CALIFORNIA EMERGENCY MANAGEMENT AGENCY

GRANT MANAGEMENT MEMORANDUM

2011-08

Date: August 18, 2011

To: All Cal EMA Homeland Security Grant Program (HSGP) Subgrantees

From: Office of Grants Management

RE: Operational Area and Tribal Base Rate Reductions for 2011 HSGP Funds

On May 19, 2011, the United States Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA) announced that the FY2011 HSGP allocations to every state and territory would be substantially lower than their FY2010 HSGP allocations.

California's FY2011 HSGP allocation of $72,983,062 is $34,515,278 (-32%) less than our FY2010 HSGP allocation of $107,498,340. In order to distribute the FY2011 HSGP funding cuts in a fair and equitable manner to the 58 Operational Areas and the Tribal Association, Cal EMA has decided to lower the HSGP Base Rate that is awarded to every Operational Area and the Tribal Association from $100,000 to $75,000. This reduction in the HSGP Base Rate is viewed as the most equitable way to distribute the federal funding cuts to all of our subrecipients.

The FY2011 HSGP allocations to the 58 Operational Areas and the Tribal Association have been calculated on the $75,000 Base Rate plus population basis. If you have any questions, please contact your Cal EMA program representative.

Sincerely,

BRENDAN A. MURPHY
Acting Undersecretary

Cal E·M·A

CALIFORNIA EMERGENCY MANAGEMENT AGENCY

Fiscal Year 2011
Homeland Security Grant Program

California Supplement to the
Federal Program Guidance and Application Kit

August 2011

STATE OF CALIFORNIA
Edmund G. Brown Jr, Governor

CALIFORNIA EMERGENCY MANAGEMENT AGENCY
Mike Dayton, Acting Secretary

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The California Emergency Management Agency (Cal EMA) is responsible for designing and implementing homeland security initiatives and ensuring that the state is ready to protect lives and property by effectively preparing for, preventing, responding to, and recovering from all threats, crimes, hazards, and emergencies. As a result of working together under the Homeland Security Grant Program, we have made our communities safer and better prepared.

This year, the Homeland Security Grant Program will promote the three National Priorities, which includes the advancement of whole community security and emergency management, building prevention and protection capabilities, and the maturation and enhancement of the Major Urban Area Fusion Centers. In addition to changes with the National Priorities, new rules for emergency operation plans, fusion centers, and equipment/training procurement will be implemented this fiscal year. Throughout the duration of the grant, Cal EMA's program representatives will continue to be available to assist you in enhancing your homeland security programs and I encourage you to contact them for guidance and advice.

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

With your dedication and hard work, we have made significant progress and have achieved a number of objectives that continue to make California a better place to live, work, and thrive. To further our progress, I am pleased to present the Fiscal Year 2011 State Supplement to the Federal Program Guidance.

Sincerely,

Mike Dayton
Secretary

Federal Program Guidance	The U.S. Department of Homeland Security (DHS) published the *Fiscal Year 2011 (FY11) Homeland Security Grant Program, Program Guidance and Application Kit* in May 2011 and may be viewed and downloaded at: http://www.fema.gov/government/grant/hsgp/
Information Bulletins	DHS also issues Information Bulletins that provide updates, clarification, and requirements throughout the life of the grant. Information Bulletins may be obtained at: http://www.fema.gov/government/grant/bulletins/index.shtm
Purpose of the California Supplement	The *California Supplement to the Federal Program Guidance* is intended to complement, rather than replace, the Guidance published by DHS. The Supplement will emphasize the differences between the FY10 and FY11 Homeland Security Grant Programs (HSGP), and will include additional California policies and requirements applicable to the FY11 HSGP.
Grant Management Memos	Cal EMA also issues Grant Management Memos (GMMs) that provide additional information regarding HSGP funds. GMMs can be located at: http://www.calema.ca.gov/EMS-HS-HazMat/Pages/Grant-Management-Memos.aspx

Eligible Subgrantees	Eligible subgrant recipients, referred to as Subgrantees, differ for each program. Generally, eligible Subgrantees include:
	• Operational Areas (OA)
	  • Includes the Metropolitan Medical Response System (MMRS)
	  • Native American Tribes-represented by a single coordinating group
	• Urban Areas Security Initiative (UASI) Jurisdictions
	• State Agencies (SA), Departments, Commissions, Boards, etc. who have, or can obtain, appropriate State Department of Finance budget authority for awarded funds
	  • Includes the Citizen Corps Program (CCP)

Native American Allocations	Federal FY11 grant guidance strongly encourages Cal EMA to provide access to HSGP funds directly to Native American Tribes in California. In order for Cal EMA to implement this requirement, a single coordinating group representing the California tribes will be eligible to receive a share of this funding on a base plus population basis. In order to submit an application for funding, California's 108 tribes shall develop a single coordinating group that represents all or substantially all of the tribes. The single coordinating group shall have until October 1, 2011 to submit to Cal EMA its membership, organizational structure and plan for developing coordinated funding priorities among all or substantially all of the California Tribes. All Subgrantees are encouraged to coordinate with Tribal Governments to ensure that Tribal needs are considered in the Subgrantee's applications.[1]
Subgrantee Allocations	FY11 Homeland Security Grant Program (HSGP) Subgrantee allocations are included in Appendix A.

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[1] U.S. Department of Homeland Security, Fiscal Year 2011 Homeland Security Grant Guidance and Application Kit. Page 12.

Supplanting	Grant funds must be used to supplement existing funds, not replace (supplant) funds that have been appropriated for the same purpose. Subgrantees will be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.[2]
Public/Private Organizations	Subgrantees may contract with any other public or private organizations to perform eligible activities on approved projects.
Debarred/ Suspended Parties	Subgrantees must not make or permit any award (subgrant or contract) at any tier to any party that is debarred, suspended, or otherwise excluded from, or ineligible for, participation in Federal assistance programs. Subgrantees must obtain documentation of eligibility prior to any subaward of HSGP funds and be prepared to present supporting documentation to monitors.[3]
Cal EMA Contact Information	All Subgrantee application materials, related questions, comments and correspondence should be directed to:

> California Emergency Management Agency
> ATTN: Office of Grants Management, HSGS
> 3650 Schriever Ave
> Mather, CA 95655

> Cal EMA Main Phone Line: (916) 845-8510
> Homeland Security Grant Section (HSGS) Fax: (916) 324-5902

HSGS Program Representatives

Joseph Anderson at joseph.anderson@calema.ca.gov or (916) 332-9067
Cameron Bardwell at cameron.bardwell@calema.ca.gov or (916) 322-8740
Maybel Garing-Espilla at maybel.garing@calema.ca.gov or (916) 324-9312
Casey Granados at casey.granados@calema.ca.gov or (916) 322-2643
Leo LaMattina at leo.lamattina@calema.ca.gov or (916) 324-6347
Rachel Magana at rachel.magana@calema.ca.gov or (916) 324-9314

Cal EMA representatives may be located on the HSGS regional map at:
http://www.calema.ca.gov/WebPage/oeswebsite.nsf/ClientOESFileLibrary/Home land%20Security%20Files/$file/HSGPmap12-28-09.pdf

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[2] *Ibid.,* page 41.
[3] *Ibid.,* page 52.

HSGP Priorities

The Federal FY11 HSGP (State Homeland Security Program [SHSP], Urban Areas Security Initiative [UASI], Metropolitan Medical Response System [MMRS], and Citizen Corps Program [CCP]) will focus on the following three National Priorities[4]:

Priority One: Advancing Whole Community Security and Emergency Management

- **Objective One: Threat Planning and Risk Assessment (THIRA).** THIRA processes at all levels of government establish a foundation to justify and guide preparedness activities and investments. A common approach to that process will enable the whole community to maintain a baseline understanding of the risks that they face, facilitating efforts to identify capability and resource gaps, focus capability improvements, and inform the community of actions they can take to manage their risks.

- **Objective Two: Planning.** The comprehensive Preparedness Guide (CPG) 101v.2 September 2010 helps planners at all levels of government in their efforts to develop and maintain viable all-hazards, all-threat emergency operations plans (EOPs) by engaging the whole community in thinking through the life cycle of a potential crisis, determining required capabilities, and establishing a framework for roles and responsibilities.

- **Objective Three: Organization - Typing of Equipment and Training.** SHSP and UASI provide funding for equipment, training, and exercises for the prevention, protection against, response to and recovery from terrorism events. A well executed mission requires carefully managed resources (personnel, teams, facilities, equipment, and/or supplies) to meet incident needs. Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking will facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident.

Priority Two: Building Prevention and Protection Capabilities

DHS and FEMA encourage the use of SHSP and UASI funding to support programs and initiatives that directly support local efforts to understand, recognize, prepare for, prevent, and respond to pre-operational activity and other crimes that are precursors or indicators of terrorist activity, in accordance with applicable privacy and civil rights/ civil liberties protections. Such activities include, but are not limited to, development and implementation of Fusion Liaison Officer Programs, the Nationwide Suspicious Activity Reporting (SAR) Initiative (NSI)[5], the "If You See Something, Say Something" campaign as a component of the NSI, and local efforts.

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[4] *Ibid.,* page 4.
[5] *Ibid.,* page 7.

HSGP Priorities (cont.)

- **Objective One: NSI Training.** All personnel funded with SHSP and UASI funding and engaged in the NSI will complete the Department's NSI training.

Priority Three: Maturation and Enhancement of State Major Urban Area Fusion Centers

In support of this strategic vision, the Department is requiring recognized State and Major Urban Area fusion centers to participate in an annual assessment of their achievement of baseline capabilities, as outlined in the Global Justice Information Sharing Initiative's (Global) *Baseline Capabilities for State and Major Urban Area Fusion Centers*. The results from this assessment will help fusion centers identify gaps in their operational capabilities.

- **Objective One: Baseline Capabilities.** Fusion centers leveraging SHSP and/or UASI grant funds must prioritize the allocation of these grant funds to address any capability gaps identified as a result of the Baseline Capabilities Assessment (BCA). This will ensure the implementation of common and consistent operational standards across the National Network of Fusion Centers.

- **Objective Two: Analytical Capabilities.** All fusion center analytic personnel must demonstrate qualifications that meet or exceed competences identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts*. In addition to these training requirements, fusion centers should also continue to mature their analytic capabilities by addressing gaps in analytic capability identified during the fusion center's BCA.

25% Law Enforcement

As in past years, at least 25 percent of FY11 SHSGP and UASI funds must be dedicated to Law Enforcement Terrorism Prevention-oriented Activities (LETPA). The LETPA activities must focus on:

- Building Prevention and Protection Capabilities
- Maturation and Enhancement of State and Major Urban Area Fusion Centers.[6]

M&A Limits

The FY11 Subgrantee Management and Administrative (M&A) allowance is set at 5 percent for the FY11 HSGP.[7]

Personnel Cap

UASI and SHSP funds have a personnel cap of 50 percent. No personnel cap will be applied to MMRS and CCP funds.[8]

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[6] *Ibid.*, page 7.
[7] *Ibid.*, page 33.
[8] *Ibid.*, page 35.

Equipment	New restrictions apply to equipment purchased with FY11 HSGP funds. Subgrantees are required to type and identify the capability associated with the purchase.[9]
EHP	Any project with the potential to impact natural or biological resources or historic properties cannot be initiated until FEMA has completed the required Environmental and Historic Preservation (EHP) review.
	Subgrantees who are proposing communication tower projects are encouraged to complete their Federal Communication Commission (FCC) EHP process prior to preparing their EHP review materials for the Grants Program Directorate (GPD), and to include their FCC EHP materials with their submission to GPD.[10]
Equipment Maintenance/ Sustainment	HSGP funds may be used for equipment maintenance contracts, warranties, repair, replacement costs, upgrades and user fees when the original equipment was purchased with HSGP funds.[11]
Exercises	Subgrantees must conduct threat and performance-based exercises in accordance with DHS Homeland Security Exercise and Evaluation Program (HSEEP) manuals. Grant recipients must report on all HSGP-assisted scheduled exercises at https://hseep.dhs.gov.
	For each exercise conducted with FEMA support (grant funds or direct support), Subgrantees must submit an After Action Report (AAR) AND Improvement Plan (IP) to the FEMA Grants and Preparedness Community of Interest (COI) on the Corrective Action Planning System (CAPS) within 90 days following the completion of the exercise.[12] For more information on this process please contact the CAPS representative for your region:
	Inland Region: Gabe Adame at gabraiel.adame@calema.ca.gov Coastal Region: Kevin Leisher at kevin.leisher@calema.ca.gov Southern Region: Richard Mifsud at richard.mifsud@calema.ca.gov State Agencies: Elaine Viray at Elaine.viray@calema.ca.gov
	Note: Urban Areas are required to develop a Multi-Year Training and Exercise Plan and submit it to FEMA on an annual basis. Subgrantees must provide a copy to their Cal EMA Program Representative.
Fusion Centers	The *Baseline Capabilities for State and Major Urban Area Fusion Centers* (September 2008) identifies the baseline capabilities for fusion centers and the operational standards necessary to achieve each of the capabilities across the National Network of Fusion Centers. Fusion centers, in partnership with the Federal Government, prioritized four Critical Operational Capabilities (COCs),[13] which align to the steps in the intelligence cycle.

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[9] *Ibid.*, page 6.
[10] *Ibid.*, Page 63-64.
[11] *Ibid.*, page 45.
[12] *Ibid.*, pages 63-64.
[13] *Ibid.*, page 8.

Fusion Centers (cont.)

Fusion Centers assisted with HSGP funding must address gaps identified in the BCA[14] and must execute the four COCs as defined by DHS. Fusion centers must demonstrate, at a minimum, the following fundamental capabilities:

- *Receive:* A written plan, policy, or SOP describing fusion center business processes for the receipt, handling, and storage of classified and unclassified information from Federal partners.
- *Analyze:* A written plan, policy, or SOP describing fusion center business processes for assessing the local implications of threat-related information provided by Federal partners (DHS, FBI, etc.) through a formal risk analysis process. This process should determine what critical information needs to be provided to State, local, Tribal, and territorial (SLTT) and private sector partners to support prevention, protection, and other response-related operational planning efforts, and to inform these partners of behaviors and circumstances that may serve as pre-incident indicators of an emerging threat.
- *Disseminate:* A written plan, policy, or SOP describing fusion center business processes for disseminating critical information to SLTT and private sector partners in the fusion center's area of responsibility.
- *Gather:* A written plan, policy, or SOP describing fusion center business processes for gathering locally generated information, participating in the NSI, and sharing pertinent information with local JTTF for investigation and DHS for further analysis.
- *Privacy, Civil Rights, and Civil Liberties (P/CRCL) Protections: An approved P/CRCL* policy to ensure that P/CRCL protections are in place that are at least as comprehensive as the *ISE Privacy Guidelines*, and that all staff receive training on both the center's P/CRCL policies and 28 CFR Part §23. The development and updating of such policies provide an opportunity to engage the whole community.
- *Measurement Methods:* Percentage of fusion centers with documented plans, policies, or SOPs describing fusion center business processes for receiving, handling, and storing classified and unclassified information in accordance with the metrics established by the DHS Office of Intelligence and Analysis (I&A) and must participate in Golden Guardian or other Cal EMA approved exercise bi-annually

Additionally, Intel Analysts assisted with HSGP funding must also meet one of the following eligibility requirements[15]:

- Successfully complete training to ensure baseline proficiency in intelligence analysis and production within six months of being hired; and/or,
- Previously served as an intelligence analyst for a minimum of two years either in a Federal intelligence agency, the military, or State and/or local law enforcement intelligence unit.

Eligibility documentation must be submitted to Cal EMA prior to reimbursement.

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[14] *Ibid.,* page 8.
[15] *Ibid.,* page 35.

MMRS

The Medical Reserve Corps (MRC) program is administered by the HHS Office of the Surgeon General. Special rules apply; see Page 20 of the Federal Guidance for requirements associated with HSGP and MRC projects.

Emergency Operation Plans

Subgrantees with Emergency Operations Plans must comply with new rules regarding evaluation matrices and the Comprehensive Preparedness Guide. See Page five of the Federal Guidance.

Special Needs Population

Populations whose members may have additional access and functional needs before, during, and after an incident must be included in planning, response and recovery documents.[16] Subgrantees conducting major planning projects (including, but not limited to: Evacuation, Mass Care and Shelter, Disaster Recovery, etc.) will be required to address access and functional needs within their planning documents in order to maintain eligibility for HSGP.[17]

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[16] *Ibid.,* page 33.
[17] *Ibid.,* page 33.

SHSP Priorities

While the State Homeland Security Strategy broadly describes goals, objectives, and implementation steps, the State's priorities for FY11 HSGP are:

- Interoperable Communications
- Citizen Preparedness and Participation
- Critical Infrastructure Protection
- Training for First Responders

- Catastrophic Planning
- Medical Surge
- Mass Prophylaxis
- Food and Agriculture Safety

State Initiative Funding

For FY11 HSGP, Cal EMA shall retain 20 percent of the SHSP and 17 percent of the UASI funding for state initiatives. The State will pass through 100 percent of the MMRS and CCP.

"On Behalf Of"

Cal EMA may, in conjunction with local approval authorities, designate funds "on behalf of" local entities that choose to decline or fail to utilize their homeland security award in a timely manner.

Regional Approach

Subgrantees must take a regional approach and consider the needs of local units of government and applicable volunteer organizations in the projects and activities included in their FY11 HSGP application.

Strategy, Planning And Metrics Workshop

In the fall of 2011, Cal EMA will conduct its annual Strategy, Planning and Metrics Workshop to receive statewide input across all disciplines. Costs associated with this eligible planning activity should be included in the Subgrantee application.

Non-DHS/ FEMA Courses

When seeking approval of non-DHS/FEMA developed courses, course materials must be submitted with the approval requests. Conditional approvals are no longer offered. For more information on this or other training related inquiries, contact the Cal EMA Training Division at (916) 324-9128 or their website at: http://www.calema.ca.gov/TrainingandExercises/Pages/Training.aspx

Golden Guardian

Subgrantees scheduled to participate in Golden Guardian (GG) exercise activities should include the details in their FY11 application. Cal EMA program staff will be checking applications from Subgrantees scheduled to participate in GG activities within the FY11 HSGP grant performance period for adequate exercise funding.

For exercise related issues and/or questions, please contact Jim Woodard at (916) 324-8596 or james.woodward@calema.ca.gov or Steven Goff at (916) 826-8117.

Terrorism Liaison

In an effort to continue to build towards a comprehensive integrated prevention network of information sharing, all recipients of FY11 Homeland Security Grant funds will be required to designate a trained Terrorism Liaison Officer (TLO) within their organization. Subgrantees must have on file documentation from their subrecipients prior to the subaward of Homeland Security Grant funds. This documentation must be made available during a monitoring visit.

Financial Management Forms Workbook

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

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

Grant Management Roster – List the names and details of employees and/or contractors currently managing grants.

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

Project Ledger – The project ledger is used in the application process to submit funding information and is used in the post-award phase for submitting Cash Requests, Modifications, and Advances.

Equipment Inventory Ledger – Provide detailed information on grant funded Equipment including the Authorized Equipment List (AEL) numbers. All AEL information can be found on the Responder Knowledge Base website at http://www.rkb.us.

Exercise Roster – Provide detailed information on Exercise activities.

Training Roster – Provide detailed information on Training activities.

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

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

2011 HSGP FMFW can be accessed at: http://www.calema.ca.gov/EMS-HS-HazMat/Pages/Homeland-Security-Grant-Program-Documents.aspx

Narrative Attachments

Explanation of 25% Law Enforcement (SHSP and UASI only) – Describe how the Subgrantee will meet the minimum federal requirement for funding Law Enforcement Terrorism Prevention-oriented Activities.

Management and Administrative (M&A) Cap – Describe how the Subgrantee will not surpass the federally mandated 5 percent cap on M&A.

Personnel Cap (SHSP and UASI only) – Describe how the Subgrantee will not surpass the federally mandated 50 percent personnel cap.

Special Needs Populations – Provide the name, title and contact information for the Subgrantees local person(s) responsible for coordinating access and functional needs of special needs populations in planning, response and recovery.

Narrative Attachments (cont.)	**Equipment** – Describe how the Subgrantee will comply with the rules regarding equipment purchases for team capability and typing. All equipment and training procured under this grant must be in support of the development or maintenance of an identified team or capability.[18]
	Emergency Operations Plan (EOP) – New federal rules apply when creating EOPs and for updates to EOPs. Please describe your EOP.[19]
	Terrorism Liaison Officer (TLO) Roster – The Subgrantee must identify certified TLOs and provide an initial roster with the application.
	Training with AAR/Exercise Detail – Per the Federal Guidance, training conducted using HSGP funds must address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through an exercise. <u>Subgrantees will explain in a narrative the gap identified, provide access to the AAR or details for the upcoming exercise, and submit to their Cal EMA Program Representative.</u>
Grant Assurances	The Grant Assurances document lists the requirements to which the Subgrantees will be held accountable. All applicants will be required to submit a signed, **original** copy of the FY11 Grant Assurances with their FY11 HSGP application. The required Grant Assurances document can be found only in PDF format on the Cal EMA website and will be available within 14 days of the Federal award.
	Note: Self created Grant Assurances will not be accepted.
Grants Management Training	The California Emergency Management Agency (Cal EMA), in conjunction with the Training Division and Office of Grants Management, shall afford Subgrantees the opportunity to develop a "placeholder" for future training conferences wherein an Agenda has not been established at the time Subgrantee applications are due. Please work with your Program Representative and the Training Division to identify a possible "placeholder" for these types of training activities.
Operational Areas Only	**Approval Authority Body**—Operational Areas must appoint an Anti-Terrorism Approval Body (Approval Authority) to have final approval of the OA's application for SHSP funds. The Approval Authority shall consist of the following representatives, and additional voting members may be added by a simple majority vote of the following standing members:

- County Public Health Officer or designee responsible for Emergency Medical Services
- County Fire Chief or Chief of Fire Authority
- Municipal Fire Chief (selected by the Operational Area Fire Chiefs)
- County Sheriff
- Chief of Police (selected by the Operational Area Police Chiefs)

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[18] *Ibid.,* page 6.
[19] *Ibid.,* page 5.

Operational Areas Only (cont.)

Note: A list of the Approval Authority Body members and their associated contact information, as well as written agreement from each member, must be submitted with the FY11 HSGP application. Contact your program representative for more information.

Governing Body Resolution – The Governing Body Resolution appoints Authorized Agents (identified by the individual's name or by a position title) to act on behalf of the governing body and the applicant by executing any actions necessary for each application and subgrant. All applicants will be required to submit a **certified** copy of their FY11 Governing Body Resolution with their FY11 HSGP application. A sample Resolution can be found in Appendix C.

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

- Name
- Jurisdiction
- Phone & Fax Number(s)
- Street Address, City & Zip Code

- Title
- Grant Program
- E-Mail Address
- Mobile Number

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

State Agencies Only

Project Narrative – In addition to the FMFW Project Descriptions, State Agencies must complete a Project Narrative form (included in Appendix D).

Signature Authority – State Agency applications must be signed by the highest-level person, or their designee. If a designee is signing, the highest-level person must execute and submit a Signature Authority form with the Application (included in Appendix D).

Application Submittal	The completed FMFW V 1.10 must be mailed in hard copy with original signatures. Additional application documents requiring an original signature will also need to be mailed in hardcopy. Signatures must be in *blue ink* only. HAND DELIVERED APPLICATIONS WILL NOT BE ACCEPTED
Late or Incomplete Application	All application materials are due no later than **Friday, September 2, 2011 (see) Timeline in Appendix B).** Only applications postmarked by the due date will be accepted. Applications lost in transit are the responsibility of the applicant and may not be considered for funding. Late or incomplete applications will be reviewed and/or denied, and additional information will be requested and/or accepted from Subgrantees, at the sole discretion of Cal EMA.
Application Approval	The Subgrantee will receive written notice of the State's approval of the subgrant application not later than 45 days after the federal grant award. Subgrantee reimbursements and/or advance of funds will not be made until all required application components have been approved by the State and all conditional holds removed.

Post Award Modifications

Post award budget, scope and time modifications must be requested using the Cal EMA Financial Management Forms Workbook (FMFW) V 1.10, signed by the Subgrantee's Authorized Agent, and submitted to the Subgrantee's Program Representative in the Homeland Security Grant Section at Cal EMA. The Subgrantee may implement the modifications, and incur associated expenses, only after receiving written final approval of the modification from the State. Failure to submit modification requests, and receive written approval prior to expenditure, could result in a reduction or disallowance of that part of the grant.

Note: Modifications can be requested once per quarter during the grant performance period.

Payment Request

To request advance or reimbursement payment of FY11 HSGP funds, complete a payment request form using the Cal EMA Financial Management Forms Workbook and return it to the appropriate Program Representative in the Homeland Security Grant Unit at the Cal EMA. Subgrantees who fail to follow the workbook instructions may experience delays in processing.

Payments can only be made if the Subgrantee has submitted a completed and approved application. **Exercise costs will not be reimbursed until an AAR has been posted and access to the AAR has been granted to Program Representative Rachel Magaña.**

Program Representative Rachel Magaña can be reached at (916) 324-9314 or rachel.magana@calema.ca.gov

Advances and Interest Earned Advances

DHS allows Subgrantees to request FY11 HSGP funds up to 120 days prior to expenditure/disbursement. The federal guidance requires that advances must be deposited in interest-bearing accounts, and describes how interest earned should be returned quarterly to the federal government.

In addition to returning interest in accordance with the prescribed federal guidance, Subgrantees must also inform the grantees's Program Representative in the Homeland Security Grant Section at the Cal EMA of any interest returned on program funds.

Performance Bond

Many Subgrantees have been unable to procure large equipment items due to vendor delivery scheduled to occur after the federal reporting period had expired. To assist with this issue, DHS allowed Subgrantees to obtain a "performance bond" wherein Subgratnees procured the item(s) in question, paid the money up front, and obtained a performance bond to ensure delivery of the item within 90 days of the Subgrantees performance period. Subgrantees **must** obtain a performance bond for any equipment item over $250,000 or any vehicle, aircraft or watercraft, financed with homeland security dollars.

Subgrantee Performance Reports

Subgrantees must prepare and submit performance reports to the State for the duration of the grant performance period, or until all grant activities are completed and the grant is formally closed by Cal EMA. Subgrantees must complete a Biannual Strategy Implementation Report (BSIR) using the DHS/FEMA Grants Reporting Tool (GRT). To obtain access to the online GRT,

Subgrantee Performance Reports (cont.)	please log on to their website at www.reporting.odp.dhs.gov. To create a new account, follow the instructions that read, "If you need to register for an account, please click here." For additional assistance with the GRT, please contact Wilda Benamati at wilda.benamati@calema.ca.gov or (916) 324-6054.
Failure to Submit Required Reports	**Periodic reporting is required by the grant. Subgrantees who miss a single reporting deadline may receive a letter addressed to their Board of Supervisors informing them of the failure to report. County Operational Areas and Tribal Native Americans who fail to report twice in a row may have subsequent awards reduced by 10 percent until timely reporting is reestablished. UASI's may have a "hold" placed on any future reimbursements.**
Monitoring	**Corrective Action Plan** – The Monitoring and Audits Unit (MAU) is actively conducting monitoring visits, both desk review and on-site, among Subgrantees. Many of these jurisdictions receive "findings" that necessitate a Corrective Action Plan (CAP) on their part. Those Subgrantees who fail to submit a CAP as required shall have a "hold" placed on any future reimbursements until the "finding" is resolved. The monitoring is conducted on the Subgrantees administrative, programmatic and fiscal management of the grant(s).

A Subgrantee monitoring may include, but is not limited to:

- Eligibility of expenditures.
- Comparing actual Subgrantee activities to those approved in the subgrant application and subsequent modifications, if any.
- Ensuring that advances have been disbursed in accordance with applicable guidelines.
- Confirming compliance with:
  - Grant Assurances;
  - Data provided on performance reports and payment requests; and
  - Needs and threat assessment and strategies.

Note: It is the responsibility of all Subgrantees to monitor and audit the grant activities of their subrecipients. This requirement includes, but is not limited to, on-site verification of grant activities as required.

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

- Failing to expend funds in a timely manner consistent with the grant milestones, guidance and assurances.
- Failing to comply with the requirements or statutory progress toward the goals or objectives of federal or state law.
- Failing to make satisfactory progress toward the goals or objectives set forth in the subgrant application.
- Failing to follow grant agreement requirements or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.

Suspension/ **Termination** **(cont.)**	• Failing to submit required reports. • False certification in the application or document. • Failing to adequately manage, monitor or direct the grant funding activities of their subrecipients.

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

Closeout

The State will close a Subgrantee award after:

- Receiving a Subgrantee Performance Report indicating that all approved work has been completed, and all funds have been distributed;
- Completing a review to confirm the accuracy of reported information; and
- Reconciling actual costs to awards, modifications and payments.

If the closeout review and reconciliation indicates that the Subgrantee:

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

In the Grant Closeout Letter, the State will notify the Subgrantee of the start of the record retention period for all programmatic and financial grant related records.

Note: Failure to maintain all grant records for the required retention period could result in a reduction of grant funds, and an invoice to return costs associated with the unsupported activities.

State Homeland Security Program (SHSP)					
Operational Area	Population	Base Amount	25% LE	SHSP	Total Award (25% LE + SHSP)
ALAMEDA	1,521,157	75,000	523,085	1,569,254	2,092,339
ALPINE	1,176	75,000	19,140	57,420	76,560
AMADOR	37,911	75,000	31,319	93,958	125,277
BUTTE	221,388	75,000	92,150	276,451	368,601
CALAVERAS	45,693	75,000	33,899	101,698	135,597
COLUSA	21,593	75,000	25,909	77,727	103,636
CONTRA COSTA	1,056,064	75,000	368,884	1,106,653	1,475,537
DEL NORTE	28,594	75,000	28,230	84,691	112,921
EL DORADO	182,498	75,000	79,257	237,770	317,027
FRESNO	940,220	75,000	330,477	991,430	1,321,907
GLENN	28,273	75,000	28,124	84,371	112,495
HUMBOLDT	135,263	75,000	63,596	190,788	254,384
IMPERIAL	176,258	75,000	77,188	231,563	308,751
INYO	18,634	75,000	24,928	74,784	99,712
KERN	846,883	75,000	299,531	898,594	1,198,125
KINGS	153,365	75,000	69,598	208,793	278,391
LAKE	64,784	75,000	40,229	120,687	160,916
LASSEN	34,577	75,000	30,214	90,642	120,856
LOS ANGELES	9,858,989	75,000	3,287,465	9,862,394	13,149,859
MADERA	151,949	75,000	69,128	207,384	276,512
MARIN	254,692	75,000	103,192	309,577	412,769
MARIPOSA	18,261	75,000	24,804	74,413	99,217
MENDOCINO	88,197	75,000	47,991	143,974	191,965
MERCED	257,984	75,000	104,284	312,851	417,135
MODOC	9,705	75,000	21,968	65,903	87,871
MONO	14,308	75,000	23,494	70,481	93,975
MONTEREY	419,038	75,000	157,681	473,042	630,723
NAPA	137,639	75,000	64,384	193,151	257,535
NEVADA	99,111	75,000	51,610	154,830	206,440
ORANGE	3,029,859	75,000	1,023,290	3,069,869	4,093,159
PLACER	352,380	75,000	135,580	406,741	542,321
PLUMAS	20,025	75,000	25,389	76,168	101,557
RIVERSIDE	2,217,778	75,000	754,047	2,262,141	3,016,188
SACRAMENTO	1,428,355	75,000	492,316	1,476,949	1,969,265
SAN BENITO	55,619	75,000	37,190	111,571	148,761
SAN BERNARDINO	2,052,397	75,000	699,215	2,097,646	2,796,861
SAN DIEGO	3,118,876	75,000	1,052,803	3,158,409	4,211,212
SAN FRANCISCO	812,820	75,000	288,238	864,713	1,152,951
SAN JOAQUIN	690,899	75,000	247,815	743,446	991,261
SAN LUIS OBISPO	270,966	75,000	108,588	325,764	434,352
SAN MATEO	724,702	75,000	259,022	777,068	1,036,090
SANTA BARBARA	426,189	75,000	160,052	480,155	640,207
SANTA CLARA	1,797,375	75,000	614,664	1,843,991	2,458,655
SANTA CRUZ	264,430	75,000	106,421	319,263	425,684

SHASTA	177,924	75,000	77,740	233,220	310,960
SIERRA	3,248	75,000	19,827	59,480	79,307
SISKIYOU	45,084	75,000	33,697	101,092	134,789
SOLANO	414,509	75,000	156,179	468,537	624,716
SONOMA	487,125	75,000	180,255	540,764	721,019
STANISLAUS	517,685	75,000	190,387	571,160	761,547
SUTTER	95,800	75,000	50,512	151,537	202,049
TEHAMA	63,950	75,000	39,952	119,857	159,809
TRINITY	13,853	75,000	23,343	70,029	93,372
TULARE	446,837	75,000	166,897	500,692	667,589
TUOLUMNE	55,256	75,000	37,070	111,210	148,280
VENTURA	828,383	75,000	293,398	880,193	1,173,591
YOLO	201,759	75,000	85,643	256,928	342,571
YUBA	72,479	75,000	42,780	128,340	171,120
Total	37,510,766	$4,350,000	13,524,069	40,572,207	54,096,276

Tribal Allocation					
Coordinating Group	Population	Base Amount	25% LE	SHSP	Total Award
TRIBAL	162,250	$75,000	$72,543	$217,630	290,174

Regional Terrorism Threat Assessment Centers (RTTAC)	
Region	Total Award
SAN FRANCISCO BAY AREA	1,000,000
SACRAMENTO/CENTRAL VALLEY AREA	1,000,000
GREATER LOS ANGELES AREA	1,000,000
SAN DIEGO AREA	1,000,000
Total	$4,000,000

Urban Areas Security Initiative (UASI) *A minimum of 25% of UASI funding must be utilized for Law Enforcement purposes			
Urban Area	Federal Allocation to State	83% Allocation to UASI	17% State Initiatives
ANAHEIM/SANTA ANA AREA	8,941,135	7,421,142	1,519,993
BAY AREA	42,827,663	35,546,960	7,280,703
LOS ANGELES/LONG BEACH AREA	69,922,146	58,035,381	11,886,765
RIVERSIDE AREA	3,700,465	3,071,386	629,079
SAN DIEGO AREA	16,208,500	13,453,055	2,755,445
Total	141,599,909	117,527,924	24,071,985

Metropolitan Medical Response System (MMRS)

MMRS Jurisdiction	Federal Allocation to State	Allocation to MMRS
ANAHEIM	281,693	281,693
BAKERSFIELD	281,693	281,693
FREMONT	281,693	281,693
FRESNO	281,693	281,693
GLENDALE	281,693	281,693
HUNTINGTON BEACH	281,693	281,693
LONG BEACH	281,693	281,693
LOS ANGELES	281,693	281,693
MODESTO	281,693	281,693
OAKLAND	281,693	281,693
RIVERSIDE	281,693	281,693
SACRAMENTO	281,693	281,693
SAN BERNARDINO	281,693	281,693
SAN DIEGO	281,693	281,693
SAN FRANCISCO	281,693	281,693
SAN JOSE	281,693	281,693
SANTA ANA	281,693	281,693
STOCKTON	281,693	281,693
Total	$5,070,474	$5,070,474

Citizen Corps Program (CCP)

CCP	Federal Allocation to State	Allocation to CCP
CALIFORNIA VOLUNTEERS	$787,232	$787,232

DHS Announcement of FY11 HSGP	May 19, 2011
SAA Application Due to DHS	June 20, 2011
FY11 HSGP California Supplement (Including Subgrantee Allocations) Release	August 2011
Subgrantee Application Workshops	August 2011
Subgrantee Applications Due to Cal EMA	September 2, 2011*
DHS Award to California	September 30, 2011*
Subgrantee Awards (45 days from DHS award)	November 13, 2011*
Subgrantee Performance Period Begins	November 13, 2011*
Subgrantee Performance Period Ends	January 31, 2014*
Final Requests for Reimbursement Due	February 10, 2014*
SAA Performance Period Ends	March 31, 2014*

*Due approximate depending on DHS award date

ATTACHMENT C – SAMPLE GOVERNING BODY RESOLUTION

BE IT RESOLVED BY THE _____
(Governing Body)

OF THE _____ THAT
(Name of Applicant)

_____, OR
(Name or Title of Authorized Agent)

_____, OR
(Name or Title of Authorized Agent)

_____,
(Name of Title of Authorized Agent)

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

Passed and approved this _____ day of _____ , 20 _____

Certification

I, _____ , duly appointed and
(Name)

_____ Of the _____
(Title)   (Governing Body)

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

_____ day of _____ ,20 _____

_____
(Official Position)

_____
(Signature)

_____
(Date)

ATTACHMENT D – STATE AGENCY SIGNATURE AUTHORITY FORM

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

OF THE _____
(Name of the State Organization)

I hereby authorize the following individual(s) to execute for and on behalf of the named state organization, any actions necessary for the purpose of obtaining federal financial assistance provided by the federal Department of Homeland Security and sub-granted through the California Emergency Management Agency.

_____ , OR

_____ , OR

_____ ,

Signed and approved this _____ day of _____, 20_____

_____
(Signature)

ATTACHMENT E – STATE AGENCY PROJECT NARRATIVE

Applicant (state organization)_____

NOTE: Complete a separate Project Description for each proposed project

Project Title:_____

Indicate the State Priority Objective Supported by the Project:

        ____Interoperable Communications
        ____Catastrophic Planning
        ____Medical Surge
        ____Citizen Preparedness and Participation
        ____Mass Prophylaxis
        ____Critical Infrastructure Protection
        ____Training for First Responders
        ____Food and Agriculture Safety

Provide a detailed description of the proposed project and how it supports the State priority indicated.

For construction and/or renovation projects, provide the following additional information:

- A description and location of the facility;
- A description of the vulnerability assessment and the date the assessment was conducted (the assessment does not have to be submitted with the application);
- A description of how the proposed project will address the vulnerabilities identified in the assessment;
- A description of the consequences if the project is not funded under HSGP FY11

Please check the appropriate box:

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

_____
_____
_____
_____

Subgrantee: _____ FIPS#: _____

Cal EMA Regional Rep:_____

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OPERATIONAL/URBAN AREAS

_____ Financial Management Forms Workbook
    _____Application Cover Sheet
    _____Grant Management Roster
    _____Project Descriptions
    _____Project Ledger
    _____Equipment Inventory Ledger
    _____Training Roster
    _____Exercise Roster
    _____Planning Ledger
    _____Authorized Agent Form

_____ Narrative Attachments:
    _____25% Law Enforcement – Minimum
    _____5% M&A Cap
    _____50% Personnel Cap (UASI/SHSP only)
    _____Special Needs Populations
    _____TLO Roster
    _____Training with AAR/Exercise Detail
    _____Describe your EOP
    _____Equipment Narrative

_____ Approval Authority (OAs only):
    _____Contact Information for each member
    _____Written Agreement from each member
    (signature)

_____ Governing Body Resolution (Certified)
_____ Authorized Agent(s) Information Form
_____ Grant Assurances (Signed Originals)

</td><td>

STATE AGENCIES

_____Financial Management Forms Workbook
    _____Application Cover Sheet
    _____Grant Management Roster
    _____Project Descriptions
    _____Project Ledger
    _____Equipment Inventory Ledger
    _____Training Roster
    _____Exercise Roster
    _____Planning Ledger
    _____Authorized Agent Form

_____ Narrative Attachments:
    _____25% Law Enforcement-Minimum
    _____5% M&A Cap
    _____50% Personnel Cap
    _____Special Needs Population
    _____TLO Roster
    _____Training with AAR/Exercise Detail
    _____Describe your EOP
    _____Equipment Narrative

_____ Project Narrative Form
_____ Signature Authority – Authorized Agent
_____ Authorized Agent(s) Information Form
_____ Grant Assurances (Signed Originals)

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