



REQUEST FOR APPLICATION

The California Governor's Office of Emergency Services (Cal OES), Victim Services (VS) Branch, is soliciting applications for the following program:

ELDER ABUSE (XE) PROGRAM
Release Date: September 2, 2022

This Request for Application (RFA) provides detailed information and forms necessary to prepare a proposal for Cal OES grant funds. The terms and conditions of this RFA supersede previous RFAs and conflicting provisions stated in the [Subrecipient Handbook \(SRH\)](#).

PROGRAM SYNOPSIS

Description:

The purpose of the Program is to continue enhancing the safety of elder and dependent adult victims of crime by providing direct services to victims and bridging the gap between elder justice service providers and victim service providers.

Eligibility:

The only eligible Applicants are the Program Subrecipients funded in the prior fiscal year.

Grant Subaward Performance Period:

January 1, 2023 – December 31, 2023

Available Funding:

Individual Applicants may request up to the amount indicated on the Fund Chart

Submission Deadline:

October 14, 2022



ELDER ABUSE (XE) PROGRAM RFA

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PART I – OVERVIEW

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 - F. FUNDING INFORMATION
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-

A. PUBLIC RECORDS ACT NOTICE

Proposals 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 proposal. If you believe that any of the information you are putting on this proposal is exempt from the Public Records Act, please indicate what portions of the proposal 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.

B. CONTACT INFORMATION

Questions concerning this RFA, the application process, or programmatic issues must be submitted in writing by email to:

Alanna Wilson, Program Specialist

Alanna.Wilson@caloes.ca.gov

C. SUBMISSION DEADLINE AND REQUIREMENTS

Applications must be emailed to VSapplications@caloes.ca.gov by **11:59 pm on Friday, October 14, 2022.**

D. ELIGIBILITY

The only eligible Applicants are the Program Subrecipients funded in the prior fiscal year.

Before the Grant Subaward performance period begins, Applicants:

- Must have a Unique Entity Identifier (Unique Entity ID) registered in the federal System for Award Management (SAM). Applicants who do not currently have a Unique Entity ID will need to register at SAM.gov to obtain one.

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- Must **not** have an exclusion record in SAM. An exclusion record in the SAM indicates that a contractor (agency) is listed in the (federal) government-wide system for debarment and suspension. An agency that is debarred or suspended is excluded from activities involving federal financial and nonfinancial assistance and benefits. [Check SAM status](#).
- Must be registered with the California Department of Justice's Registry of Charitable Trusts with a "current," "exempt," or "pending" status (applies to non-governmental organizations only). [Check nonprofit status](#).

E. GRANT SUBAWARD PERFORMANCE PERIOD

The Grant Subaward performance period is January 1, 2023 – December 31, 2023.

F. FUNDING INFORMATION

Approximately \$4,647,128 is available for the Program for the Grant Subaward performance period.

1. Funding Amount

Applicants may apply for up to the amount on the Fund Chart (Attachment A), for the 12-month Grant Subaward performance period.

Please note that this will be the final Grant Subaward performance period for the Program. The VS Branch will release a Request for Proposal (RFP) for the Program for FY 2023-24 in June 2023. Subrecipients will be competitively selected for this new grant cycle which will consist of five, 12-month Grant Subaward performance periods, with the first beginning January 1, 2024.

Please see the fund chart for the breakdown of the fund sources (by four-character code) and match.

2. Funding Source(s)

Detailed information on all VS Branch federal fund sources can be found in the [VS Branch Federal Fund Information Guide](#). Applicants are **strongly encouraged** to review this document to familiarize themselves with the requirements for all fund sources that support this Program.

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The Program is supported through the Victims of Crime Act (VOCA) Victim Assistance Formula Grant Program (Formula Grant Program)

- Supports eligible crime victim assistance programs.
- Requires the use of volunteers unless there is a compelling reason to waive this requirement.
 - To request a volunteer waiver, Applicants must submit the Volunteer Waiver Request Form (Cal OES Form 2-155) with their application.
- Requires a cash and/or in-kind match equal to 20 percent of the total project cost. Applicants may request a partial or full match waiver (match waiver requests are not considered during the Proposal Rating process).
 - To request a match waiver, Applicants must submit the VOCA Match Waiver Request Form (Cal OES Form 2-159) with their application. Up to two VOCA fund sources can be entered on one form. An additional VOCA Match Waiver Request Form may be necessary when there are more than two VOCA fund sources. All sections of the form must be completed and answers to questions 6 and 7 must be specific and unique to the Applicant and Program.
- Cal OES's four-character code for this federal fund is VOCA. This code will be in the drop-down on the Grant Subaward Face Sheet (Cal OES Form 2-101).
- The federal award number for 2020 VOCA is 2020-V2-GX-0031 and, the federal award number for 2021 VOCA is 15POVC-21-GG-00613-ASSI.

G. PROGRAMMATIC INFORMATION

1. Background Information/Program Description

The purpose of the Program is to continue enhancing the safety of elder and dependent adult victims of crime by providing direct services to victims and bridging the gap between elder justice service providers and victim service providers. This Program will maintain support for communities by improving their ability to identify the needs of victims of elder and dependent adult abuse and the delivery of services. This will be accomplished by continuing to:

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- Fund an Elder Abuse Victim Specialist solely dedicated to serving elder and dependent adult victims.
- Provide and coordinate direct services for elder and dependent adult victims.
- Expand the communities' capacity to service elder and dependent adult victims.
- Ensure that elder and dependent adult victims have access to the criminal justice system.
- Continue to provide outreach awareness programs for victims and mandated reporters of elder and dependent adult abuse and others who come into contact with these victims.

2. Programmatic Components

The following are the required components of the XE Program:

a. Elder Abuse Specialist

The Subrecipient must continue to fund one full-time equivalent Elder Abuse Victim Specialist. The Specialist must have expertise in elder and dependent adult abuse cases, victim services and the criminal justice system.

The Specialist must continue to:

- Provide case management for victims served under the XE Program.
- Coordinate the multidisciplinary team that responds to elder and dependent adult abuse cases, including scheduling meetings and serving as the point of contact for the multidisciplinary team members.
- Assist with the development of protocols for responding to elder and dependent adult victims.
- Provide consultation and outreach materials for those that may encounter elder and dependent abuse victims.
- Collect and report data for required Office for Victims of Crime (OVC) and Cal OES progress reports.

b. Multidisciplinary Collaboration

The Subrecipient must continue to expand the capacity of an existing multidisciplinary team, to address the rights and service needs of elder and dependent adult abuse victims in the service area. The team must include a representative from both the public and private sector.

Teams must meet a minimum of 10 times per grant period (12 months) to update protocols for how the community will identify and coordinate services for elder and dependent adult victims.

At a minimum, the team must continue to:

- Identify agencies that currently provide services.
- Evaluate how well a community is serving elder and dependent adult abuse victims by:
 - Identifying gaps in services.
 - Determining how to address gaps in services.
- Coordinate agency communication.
- Develop case review guidelines.
- Develop confidentiality agreements.
- Provide education and outreach to professionals and the public.
- Provide services to assist in financial recovery from financial exploitation and fraud.

c. Mandatory Direct Victim Services

Direct victim services must continue to include, but are not limited to the following:

1) Information and Referral (in-person).

Information and referral includes the following:

- Information about the criminal justice process.

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- Information about victim rights and how to obtain notifications.
- Referrals to other victim service programs.
- Referral to other services, supports, and resources (including legal, medical, faith-based organizations, address confidentiality programs, daily money management programs, etc.)

Subrecipients must have knowledge of local community resources (food bank, clothing, goods, senior centers, and services, etc.) and connect victims to these resources as appropriate.

A referral resources list must be maintained and regularly updated.

2) Emotional Support and Safety Services

Subrecipients must have a referral system in place for victims to receive all of the following:

- Crisis intervention (in-person, includes safety planning, etc.).
- Hotline/crisis counseling.
- Counseling.
- On-scene crisis response.
- Individual counseling.
- Support groups.
- Other therapy (traditional, cultural, or alternative healing; art, writing, or play therapy, etc.).

Support groups should be tailored to the elder and dependent adult population and be overseen by someone with extensive knowledge of elder and dependent adult abuse and the resources available to victims. Support groups

may include family members and friends who may have experienced trauma because of their loved one's victimization. Their attendance may increase victim participation, increase their understanding of the impact on the victim and support for the victims, and increase community awareness of the impact of elder and dependent adult abuse.

3) Shelter/Housing Services/Supportive Services

Subrecipients must provide emergency shelter services for elder and dependent adult abuse victims or have a referral system for shelter on a 24-hour, seven days a week basis. Additional housing services may include:

- Transitional housing.
- Relocation assistance.
- Short-term (up to 45 days) in-home care and supervision services.
- Short-term (up to 45 days) care in residential care facilities, including nursing homes, assisted living facilities for adults for whom no other safe, short-term residence is available.

4) Criminal/Civil Justice System Assistance

Subrecipients must make victims aware of their rights and provide advocacy when necessary to intervene on behalf of the victims with criminal justice agencies (law enforcement, prosecution, courts, and probation).

Subrecipients must assist in making police reports and following up with law enforcement agencies to determine if reports were filed and investigated and if victims have been offered services. Services include assistance with the following:

- Notification of criminal justice events (e.g., case status, arrest, court proceedings, case disposition, release, etc.).

- Victim impact statement assistance.
- Assistance with restitution (includes assistance in requesting and when collection efforts are not successful).
- Civil legal attorney assistance when obtaining a protection or restraining order.
- Civil legal attorney assistance with family law issues (e.g., custody, visitation, or support).
- Other emergency related assistance (e.g., special visas, continued presence application, and other immigration relief).
- Prosecution interview advocacy/accompaniment (includes accompaniment with prosecuting attorney and with victim/witness).
- Law enforcement interview advocacy/accompaniment.
- Criminal advocacy/accompaniment.
- Other legal advice and/or counsel (e.g., protecting assets, recovering losses, stopping evictions and foreclosures).

Legal services may be accomplished through coordination with pro bono attorneys or by attorneys employed by the agency.

5) Financial Services/Emergency Financial Assistance

Subrecipients must continue to provide financial services if need to any elder and dependent adult victims of financial abuse. This may be completed by volunteers or an outside referral agency.

Subrecipients may allocate up to two percent of the total Grant Subaward amount (including match) to provide financial intervention for victims related needs. If funds are

provided directly to a victim, Subrecipients must follow the procedures outlined in the SRH Section 4.

6) Personal Advocacy/Accompaniment

This includes intervening for (advocating on behalf of the victim when requested) or accompanying a victim for the following:

- Emergency medical care.
- Medical forensic exams and/or evidence collection.
- Interviews with law enforcement (including return of personal property or effects).
- Obtaining social service assistance.
- Advocacy and/immigration assistance (e.g., special visas, continued presence application, and other immigration relief).
- Employer, creditor, landlord, or academic institution.
- Dependent care assistance
- Interpreter services.

7) Emergency Transportation

Subrecipients must provide a means for emergency transportation to shelters, court, medical/mental health, or other places of safety as appropriate for victims of crime. The Subrecipient should also provide a means for victims to receive non-emergency transportation, which could include direct transportation, arranging rides with Paratransit, or providing transportation vouchers.

d. Assistance with California Victim Compensation Board Claims

Subrecipients are strongly encouraged to assist victims/survivors with applying for compensation benefits through the California Victim Compensation Board. Activities may include:

- Advising of the availability of such benefits.
- Assisting with application forms and understanding procedures.
- Obtaining necessary documentation to support the claim.
- Monitoring claim status.

Subrecipients are also strongly encouraged to allocate funds for tablets or mobile communication devices and cellular service to swiftly facilitate the on-line application process in the office or in the field.

e. Victims of Crime Resource Center

Subrecipients are strongly encouraged to utilize the California Victims Legal Resource Center (VLRC) when assisting victims/survivor.

At the VLRC, Pacific McGeorge School of Law students and attorneys provide victims/survivors, their families, and service providers with information about victims' legal rights in the criminal and civil justice systems and provide tailored resource referrals. Upon request, the VLRC provides publications on victims' rights, legal research on victims' rights to service providers, and educational presentations.

Services are free and can be accessed through the VLRC's confidential, toll-free hotline: 1-800-VICTIMS (842-8467), or through the www.1800victims.org website.

f. Operational Agreements/Second-Tier Subawards

Subrecipients are required to enter into either Operational Agreements (OAs) or Second-Tier Subawards with the following agencies:

- Law Enforcement.
- District Attorney's Office(s).
- Victim/Witness Assistance Program(s).
- Mental Health Service Provider(s).

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- Adult Protective Services (APS).
- Medical/Health Care Providers.
- Local Ombudsman Program.
- Legal Services.
- Community-Based Victim Assistance Representatives.
- Experts in Financial Management (e.g., fiduciaries, money managers, benefits counselors).

An OA is a formal agreement, without the exchange of money, between an implementing agency and one or more participating agencies (*SRH Section 7.005*). A Second-Tier Subaward is a formal agreement that includes the exchange of money between an implementing agency and a participating agency to further the goals of the Grant Subaward (*SRH Section 7.010*).

g. Optional Direct Services

1) Restorative Justice

Restorative Justice is a process which includes opportunities (mediation, family conferencing, etc.) for crime victims to meet with the perpetrator to discuss how they were affected by the crime(s) committed against them. Upon request from the victim, meetings may be held for therapeutic value and to benefit the victim.

2) Funeral Arrangements

Upon request from the client, assist family members of deceased victims/witnesses with funeral/burial arrangements.

3. Reporting Requirements

Progress Reports serve as a record for the implementation of the Grant Subaward. Statistics for Progress Reports must be collected on a quarterly basis, even when reporting occurs less frequently. The following reports are required:

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a. Cal OES Progress Reports

There are two Progress Reports required for the Program. See the chart below for report periods and due dates.

| Report | Report Period | Due Date |
|------------------------|----------------------------------|------------------|
| 1 st Report | January 1, 2023 – June 30, 2023 | July 31, 2023 |
| Final Report | July 1, 2023 – December 31, 2023 | January 30, 2024 |

b. Office for Victims of Crime (OVC) Reports

There are two, on-line OVC reports Subrecipients will also need to complete:

1) Subgrant Award Report (SAR)

This on-line report must be completed by both the Subrecipient and Cal OES within 90 days of the beginning of the Grant Subaward performance period. Cal OES will initiate access and the Subrecipient will have **60 days to complete** the remainder of the report in the OVC Performance Measurement Tool. Then, Cal OES will have 30 days to either approve the SAR, or work with the Subrecipient on corrections, and then approve the SAR.

2) Subgrantee Report

Subrecipients receiving Victims of Crime Act funds must complete this report no later than two weeks following the end of each federal fiscal year quarter. Subrecipients will report data directly into the OVC PMT database no later than the due dates listed, unless otherwise instructed by your Program Specialist.

| Report Period | Due Date (on or about) |
|-------------------------------------|---------------------------|
| January 1, 2023 – March 31, 2023 | April 14, 2023 |
| April 1, 2023 – June 30, 2023 | July 14, 2023 |
| July 1, 2023 – September 30, 2023 | October 14, 2023 |
| October 1, 2023 – December 31, 2023 | January 14, 2024 |

*Exact dates will be provided by your Program Specialist at the end of each quarter.

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For technical assistance, issues or questions regarding the OVC PMT database, please contact the OVC PMT Help Desk at ovcpmt@csrincorporated.com or call toll-free (844) 884-2503.

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PART II – RFA INSTRUCTIONS

- A. SUBRECIPIENT HANDBOOK
 - B. APPLICATION FORMS
 - C. ADDITIONAL DOCUMENTS
 - D. BUDGET POLICIES
 - E. ADMINISTRATIVE REQUIREMENTS
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A. SUBRECIPIENT HANDBOOK

Applicants are strongly encouraged to review the [SRH](#). The *SRH* outlines the terms and conditions that apply to Cal OES VS Branch Grant Subawards and provides helpful information for developing a proposal, including a Glossary of Terms.

B. APPLICATION FORMS

Applicants must use the forms provided on our website. The forms must be printed on plain white 8½" x 11" paper and single sided. **Applicants may not alter the formatting of any forms, including the Grant Subaward Programmatic Narrative ([Cal OES Form 2-108](#)) – with a revision date of 4/2021 or later – and the Grant Subaward Budget Narrative ([Cal OES Form 2-107](#)) – with a revision date of 4/2021 or later.**

Applicants must complete and submit all required forms. **Required forms for this Program are identified on the Checklist in Part III.** All forms have written instructions. If a form requires a Grant Subaward number, leave this information blank. General information regarding each form is below.

1. Grant Subaward Face Sheet (Cal OES Form 2-101)

This form is the title page of the Grant Subaward that is signed by the Official Designee (*SRH Section 3.030*) and the Cal OES Director (or designee). **This form is always required.**

2. Grant Subaward Contact Information (Cal OES Form 2-102)

This form provides Cal OES with contact information for all relevant Subrecipient personnel. Information for each individual should be direct contact information. **This form is always required.**

3. Grant Subaward Signature Authorization (Cal OES Form 2-103)

This form provides Cal OES with signatures of authorized signers and who they authorize to sign on their behalf for all Grant Subaward-related matters. **This form is always required.**

4. Grant Subaward Certification of Assurance of Compliance (Cal OES Form 2-104)

This form is a binding affirmation that the Subrecipient will comply with the following regulations and restrictions:

- State and federal civil rights laws
- Drug Free Workplace
- California Environmental Quality Act
- Federal grant fund requirements
- Lobbying restrictions
- Debarment and Suspension requirements
- Proof of Authority documentation from the city council/governing board

This form is always required.

5. Grant Subaward Budget Pages (Cal OES Form 2-106a-b)

These forms demonstrate how the Applicant will implement the proposed plan with the funds available through this Program. This is the basis for management, fiscal review, and audit. **Grant Subaward Budget Pages (Cal OES Form 2-106a-b) are subject to Cal OES modifications and approval.** Failure of the Applicant to include required items does not eliminate responsibility to comply with those requirements during the implementation of the Grant Subaward. **One of these forms is always required.**

The Grant Subaward Budget Pages (Cal OES Form 2-106a-b) automatically calculate the subtotal at the end of each budget category and provide the total of the three spreadsheets at the bottom of the Equipment Costs page. Applicants may add additional columns to the Grant Subaward Budget Pages (Cal OES Form 2-106a-b) when necessary.

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Cal OES requires the Applicant to develop a line-item budget that includes a **calculation and justification in the left column for all costs**.

The Grant Subaward Budget Pages (Cal OES Form 2-106a-b) must:

- Cover the entire Grant Subaward performance period.
- Include costs related to the objectives and activities of the Grant Subaward.
- Strict adherence to required and prohibited expenses.
- Include costs in the correct category (i.e., Personnel Costs, Operating Costs, and Equipment Costs – see below).

Include **only** those items covered by Grant Subaward funds, including match funds, when applicable. Applicants may supplement Grant Subaward funds with funds from other sources. However, since approved line items are subject to audit, Applicants should not include matching funds (if applicable) in excess of the required match on the Grant Subaward Budget Pages (Cal OES Form 2-106a-b).

a. Personnel Costs – Salaries/Employee Benefits

1) Salaries

Personnel includes Grant Subaward services performed by Grant Subaward staff **directly employed by the Applicant** (not a contract or Participating Agency) and must be identified by position, cost and time spent on allowable activities for the Grant Subaward (e.g., Clerical Staff @ \$20/hour x 980 hours; or Victim Advocate @ \$1,500/month x 12 months x .50 FTE). Personnel may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must also be allocated as a part of salaries. If the Applicant's personnel have accrued sick leave or vacation time prior to the approval of the Grant Subaward, they may not take time off using Grant Subaward funds.

2) Benefits

Employee benefits must be identified by type and include a calculation. The Applicant may use fixed percentages of salaries to calculate benefits. Allocated benefits cannot exceed those already established by the Applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable. Benefits, such as uniforms or California Bar Association dues, are allowable if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 FTE clerical positions).

Additional information on Personnel Expenses can be found in *SRH Part 3*.

b. Operating Costs

Operating costs are defined as necessary expenditures other than personnel salaries, benefits, and equipment. The costs must be Grant Subaward-related (i.e., to further the Program objectives as defined in the Grant Subaward) and be encumbered during the Grant Subaward performance period.

Examples of common operating costs include, but are not limited to:

- Audit costs (SRH Section 14.035)
- Computers with an acquisition cost of \$4,999 or less
- Computer equipment rentals
- Consultant services (SRH Section 6.050)
- Equipment service and maintenance agreements
- Financial Assistance for clients (SRH Section 4.040)
- Furniture and office equipment (\$4,999 or less)
- Indirect costs (SRH Section 4.045)

- Insurance (e.g., vehicle, fire, bonding, theft, and liability)
- Internet access
- Office supplies
- Office rental space (SRH Section 4.055)
- Postage
- Printing
- Second-Tier Subawards (SRH Section 7.010)
- Software
- Training materials
- Travel and per diem (SRH Section 4.065)
- Utilities
- Vehicle maintenance

Additional information on Operating Expenses can be found in *SRH Part 4*.

c. Equipment Costs

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and a cost of \$5,000 or more per unit (excluding tax).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three copy machines must be one line item, not three).

Additional information on Equipment Costs can be found in *SRH Part 5*.

6. Grant Subaward Budget Narrative (Cal OES Form 2-107)

This form should describe the following:

- How the line items on the Grant Subaward Budget Pages (Cal OES Form 2-106a-b) support the objectives and activities.
- How funds are allocated to minimize administrative costs and support direct services.
- How shared costs are allocated.
- How Grant Subaward-funded staff duties and time commitments support the proposed objectives and activities.

- The necessity for subcontracts and unusual costs.
Need for mid-year salary range adjustments.

This form may be required.

7. Grant Subaward Programmatic Narrative (Cal OES Form 2-108)

This form is the main body of information describing the problem to be addressed, the plan to address the identified problem through appropriate and achievable objectives and activities, and the ability of the Applicant to implement the proposed plan. **This form is always required, however a Problem Statement may not.**

a. Problem Statement

Problem Statement is not required.

b. Plan

In narrative form, address the following: the Applicant should provide an update on how their agency will continue to execute and expand from the original plan, including additional details if there have been significant changes to the plan, including changes to number projections.

The Plan should summarize how the Applicant's organization will implement the services to meet the objectives of the Program and how it will assure the required service components are provided.

8. Federal Fund Grant Subaward Assurances (Cal OES Forms 2-109a-g)

These forms list all the assurances and are a binding affirmation that Subrecipients will comply with the assurances to receive a federal fund source. Subrecipients may be asked to sign and submit one or more Federal Fund Grant Subaward Assurances (Cal OES Form 2-109a-g).

Every year, Cal OES updates the Federal Fund Grant Subaward Assurances (Cal OES Form 2-104a-g) to ensure that any new assurances placed upon the federal award are passed down to Subrecipients. Subrecipients will be notified if this change is needed.

This form is required for the applicable federal fund source(s) included in the Grant Subaward.

9. Petty Cash Victim Fund Certification (Cal OES Form 2-153)

A Petty Cash Victim Fund is a small amount of discretionary funds, in the form of cash, used for disbursements for unforeseen financial intervention paid directly to the victim. Subrecipients providing direct victim services may budget up to two percent of the total Grant Subaward cost for petty cash.

This form identifies the procedures to maintain safeguards and accountability of these funds. **This form is required only if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a-b) that meets the definition of Petty Cash in SRH Section 4.040.**

10. Grant Subaward Service Area Information (Cal OES Form 2-154)

This form identifies the counties, cities, and congressional districts served by the Grant Subaward. **This form is always required.**

11. Volunteer Waiver Request (Cal OES Form 2-155)

This form provides information to support a request to waive a volunteer requirement per Part I of this RFA. **This form is only required if the Program requires volunteers, and the Applicant wants to request a waiver.**

12. Non-Competitive Procurement Request (Cal OES Form 2-156)

A Non-competitive procurement transaction is a purchase of property/goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. See *SRH Section 6.045* for additional information.

This form provides information to support a request for approval of a non-competitive procurement. **This form is only required if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a or b) that meets the definition of a non-competitive procurement in SRH Section 6.045.**

13. Out-of-State Travel Request (Cal OES Form 2-158)

This form provides information to support a request for out-of-state travel. **This form is only required if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a or b) for out-of-state travel.**

14. Match Waiver Request (Cal OES 2-159)

This form is required to waive a portion, or all, of the required match. See Part I, F., 1 for additional information. Match waiver requests are not considered during the Proposal Rating process. **This form is only required if the Program is supported with VOCA funds AND the Applicant wants to request to waive match.**

15. Operational Agreement Summary Form (Cal OES Form 2-160)

This form lists the OAs a Subrecipient has with participating agencies/organizations. **This form is only required when the Program requires OAs, outlined in Part I, Subpart G.**

16. Independent Contractor/Consultant Rate Exemption Request (Cal OES Form 2-164)

The maximum rate for an independent contractor/consultant is \$650 per eight-hour day or \$81.25 per hour per *SRH Section 6.050*.

This form provides information to support a request for approval of an exemption to the maximum rate. **This form is only required if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a or b) for an independent contractor above the maximum rate.**

17. Lodging Rate Exemption Request (Cal OES Form 2-165)

This form provides information to support a request for approval of an exemption to the maximum lodging rate per *SRH Section 4.070*. **This form is only required if the Applicant proposes to have a line item on their Grant Subaward Budget Pages (Cal OES Form 2-106a or b) with lodging above the maximum rate.**

18. Subrecipient Grants Management Assessment

Per title 2 CFR § 200.331, Cal OES is required to evaluate the risk of noncompliance with federal statutes, regulations, and terms and conditions posed by each Subrecipient of pass-through funding. The assessment is made in order to determine and provide an appropriate level of technical assistance, training, and oversight to Subrecipients. **This form is always required.**

C. ADDITIONAL DOCUMENTS

Applicants may be required to submit additional documents. **Required documents for this Program are identified on the Checklist in Part III.** General information regarding each document is below:

1. Indirect Cost Rate Agreement

The Indirect Cost Rate Agreement documents the agreed upon indirect cost rate negotiated between the federal government and an organization. **This document is only required if an Applicant has a negotiated indirect cost rate and costs are included in the Grant Subaward Budget Pages (Cal OES 2-106a or b).**

2. Organizational Chart

The Organizational Chart should clearly depict the structure of the Applicant's organization and the specific unit within the organization responsible for the implementation of the Grant Subaward. This chart should also depict supporting units within the organization (e.g., the Accounting Unit) and the lines of authority within the organization. Job titles on the Organizational Chart must match those on the Grant Subaward Budget Pages (Cal OES Form 2-106a or b) and Grant Subaward Budget Narrative (Cal OES 2-107). **This document may or may not be required. Please see the Checklist in Part III.**

D. BUDGET POLICIES

The following sections of the [SRH](#) may be helpful in developing the Grant Subaward Budget Pages (Cal OES 2-106a) and Grant Subaward Budget Narrative (Cal OES 2-107):

- Additional Rental Space (*SRH Section 4.055*)
- Audit Costs (*SRH Section 14.055*)

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- Automobiles (SRH Section 5.020)
- Contracting and Procurements Requirements (SRH Part 6)
- Equipment and Equipment Costs Requirements (SRH Part 5)
- Expert Witness Fees (SRH Section 6.050)
- Independent Contractor/Consultant (SRH Section 6.050)
- Indirect Cost or Facilities and Administration (SRH Section 4.045)
- Match Requirements (SRH Section 9.060)
- Facility Rental (SRH Section 4.055)
- Prohibited Operating Costs (SRH Section 4.070)
- Grant Subaward and Other Income (SRH Section 9.075)
- Supplanting Prohibited (SRH Section 1.065)
- Travel (SRH Section 4.065)

E. ADMINISTRATIVE REQUIREMENTS

Subrecipients must administer their Grant Subawards in accordance with all [SRH](#) requirements. Failure to comply with these requirements can result in the withholding or termination of the Grant Subaward. The following section may be helpful for developing a proposal and for planning purposes:

- Audit Requirements (SRH Part 14)
- Communication and Internet Access (SRH Section 1.070)
- Intellectual Property, Copyright, and Patent Requirements (SRH Part 8)
- Fidelity Bond/Certificate of Insurance (SRH Section 2.015)
- Monitoring (SRH Part 13)
- Report of Expenditures and Request for Funds (SRH Section 9.025)
- Records Requirements (SRH Part 12)

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PART III – CHECKLIST

This checklist is provided to ensure that a complete proposal is submitted to Cal OES. This also provides the order documents/forms should be organized.

The following forms are required for all Subrecipients.

- GRANT SUBAWARD FACE SHEET ([Cal OES Form 2-101](#)) – Signed by the Official Designee authorized to enter into the Grant Subaward.
- GRANT SUBAWARD CONTACT INFORMATION ([Cal OES Form 2-102](#))
- GRANT SUBAWARD SIGNATURE AUTHORIZATION ([Cal OES Form 2-103](#))
- GRANT SUBAWARD CERTIFICATION OF ASSURANCE OF COMPLIANCE ([Cal OES Form 2-104](#)) – Signed by the Official Designee who signed the Grant Subaward Face Sheet and by the official delegating that authority
- GRANT SUBAWARD BUDGET PAGES (EXCEL SPREADSHEET FORMAT) ([Cal OES Form 2-106a](#)) Pages Multiple Fund Source or
- GRANT SUBAWARD BUDGET NARRATIVE ([Cal OES Form 2-107](#))
- GRANT SUBAWARD PROGRAMMATIC NARRATIVE ([Cal OES Form 2-108](#))
 - PLAN
- VOCA FEDERAL FUND GRANT SUBAWARD ASSURANCES (Cal OES Form 2-109a) – Signed by the Official Designee who signed the Grant Subaward Face Sheet
- [SUBRECIPIENT GRANTS MANAGEMENT ASSESSMENT](#)
- GRANT SUBAWARD SERVICE AREA INFORMATION ([Cal OES Form 2-154](#))
- OPERATIONAL AGREEMENT SUMMARY ([Cal OES Form 2-160](#))

The following forms/documents may be required depending on the Subrecipient's application and/or Program requirements.

- PETTY CASH VICTIM FUND CERTIFICATION ([Cal OES Form 2-153](#))
- VOLUNTEER WAIVER REQUEST ([Cal OES Form 2-155](#))
- NON-COMPETITIVE PROCUREMENT REQUEST ([Cal OES Form 2-156](#))
- OUT-OF-STATE TRAVEL REQUEST ([Cal OES Form 2-158](#))
- MATCH WAIVER REQUEST ([Cal OES Form 2-159](#))
- INDEPENDENT CONTRACTOR/CONSULTANT RATE EXEMPTION REQUEST ([Cal OES Form 2-164](#))
- LODGING RATE EXEMPTION REQUEST ([Cal OES Form 2-165](#))

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ADDITIONAL DOCUMENTS:

- INDIRECT COST RATE AGREEMENT
- ORGANIZATIONAL CHART