**

#### 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 2019 EMPG.

### **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 the annual THIRA/SPR process, real-world events, previous exercises, and national areas for improvement identified in the NPR. It is recommended that exercises describe how they align to the Principals' Strategic Priorities.

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

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

- [hseep@fema.dhs.gov](mailto:hseep@fema.dhs.gov)
- [exercise@caloes.ca.gov](mailto: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 three exercises between July 1, 2019, and June 30, 2021. 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 deadline. There is no specific requirement for level of participation in the exercises and the exercises can be of any type.

For exercise-related issues and/or questions, please email the Cal OES Exercise Team at [exercise@caloes.ca.gov](mailto:exercise@caloes.ca.gov).

<b>Procurement Standards and Written Procedures</b>	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 more strict. Procurement standards must also contain a written conflict of interest policy which reflect applicable federal, state, local, and tribal laws.
<b>Procurement Thresholds</b>	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 <a href="#">IB 434</a> for additional information.
<b>Noncompetitive Procurement</b>	To be eligible for reimbursement, noncompetitive procurements exceeding the simplified acquisition threshold require Cal OES prior written approval. This method of procurement must be approved by your local Purchasing Agent prior to submitting a request for Cal OES approval. A copy of the Purchasing Agent's approval must be included with submission. Cal OES may request additional documentation that supports the procurement effort.
<b>Environmental Planning and Historic Preservation</b>	<p>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) which 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 and explain the goals and objectives of the proposed project, and include supporting documentation.</p> <p>DHS/FEMA may also require the Subrecipient provide a confidential California Historical Resources Information System (CHRIS) report in addition to the <a href="#">EHP Screening Form</a>.</p> <p>Determination on the necessity of a CHRIS report is based upon information disclosed on the EHP Screening Form. Your Program Representative will provide you with 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</p>

### **Environmental Planning and Historic Preservation Cont.**

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 funds, including communications towers, at the time of application, 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. Communications tower construction requests also require evidence 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**

FY 2019 EMPG 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;
- Conducting a physical inventory at least every two years;



### **Inventory Control and Property Management Cont.**

- 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 the Program Representative to request disposition instructions.

### **Performance Reporting**

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, please 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, please contact your Program Representative.

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 first be submitted electronically, via email, to the 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 (7) calendar days before the identified due date(s) associated with the Performance Report. Submission of the electronic copy is only to occur after the Cal OES EMPG Program

### **Performance Reporting Cont.**

Representative's review has concluded and the Subrecipient is directed by their Cal OES EMPG Program 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 your 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;



**Extension Requests Cont.**

6. Remaining available funds, both federal and non-federal;
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 2019 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 the 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 invoices as applicable;

### **Monitoring Cont.**

- 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 deadline 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% 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 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 Subrecipient's final BSIR submittal showing all grant funds have been expended, 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 SAA 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, 200.336.

# Attachment A – FY 2019 EMPG Allocations | 2019

Operational Area	Population	Base Amount	Per Capita Total	Total Award
ALAMEDA	1,660,202	\$125,000	\$335,021	\$460,021
ALPINE	1,154	\$125,000	\$233	\$125,233
AMADOR	38,094	\$125,000	\$7,687	\$132,687
BUTTE	227,621	\$125,000	\$45,933	\$170,933
CALAVERAS	45,157	\$125,000	\$9,112	\$134,112
COLUSA	22,098	\$125,000	\$4,460	\$129,460
CONTRA COSTA	1,149,363	\$125,000	\$231,936	\$356,936
DEL NORTE	27,221	\$125,000	\$5,493	\$130,493
EL DORADO	188,399	\$125,000	\$38,018	\$163,018
FRESNO	1,007,229	\$125,000	\$203,254	\$328,254
GLENN	28,796	\$125,000	\$5,811	\$130,811
HUMBOLDT	136,002	\$125,000	\$27,445	\$152,445
IMPERIAL	190,624	\$125,000	\$38,467	\$163,467
INYO	18,577	\$125,000	\$3,748	\$128,748
KERN	905,801	\$125,000	\$182,787	\$307,787
KINGS	151,662	\$125,000	\$30,605	\$155,605
LAKE	65,081	\$125,000	\$13,133	\$138,133
LASSEN	30,911	\$125,000	\$6,237	\$131,237
LOS ANGELES	10,283,729	\$125,000	\$2,075,209	\$2,200,209
MADERA	158,894	\$125,000	\$32,064	\$157,064
MARIN	263,886	\$125,000	\$53,251	\$178,251
MARIPOSA	18,129	\$125,000	\$3,658	\$128,658
MENDOCINO	89,299	\$125,000	\$18,021	\$143,021
MERCED	279,977	\$125,000	\$56,498	\$181,498
MODOC	9,612	\$125,000	\$1,939	\$126,939
MONO	13,822	\$125,000	\$2,790	\$127,790
MONTEREY	443,281	\$125,000	\$89,452	\$214,452
NAPA	141,294	\$125,000	\$28,512	\$153,512
NEVADA	99,155	\$125,000	\$20,009	\$145,009
ORANGE	3,221,103	\$125,000	\$650,004	\$775,004
PLACER	389,532	\$125,000	\$78,605	\$203,605
PLUMAS	19,773	\$125,000	\$3,991	\$128,991
RIVERSIDE	2,415,955	\$125,000	\$487,528	\$612,528
SACRAMENTO	1,529,501	\$125,000	\$308,646	\$433,646
SAN BENITO	57,088	\$125,000	\$11,520	\$136,520
SAN BERNARDINO	2,174,938	\$125,000	\$438,893	\$563,893
SAN DIEGO	3,337,456	\$125,000	\$673,483	\$798,483
SAN FRANCISCO	883,963	\$125,000	\$178,380	\$303,380
SAN JOAQUIN	758,744	\$125,000	\$153,111	\$278,111

## Attachment A – FY 2019 EMPG Allocations | 2019

Operational Area	Population	Base Amount	Per Capita Total	Total Award
SAN LUIS OBISPO	280,101	\$125,000	\$56,523	\$181,523
SAN MATEO	774,155	\$125,000	\$156,221	\$281,221
SANTA BARBARA	453,457	\$125,000	\$91,505	\$216,505
SANTA CLARA	1,956,598	\$125,000	\$394,832	\$519,832
SANTA CRUZ	276,864	\$125,000	\$55,870	\$180,870
SHASTA	178,271	\$125,000	\$35,975	\$160,975
SIERRA	3,207	\$125,000	\$647	\$125,647
SISKIYOU	44,612	\$125,000	\$9,002	\$134,002
SOLANO	439,793	\$125,000	\$88,748	\$213,748
SONOMA	503,332	\$125,000	\$101,571	\$226,571
STANISLAUS	555,624	\$125,000	\$112,122	\$237,122
SUTTER	97,238	\$125,000	\$19,622	\$144,622
TEHAMA	64,039	\$125,000	\$12,923	\$137,923
TRINITY	13,635	\$125,000	\$2,751	\$127,751
TULARE	475,834	\$125,000	\$96,021	\$221,021
TUOLUMNE	54,740	\$125,000	\$11,047	\$136,047
VENTURA	859,073	\$125,000	\$173,357	\$298,357
YOLO	221,270	\$125,000	\$44,651	\$169,651
YUBA	74,727	\$125,000	\$15,079	\$140,079
TRIBAL NATIONS	362,801	\$125,000	\$73,212	\$198,212
TOTAL	40,172,494	\$7,375,000	\$8,106,623	\$15,481,623



## Attachment B – FY 2019 EMPG Timeline | 2019

DHS Announcement of FY 2019 EMPG NOFO	April 12, 2019
Cal OES Application due to DHS	May 29, 2019
DHS/FEMA Award to California	September 9, 2019
Subrecipient period of performance begins	July 1, 2019
FY 2019 EMPG California Supplement release	September 2019
Notification of Subrecipient Award	September 2019*
Subrecipient Workshops	September 2019
Multi Year-Training and Exercise Plans due	September 30, 2019
Submission of the FY 2019 EMPG Performance Report for the period of 7/1/2019 – 9/30/2019	October 16, 2019
Subrecipient Final Applications due to Cal OES	December 6, 2019*
All FY 2019 EMPG EHP-related documents must be received by Program Representative	December 31, 2019
Submission of the FY 2019 EMPG Performance Report for the period of 7/1/2019 – 12/31/2019	January 16, 2020
Submission of the FY 2019 EMPG Performance Report for the period of 7/1/2019 – 3/31/2020	April 16, 2020
Submission of the FY 2019 EMPG Performance Report for the period of 7/1/2019 – 6/30/2020	July 16, 2020
Submission of the FY 2019 EMPG Performance Report for the period of 7/1/2019 – 9/30/2020	October 16, 2020
Submission of the FY 2019 EMPG Performance Report for the period of 7/1/2019 – 12/31/2020	January 15, 2021
Submission of the FY 2019 EMPG Performance Report for the period of 7/1/2019 – 3/31/2021	April 16, 2021
Subrecipient period of performance ends	June 30, 2021
Submission of the FY 2019 EMPG Performance Report for the period of 7/1/2019 – 6/30/2021	July 20, 2021
Final Request for Reimbursement due	Within 20 calendar days of the subaward expiration date
Cal OES's period of performance ends	September 30, 2021

\*Dates are approximate and based on anticipated date of DHS award to California

## Attachment C – FY 2019 EMPG Program Checklist | 2019

---

**Subrecipient:** \_\_\_\_\_ **FIPS#:** \_\_\_\_\_

**Program Representative:** \_\_\_\_\_

### Financial Management Forms Workbook:

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

### Required Documents:

- \_\_\_\_\_ Original Counter-signed Award Letter
- \_\_\_\_\_ EHP Screening Form
- \_\_\_\_\_ FFATA Financial Disclosure
- \_\_\_\_\_ Certification Regarding Lobbying
- \_\_\_\_\_ Governing Body Resolution
- \_\_\_\_\_ Subrecipient Grants Management Assessment form
- \_\_\_\_\_ 2019 EMPG Standard Assurances
- \_\_\_\_\_ Indirect Cost Rate Agreement (If Applicable)





## Standard Assurances For All Cal OES Federal Grant Programs

**As the duly authorized representative of the Applicant, I hereby certify** that the Applicant has the legal authority to apply for federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay any non-federal share of project cost) to ensure proper planning, management, and completion of the project described in this application, within prescribed timelines.

**I further acknowledge that the Applicant is responsible for reviewing and adhering to all requirements within the:**

- (a) Applicable Federal Regulations (see below);
- (b) Federal Program Notice of Funding Opportunity (NOFO);
- (c) Federal Preparedness Grants Manual;
- (d) California Supplement to the NOFO; and
- (e) Federal and State Grant Program Guidelines.

### **Federal Regulations**

Government cost principles, uniform administrative requirements, and audit requirements for federal grant programs are set forth in Title 2, Part 200 of the Code of Federal Regulations (C.F.R.). Updates are issued by the Office of Management and Budget (OMB) and can be found at <http://www.whitehouse.gov/omb/>.

**Significant state and federal grant award requirements (some of which appear in the documents listed above) are set forth below. The Applicant hereby agrees to comply with the following:**

#### **1. Proof of Authority**

The Applicant will obtain written authorization from the city council, governing board, or authorized body in support of this project. This written authorization must specify that the Applicant and the city council, governing board, or authorized body agree:

- (a) To provide all matching funds required for the grant project and that any cash match will be appropriated as required;
- (b) Any liability arising out of the performance of this agreement shall be the responsibility of the Applicant and the city council, governing board, or authorized body;
- (c) Grant funds shall not be used to supplant expenditures controlled by the city council, governing board, or authorized body; and
- (d) The official executing this agreement is, in fact, authorized to do so.



## Standard Assurances For All Cal OES Federal Grant Programs

---

This Proof of Authority must be maintained on file and readily available upon request.

### 2. Period of Performance

The Applicant will initiate work after approval of the award and complete all work within the period of performance specified in the grant.

### 3. Lobbying and Political Activities

As required by Section 1352, Title 31 of the United States Code (U.S.C.), for persons entering into a contract, grant, loan, or cooperative agreement from an agency or requests or receives from an agency a commitment providing for the United States to insure or guarantee a loan, the Applicant certifies that:

- (a) 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.
- (b) 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.
- (c) 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.

The Applicant will also comply with 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.



## **Standard Assurances**

### **For All Cal OES Federal Grant Programs**

---

Finally, the Applicant agrees that federal funds will not be used, directly or indirectly, to support the enactment, repeal, modification or adoption of any law, regulation or policy without the express written approval from the California Governor's Office of Emergency Services (Cal OES) or the federal awarding agency.

#### **4. Debarment and Suspension**

As required by Executive Orders 12549 and 12689, and 2 C.F.R. § 200.213 and codified in 2 C.F.R. Part 180, Debarment and Suspension, the Applicant will provide protection against waste, fraud, and abuse by debarring or suspending those persons deemed irresponsible in their dealings with the federal government. The Applicant certifies that it and its principals, recipients, or subrecipients:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) 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;
- (c) 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 (2)(b) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transaction (federal, state, or local) terminated for cause or default.

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.

#### **5. Non-Discrimination and Equal Employment Opportunity**

The Applicant will comply with all federal statutes relating to non-discrimination. These include, but are not limited to, the following:





**Cal OES**  
GOVERNOR'S OFFICE  
OF EMERGENCY SERVICES

## **Standard Assurances**

### **For All Cal OES Federal Grant Programs**

---

- (a) Title VI of the Civil Rights Act of 1964 (Public Law (P.L.) 88-352 and 42 U.S.C. § 2000d et. seq.) which prohibits discrimination on the basis of race, color, or national origin and requires that recipients of federal financial assistance take reasonable steps to provide meaningful access to persons with limited English proficiency (LEP) to their programs and services;
- (b) Title IX of the Education Amendments of 1972, (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex in any federally funded educational program or activity;
- (c) Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. § 794), which prohibits discrimination against those with disabilities or access and functional needs;
- (d) Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability and requires buildings and structures be accessible to those with disabilities and access and functional needs (42 U.S.C. §§ 12101-12213);
- (e) Age Discrimination Act of 1975, (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age;
- (f) Public Health Service Act of 1912 (42 U.S.C. § 290 dd—2), relating to confidentiality of patient records regarding substance abuse treatment;
- (g) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), relating to nondiscrimination in the sale, rental or financing of housing as implemented by the Department of Housing and Urban Development at 24 C.F.R. Part 100. The prohibition on disability discrimination includes the requirement that new multifamily housing with four or more dwelling units—i.e., the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators)— be designed and constructed with certain accessible features (See 24 C.F.R. § 100.201);
- (h) Executive Order 11246, which prohibits federal contractors and federally assisted construction contractors and subcontractors, who do over \$10,000 in Government business in one year from discriminating in employment decisions on the basis of race, color, religion, sex, sexual orientation, gender identification or national origin;
- (i) Executive Order 11375, which bans discrimination on the basis of race, color, religion, sex, sexual orientation, gender identification, or national origin in hiring and employment in both the United States federal workforce and on the part of government contractors;
- (j) California Public Contract Code § 10295.3, which prohibits discrimination based on domestic partnerships and those in same sex marriages;



**Cal OES**  
GOVERNOR'S OFFICE  
OF EMERGENCY SERVICES

## **Standard Assurances**

### **For All Cal OES Federal Grant Programs**

---

- (k) DHS policy to ensure the equal treatment of faith-based organizations, under which all applicants and recipients must comply with equal treatment policies and requirements contained in 6 C.F.R. Part 19;
- (l) Any other nondiscrimination provisions in the specific statute(s) under which application for federal assistance is being made; and
- (m) The requirements of any other nondiscrimination statute(s) which may apply to the application.

In addition to the items listed in (a) through (m), the Applicant will comply with California's Fair Employment and Housing Act (FEHA). FEHA prohibits harassment and discrimination in employment because of ancestry, familial status, race, color, religious creed (including religious dress and grooming practices), sex (which includes pregnancy, childbirth, breastfeeding and medical conditions related to pregnancy, childbirth or breastfeeding), gender, gender identity, gender expression, sexual orientation, marital status, national origin, ancestry, mental and physical disability, genetic information, medical condition, age, pregnancy, denial of medical and family care leave, or pregnancy disability leave (California Government Code §§ 12940, 12945, 12945.2), military and veteran status, and/or retaliation for protesting illegal discrimination related to one of these categories, or for reporting patient abuse in tax supported institutions.

#### **6. Drug-Free Workplace**

As required by the Drug-Free Workplace Act of 1988 (41 U.S.C. § 701 et seq.), the Applicant certifies that it will maintain a drug-free workplace and a drug-free awareness program as outlined in the Act.

#### **7. Environmental Standards**

The Applicant will comply with state and federal environmental standards, which may be prescribed pursuant to the following, as applicable:

- (a) California Environmental Quality Act (CEQA) (California Public Resources Code §§ 21000- 21177), to include coordination with the city or county planning agency;
- (b) CEQA Guidelines (California Code of Regulations, Title 14, Division 6, Chapter 3, §§ 15000- 15387);
- (c) Federal Clean Water Act (CWA) (33 U.S.C. § 1251 et seq.), which establishes the basic structure for regulating discharges of pollutants into the waters of the United States and regulating quality standards for surface waters;



**Cal OES**  
GOVERNOR'S OFFICE  
OF EMERGENCY SERVICES

## **Standard Assurances For All Cal OES Federal Grant Programs**

---

- (d) Federal Clean Air Act of 1955 (42 U.S.C. § 7401) which regulates air emissions from stationary and mobile sources;
- (e) Institution of environmental quality control measures under the National Environmental Policy Act (NEPA) of 1969 (P.L. 91-190); the Council on Environmental Quality Regulations for Implementing the Procedural Provisions of NEPA; and Executive Order 12898 which focuses on the environmental and human health effects of federal actions on minority and low-income populations with the goal of achieving environmental protection for all communities;
- (f) Evaluation of flood hazards in floodplains in accordance with Executive Order 11988;
- (g) Executive Order 11514 which sets forth national environmental standards;
- (h) Executive Order 11738 instituted to assure that each federal agency empowered to enter into contracts for the procurement of goods, materials, or services and each federal agency empowered to extend federal assistance by way of grant, loan, or contract shall undertake such procurement and assistance activities in a manner that will result in effective enforcement of the Clean Air Act and the Federal Water Pollution Control Act Executive Order 11990 which requires preservation of wetlands;
- (i) The Safe Drinking Water Act of 1974, (P.L. 93-523);
- (j) The Endangered Species Act of 1973, (P.L. 93-205);
- (k) 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.);
- (l) Conformity of Federal Actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §7401 et seq.);
- (m) 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.

The Applicant shall not be: 1) in violation of any order or resolution promulgated by the State Air Resources Board or an air pollution district; 2) subject to a cease and desist order pursuant to § 13301 of the California Water Code for violation of waste discharge requirements or discharge prohibitions; or 3) determined to be in violation of federal law relating to air or water pollution.





## Standard Assurances For All Cal OES Federal Grant Programs

---

### 8. Audits

For subrecipients expending \$750,000 or more in federal grant funds annually, the Applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and Title 2 of the Code of Federal Regulations, Part 200, Subpart F Audit Requirements.

### 9. Access to Records

In accordance with 2 C.F.R. § 200.336, the Applicant will give the awarding agency, the Comptroller General of the United States and, if appropriate, the state, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award. The Applicant will require any subrecipients, contractors, successors, transferees and assignees to acknowledge and agree to comply with this provision.

### 10. Conflict of Interest

The Applicant 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.

### 11. Financial Management

False Claims for Payment - The Applicant will comply with 31 U.S.C §§ 3729-3733 which sets forth that no subrecipient, recipient, or subrecipient shall submit a false claim for payment, reimbursement or advance.

### 12. Reporting - Accountability

The Applicant agrees to comply with applicable provisions of the Federal Funding Accountability and Transparency Act (FFATA) (P.L. 109-282), specifically (a) the reporting of subawards obligating \$25,000 or more in federal funds and (b) executive compensation data for first-tier subawards. This includes the provisions of FFATA, which includes requirements for executive compensation, and also requirements implementing the Act for the non-federal entity at 2 C.F.R. Part 25 Financial Assistance Use of Universal Identifier and Central Contractor Registration and 2 C.F.R. Part 170 Reporting Subaward and Executive Compensation Information.

### 13. Whistleblower Protections

The Applicant also must comply with statutory requirements for whistleblower protections at 10 U.S.C. § 2409, 41 U.S.C. § 4712, and 10 U.S.C. § 2324, 41 U.S.C. § 4304 and § 4310.



**Cal OES**  
GOVERNOR'S OFFICE  
OF EMERGENCY SERVICES

## **Standard Assurances For All Cal OES Federal Grant Programs**

---

### **14. Human Trafficking**

The Applicant will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. § 7104) which prohibits grant award recipients or a subrecipient from: (1) engaging in trafficking in persons during the period of time that the award is in effect; (2) procuring a commercial sex act during the period of time that the award is in effect; or (3) using forced labor in the performance of the award or subawards under the award.

### **15. Labor Standards**

The Applicant will comply with the following federal labor standards:

- (a) The Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), as applicable, and the Copeland Act (40 U.S.C. § 3145 and 18 U.S.C. § 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally-assisted construction contracts or subcontracts, and
- (b) The Federal Fair Labor Standards Act (29 U.S.C. § 201 et al.) as they apply to employees of institutes of higher learning (IHE), hospitals and other non-profit organizations.

### **16. Worker's Compensation**

The Applicant must comply with provisions which require every employer to be insured to protect workers who may be injured on the job at all times during the performance of the work of this Agreement, as per the workers compensation laws set forth in California Labor Code §§ 3700 et seq.

### **17. Property-Related**

If applicable to the type of project funded by this federal award, the Applicant will:

- (a) Comply with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of federal participation in purchase;
- (b) Comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires subrecipients 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;





**Cal OES**  
GOVERNOR'S OFFICE  
OF EMERGENCY SERVICES

## **Standard Assurances**

### **For All Cal OES Federal Grant Programs**

---

- (c) Assist the awarding agency in assuring compliance with Section 106 of the
- (d) National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), Executive Order 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469a-1 et seq.); and
- (e) Comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. § 4831 and 24 CFR Part 35) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

#### **18. Certifications Applicable Only to Federally-Funded Construction Projects**

For all construction projects, the Applicant will:

- (a) 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 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 nondiscrimination during the useful life of the project;
- (b) Comply with the requirements of the awarding agency with regard to the drafting, review and approval of construction plans and specifications; and
- (c) 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 progressive reports and such other information as may be required by the assistance awarding agency or State.

#### **19. Use of Cellular Device While Driving is Prohibited**

Applicants are required to comply with California Vehicle Code sections 23123 and 23123.5. These laws prohibit driving motor vehicle while using an electronic wireless communications device to write, send, or read a text-based communication. Drivers are also prohibited from the use of a wireless telephone without hands-free listening and talking, unless to make an emergency call to 911, law enforcement, or similar services.



## **Standard Assurances For All Cal OES Federal Grant Programs**

---

### **20. California Public Records Act and Freedom of Information Act**

The Applicant acknowledges that all information submitted in the course of applying for funding under this program, or provided in the course of an entity's grant management activities that are under Federal control, is subject to the Freedom of Information Act (FOIA), 5 U.S.C. § 552, and the California Public Records Act, California Government Code section 6250 et seq. The Applicant should consider these laws and consult its own State and local laws and regulations regarding the release of information when reporting sensitive matters in the grant application, needs assessment, and strategic planning process.

### **EMERGENCY MANAGEMENT PERFORMANCE GRANT (EMPG) – PROGRAM SPECIFIC ASSURANCES / CERTIFICATIONS**

### **21. Reporting Accusations and Findings of Discrimination**

If during the past three years the recipient has been accused of discrimination on any basis the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS Financial Assistance Office and the DHS Office for Civil Rights and Civil Liberties (CRCL) by e-mail at [CRCL@hq.dhs.gov](mailto:CRCL@hq.dhs.gov) or by mail at U.S. Department of Homeland Security, Office for Civil Rights and Civil Liberties, Building 410, Mail Stop #0190, Washington, D.C. 20528.

In the courts or administrative agencies make a finding of discrimination on grounds of race, color, national origin (including LEP), sex, age, disability, religion, or familial status against the recipient, or the recipients settle a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS Financial Assistance Office and the CRCL by e-mail or mail at the addresses listed above.

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

### **22. Acknowledgment of Federal Funding from DHS**

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



## Standard Assurances For All Cal OES Federal Grant Programs

---

### **23. Activities Conducted Abroad**

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

### **24. Best Practices for Collection and Use of Personally Identifiable Information (PII)**

DHS defines personally identifiable information (PII) as any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual. All recipients who collect PII are required to have a publically-available privacy policy that describes standards on the usage and maintenance of PII they collect. Recipients may also find the DHS Privacy Impact Assessments: Privacy Guidance and Privacy template a useful resource respectively.

### **25. Copyright**

All recipients must affix the applicable copyright notices of 17 U.S.C. §§ 401 or 402 and an acknowledgement of U.S. Government sponsorship (including the award number) to any work first produced under federal financial assistance awards.

### **26. Duplication of Benefits**

Any cost allocable to a particular federal financial assistance award provided for in 2 C.F.R. Part 200, Subpart E may not be charged to other federal financial assistance awards to overcome fund deficiencies, to avoid restrictions imposed by federal statutes, regulations, or federal financial assistance award terms and conditions, or for other reasons. However, these prohibitions would not preclude recipients from shifting costs that are allowable under two or more awards in accordance with existing federal statutes, regulations, or the federal financial assistance award terms and conditions.

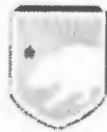
### **27. Energy Policy and Conservation Act**

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

### **28. Federal Debt Status**

All recipients are required to be non-delinquent in their repayment of any federal debt. Examples of relevant debt include delinquent payroll and other taxes, audit disallowances, and benefit overpayments. See OMB Circular A-129.





**Cal OES**  
GOVERNOR'S OFFICE  
OF EMERGENCY SERVICES

## **Standard Assurances**

### **For All Cal OES Federal Grant Programs**

---

#### **29. Fly America Act of 1974**

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

#### **30. Hotel and Motel Fire Safety Act of 1990**

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

#### **31. Non-supplanting Requirement**

All recipients who receive federal financial assistance awards made under programs that prohibit supplanting by law must ensure that federal funds do not replace (supplant) funds that have been budgeted for the same purpose through non-federal sources.

#### **32. Patents and Intellectual Property Rights**

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

#### **33. SAFECOM**

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



**Cal OES**  
GOVERNOR'S OFFICE  
OF EMERGENCY SERVICES

## **Standard Assurances For All Cal OES Federal Grant Programs**

---

### **34. Terrorist Financing**

All recipients must comply with Executive Order 13224 and U.S. law that prohibit transactions with, and the provisions of resources and support to, individuals and organizations associated with terrorism. Recipients are legally responsible to ensure compliance with the Order and laws.

### **35. Reporting of Matters Related to Recipient Integrity and Performance**

If the total value of the recipient's currently active grants, cooperative agreements, and procurement contracts from all federal assistance offices exceeds \$10,000,000 for any period of time during the period of performance of this federal financial assistance award, you must comply with the requirements set forth in the government-wide Award Term and Condition for Recipient Integrity and Performance Matters located at 2 C.F.R. Part 200, Appendix XII, the full text of which is incorporated here by reference in the award terms and conditions.

### **36. USA Patriot Act of 2001**

All recipients must comply with requirements of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA PATRIOT Act), which amends 18 U.S.C. §§ 175–175c.

### **37. Use of DHS Seal, Logo, and Flags**

All recipients must obtain permission from their DHS Financial Assistance Office, prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.



**Cal OES**  
GOVERNOR'S OFFICE  
OF EMERGENCY SERVICES

## Standard Assurances For All Cal OES Federal Grant Programs

### IMPORTANT

The purpose of the assurance is to obtain federal and state financial assistance, including any and all federal and state grants, loans, reimbursement, contracts, etc. The Applicant recognizes and agrees that state financial assistance will be extended based on the representations made in this assurance. This assurance is binding on the Applicant, its successors, transferees, assignees, etc. Failure to comply with any of the above assurances may result in suspension, termination, or reduction of grant funds.

All appropriate documentation, as outlined above, must be maintained on file by the Applicant and available for Cal OES or public scrutiny upon request. Failure to comply with these requirements may result in suspension of payments under the grant or termination of the grant or both and the subrecipient may be ineligible for award of any future grants if the Cal OES determines that any of the following has occurred: (1) the recipient has made false certification, or (2) violates the certification by failing to carry out the requirements as noted above.

All of the language contained within this document must be included in the award documents for all subawards at all tiers. All recipients are bound by the Department of Homeland Security Standard Terms and Conditions 2018, Version 8.1, hereby incorporated by reference, which can be found at:

<https://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions>.

**The undersigned represents that he/she is authorized to enter into this agreement for and on behalf of the Applicant.**

Subrecipient: County of Fresno

Signature of Authorized Agent: Ernest Buddy Mendes

Printed Name of Authorized Agent: Ernest Buddy Mendes  
Chairman of the Board of Supervisors of the

Title: County of Fresno Date: 1-21-2020

ATTEST:  
BERNICE E. SEIDEL  
Clerk of the Board of Supervisors  
County of Fresno, State of California

By: Susan Bishop  
Deputy



## **Certification Regarding Lobbying**

### 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 of Lobbying Activities,' in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, 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.





## Certification Regarding Lobbying

The Subrecipient, as identified below, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Subrecipient understands and agrees that the provisions of 31 U.S.C. Chap. 38, Administrative Remedies for False Claims and Statements, apply to this certification and disclosure, if any.

Subrecipient: County of Fresno

Signature of Authorized Agent: Ernest Buddy Mendes

Printed Name of Authorized Agent: Ernest Buddy Mendes

Title: Chairman Board of Supervisors Date: 1-21-2020

ATTEST:  
BERNICE E. SEIDEL  
Clerk of the Board of Supervisors  
County of Fresno, State of California

By Susan Bishop  
Deputy

### ***Governing Body Resolution***

BE IT RESOLVED BY THE Board of Supervisors  
(Governing Body)

OF THE County of Fresno THAT  
(Name of Applicant)

Chairman, Board of Supervisors, OR  
(Name or Title of Authorized Agent)

Director, Department of Public Health, OR  
(Name or Title of Authorized Agent)

Assistant Director, Department of Public Health  
(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 subawarded through the State of California.

Passed and approved this 21 st day of January, 20 20

### ***Certification***

I, Steve Brandau, duly appointed and  
(Name)

Vice-Chairman of the County of Fresno  
(Title) (Governing Body)

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

the Board of Supervisors of the County of Fresno on the  
(Governing Body) (Name of Applicant)

21 day of January, 20 20

Vice-Chairman  
(Official Position)

[Signature]  
(Signature)

1/21/2020  
(Date)

ATTEST:  
BERNICE E. SEIDEL  
Clerk of the Board of Supervisors  
County of Fresno, State of California

By Susan Bishop  
Deputy

## Instruction Sheet

### Governing Body Resolution, Meeting Minutes, & Addendum to GBR

---

#### Purpose

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

**Note:** Self Certifications are not accepted as a valid Governing Body Resolution. You cannot self certify that you are an authorized agent. Another Board member will need to sign the lower portion of the GBR.

---

#### Required GBR-related Application Documents

- Governing Body Resolution (GBR)
  - Meeting Minutes (associated with GBR)
  - Addendum to the GBR
- 

#### 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 OES on the applicant's letterhead:**

- |   |  |
|---|--|
| <input type="checkbox"/> Name                             | <input type="checkbox"/> Title               |
| <input type="checkbox"/> Jurisdiction                     | <input type="checkbox"/> E-Mail Address      |
| <input type="checkbox"/> Street Address (City & Zip Code) | <input type="checkbox"/> Phone & Fax Numbers |
- 

#### 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 OES, 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.

Cal OES #		FIPS #	019-00000	VS#	02	Subaward #	2019-0003
-----------	--	--------	-----------	-----	----	------------	-----------

## CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES GRANT SUBAWARD FACE SHEET

The California Governor's Office of Emergency Services (Cal OES) hereby makes a Grant Subaward of funds to the following:

1. Subrecipient: County of Fresno 1a. DUNS#: 004969341  
 2. Implementing Agency: Fresno County Office of Emergency Services 2a. DUNS#: 556197655  
 3. Implementing Agency Address: 1221 Fulton Street Fresno 93755-1867  
 (Street) (City) (Zip+4)  
 4. Location of Project: Fresno Fresno County  
 (City) (County) (Zip+4)  
 5. Disaster/Program Title: Emergency Management Performance Grant 6. Performance Period: 07/01/2019 to 06/30/2021  
 (Start Date) (End Date)  
 7. Indirect Cost Rate: 10% de Minimus Federally Approved ICR (if applicable): \_\_\_\_\_ %

Item Number	Grant Year	Fund Source	A. State	B. Federal	C. Total	D. Cash Match	E. In-Kind Match	F. Total Match	G. Total Cost
8.	2019	EMPG		\$328,254		\$328,254		\$328,254	\$656,508
9.	Select	Select						\$0	\$0
10.	Select	Select						\$0	\$0
11.	Select	Select						\$0	\$0
12.	Select	Select						\$0	\$0
Total	Project	Cost	\$0	\$328,254	\$328,254	\$328,254	\$0	\$328,254	\$656,508

13. **Certification** - This Grant Subaward consists of this title page, the application for the grant, which is attached and made a part hereof, and the Assurances/Certifications. I hereby certify I am vested with the authority to enter into this Grant Subaward, and have the approval of the City/County Financial Officer, City Manager, County Administrator, Governing Board Chair, or other Approving Body. The Subrecipient certifies that all funds received pursuant to this agreement will be spent exclusively on the purposes specified in the Grant Subaward. The Subrecipient accepts this Grant Subaward and agrees to administer the grant project in accordance with the Grant Subaward as well as all applicable state and federal laws, audit requirements, federal program guidelines, and Cal OES policy and program guidance. The Subrecipient further agrees that the allocation of funds may be contingent on the enactment of the State Budget.

14. **CA Public Records Act** - Grant applications are subject to the California Public Records Act, Government Code section 6250 et seq. Do not put any personally identifiable information or private information on this application. If you believe that any of the information you are putting on this application is exempt from the Public Records Act, please attach a statement that indicates what portions of the application and the basis for the exemption. Your statement that the information is not subject to the Public Records Act will not guarantee that the information will not be disclosed.

15. Official Authorized to Sign for Subrecipient:

Name: Ernest Buddy Mendes Title: Chairman of the Board of Supervisors of the County of Fresno  
 Payment Mailing Address: P.O. Box 11800 City: Fresno Zip Code+4: 93775-1800  
 Signature: Ernest Buddy Mendes Date: 1-21-2020

16. Federal Employer ID Number: 94-6000512

(FOR Cal OES USE ONLY)

I hereby certify upon my personal knowledge that budgeted funds are available for the period and purposes of this expenditure stated above.

Mary Buckner 2/21/2020  
 (Cal OES Fiscal Officer) (Date)

John Smith  
 (Cal OES Director or Designee)

3-9-2020  
 (Date)

ATTEST:  
 BERNICE E. SEIDEL  
 Clerk of the Board of Supervisors  
 County of Fresno, State of California

By Susan Bishop  
 Deputy

RECEIVED

695708  
 JAN 30 2020

CAL OES  
 GRANTS MANAGEMENT

ENY: 2019-20 Chapter: 23 SL: 14859  
 Item: 0690-101-0890 Pgm: 0385  
 FAIN#: EMF-2019-EP-00003 10/01/18 - 09/30/21  
 Fund: Federal Trust AL#: 97.042  
 Program: Emergency Management Performance Grant  
 Match Req.: 50% on TPC  
 Project No.: OES19EMPG000012 Amount: \$328,254  
 SC 2019-14859

RECEIVED  
 MAR 24 2020  
 FRESNO COUNTY -DPH  
 BUSINESS OFFICE

**AUTHORIZED AGENT AND CONTACT INFORMATION**

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

**County of Fresno**

2019-0003

**Additional Authorized Agent Contact Information**

<b>Authorized Agent Name</b>	<b>Title</b>	<b>Mailing Address</b>	<b>City</b>	<b>State</b>	<b>Zip</b>	<b>Phone</b>	<b>Email</b>
David Pomaville	Director Dept. Public Health	P.O. Box 11867	Fresno	CA	93721	559-600-3200	<a href="mailto:dpomaville@co.fresno.ca.us">dpomaville@co.fresno.ca.us</a>
David Luchini	Assistant Director Dept. Public Health	P.O. Box 11867	Fresno	CA	93721	559-600-3200	<a href="mailto:dluchini@co.fresno.ca.us">dluchini@co.fresno.ca.us</a>
Ernest "Buddy" Mendes	Chair Board of Supervisors	2281 Tulare Street, Suite 300	Fresno	CA	93721	559-600-4000	<a href="mailto:District4@co.fresno.ca.us">District4@co.fresno.ca.us</a>
<b>Contact Name</b>	<b>Title</b>	<b>Mailing Address</b>	<b>City</b>	<b>State</b>	<b>Zip</b>	<b>Phone</b>	<b>Email</b>
Angel Lopez	Analyst	P.O. Box 11867	Fresno	CA	93755-1867	559-600-4065	<a href="mailto:angelopez@co.fresno.ca.us">angelopez@co.fresno.ca.us</a>
Ken Austin	Emergency Manager	P.O. Box 11867	Fresno	CA	93755-1867	559-600-4065	<a href="mailto:kaustin@co.fresno.ca.us">kaustin@co.fresno.ca.us</a>
David Pomaville	Director Public Health	P.O. Box 11867	Fresno	CA	93755-1867	559-600-4065	<a href="mailto:dpomaville@co.fresno.ca.us">dpomaville@co.fresno.ca.us</a>
Gilbert Torres	Program Tech	P.O. Box 11867	Fresno	CA	93755-1867	559-600-3483	<a href="mailto:gitorres@co.fresno.ca.us">gitorres@co.fresno.ca.us</a>







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

## 2019-0003

\*\*\* DO NOT ENTER INFORMATION INTO THE GRAY CELLS. THEY WILL AUTO-POPULATE. \*\*\*

## Organization









## INDIRECT COSTS

**Warning!** Decimal usage is not allowed. Round amounts **DOWN** to the nearest dollar.

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

**County of Fresno**

2019-0003

\*\*\* DO NOT ENTER INFORMATION INTO THE GRAY CELLS. THEY WILL AUTO-POPULATE. \*\*\*

Ledger Type	Initial Application		
Date	11/26/2029		
Request #			
POP Start Date	07/01/2019		
POP End Date	06/30/2021		
Approval Cal OES ONLY	Initials / Date: (Program Rep)		

















**Cal OES**  
GOVERNOR'S OFFICE  
OF EMERGENCY SERVICES

## Federal Funding Accounting and Transparency Act (FFATA) Financial Disclosure

The undersigned represents that he/she is authorized to enter into this agreement for and on behalf of the Applicant.

Subrecipient: County of Fresno

Signature of Authorized Agent: Ernest Buddy Mendes

Printed Name of Authorized Agent: Ernest Buddy Mendes  
Chairman of the Board of Supervisors

Title: of the County of Fresno Date: 1-21-2020

ATTEST:  
BERNICE E. SEIDEL  
Clerk of the Board of Supervisors  
County of Fresno, State of California

By Susan Bishop  
Deputy



GAVIN NEWSOM  
GOVERNOR



MARK S. GHILARDUCCI  
DIRECTOR

October 22, 2019

David Pomaville  
Director, Department of Public Health  
Fresno County  
P.O. Box 11867  
Fresno, CA 93775

**SUBJECT: NOTIFICATION OF SUBRECIPIENT AWARD APPROVAL**

Fiscal Year (FY) 2019 Emergency Management Performance Grant  
(EMPG)

Subaward #2019-0003, Cal OES ID#019-00000

Subaward Period of Performance: 07/01/2019-06/30/2021

Dear Mr. Pomaville:

The California Governor's Office of Emergency Services (Cal OES) approved your FY 2019 EMPG subaward in the amount of \$328,254. Once the completed application is received and approved, reimbursement of eligible subaward expenditures may be requested using the Cal OES Financial Management Forms Workbook (FMFW). Failure to provide documentation in a timely manner could result in a hold on funding, pursuant to 2 CFR §§ 200.338(a) and 200.207(b)(1)-(2).

This subaward is subject to requirements in Title 2, Code of Federal Regulations (CFR), Part 200, including the Notice of Funding Opportunity (NOFO), the Preparedness Grants Manual, the California Supplement to the NOFO, and all applicable federal, state, and local requirements. All activities funded with this subaward must be completed within the subaward period of performance.

Subrecipients must obtain additional written approval **prior** to incurring costs for activities such as aviation, watercraft, allowability request logs, noncompetitive procurement, and projects requiring Environmental Planning and Historic Preservation review.



3650 SCHRIEVER AVENUE, MATHER, CA 95655  
(916) 845-8506 TELEPHONE (916) 845-8511 FAX  
[www.CalOES.ca.gov](http://www.CalOES.ca.gov)

David Pomaville  
October 22, 2019  
Page 2 of 2

Your organization will be required to prepare and submit the Biannual Strategy Implementation Report to Cal OES via the Federal Emergency Management Agency's Grants Reporting Tool (GRT) semi-annually for the duration of the subaward period of performance or until all activities are completed and the subaward is formally closed. Failure to submit required reports could result in subaward reduction, suspension, or termination. Throughout the subaward cycle, milestones set in the GRT will be used as indicators of project feasibility, performance, and grant management capacity. This information may also be used in assessing proposals for future grant opportunities.

Your dated signature is required on this letter. Please sign and return the original to your Cal OES Program Representative within 20 calendar days upon receipt and keep a copy for your records. For further assistance, please contact your Cal OES Program Representative.

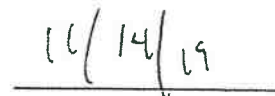
Sincerely,



MARK S. GHILARDUCCI  
Director



David Pomaville  
Fresno County



Date

**Application/Agreement Between the County of Fresno and California  
Governor's Office of Emergency Services (CAL OES)**

**Name:** FY 2019 Cal OES Emergency Management Performance Grant Program  
Application/Agreement

Fund/Subclass:	0001/10000
Organization #:	56204606
Revenue Account #:	4380