



Governor's Office of Emergency Services

FY 04 Emergency Management Performance Grant Program

Grant Guide for Local Governments

March 5, 2004

Table of Contents

Foreword: Director's Message to Grant Recipients	4
Part One – Grant Overview.....	5
Purpose of this Grant	5
Eligible Grant Recipients.....	5
Purpose of this Grant Guide.....	5
Grant Differences between FY 03 and FY 04	5
Grant Management Differences between FY 03 and FY 04.....	5
Performance Period.....	5
Matching Requirements	6
Allocations and Methodology.....	6
OA Responsibilities	6
OA Responsibilities, continued.....	7
Applicable Laws, Regulations, Guidance Documents and Websites	7
Grant Timelines	8
Contact Information.....	8
Part Two – Program Specific Information.....	9
FY 04 EMPG Priorities.....	9
Terrorism Preparedness and Response	9
Risk Assessment	9
Hazard Mitigation	10
Training and Exercises.....	10
Response Information Management System (RIMS).....	10
Standardized Emergency Management System (SEMS).....	10
Interagency Coordination.....	11
Goals and Objectives	11
Eligible Activities and Projects.....	11
Eligible Costs	12
Part Three – Application Requirements and Process.....	13
Application Components	13
Mailing Address.....	13
Application for Assistance.....	13
Project Narrative	13
Budget Summary Worksheet	14
Governing Body Resolution	14
Grant Assurances	14
Application Due Date	14
Approval of Application	14
Part Four – Performance Period Activities.....	15
Reimbursement of Eligible Costs	15
Revision Requests.....	15
Performance Reports.....	16
Interest Earnings	16
Monitoring Grant Performance.....	17

Record Retention Requirements	17
Accessibility of Records	17
Suspension Or Termination	18
Part Five – Grant Closeout.....	19
Final Grant Report	19
Closeout Review and Notification	19
Financial Reconciliation of Grant Funds	19
Audit Requirements	19
Appendices.....	20
Appendix A – Allocations to Operational Areas	21
Appendix B – State OES Goals and Objectives	23
Appendix C – Forms	27
Appendix D – Acronyms	41

Foreword: Director's Message to Grant Recipients

Every day local jurisdictions face the difficult challenge of ensuring that citizens, emergency responders, essential government services, and private property are protected from the consequences of natural and man-made emergencies. Fortunately, the State of California has a well-coordinated emergency management community. The Emergency Management Performance Grant (EMPG) program, through the Federal Emergency Management Agency, has been an integral factor in this coordination by providing funding to ensure the improvement of mitigation, preparedness, response, and recovery capabilities for all hazards.

On March 1, 2003, the Federal Emergency Management Agency became part of the Emergency Preparedness and Response Directorate of the federal Department of Homeland Security (DHS). This change prompted a review of the EMPG program, resulting in a delay in launching this year's grant. Fortunately, although delayed, the EMPG program is being continued with very few changes.

As you go through the application process this year, please note the following differences:

- The federal allocation to the state has been increased. A portion of the increase is being passed through to local government.
- State priorities have been expanded to increase tribal involvement in the emergency management process.
- Narratives, budgets, and the reporting process will be project oriented.

State OES is providing this Guide to assist with the application process, and will be available to provide technical assistance throughout the grant process. We look forward to continuing to work with each and every one of the Operational Areas on this program. Through our combined efforts, the State of California and local emergency agencies will be better prepared to manage any emergency event.

DALLAS JONES
Director

Part One – Grant Overview

Purpose of this Grant The purpose of the Fiscal Year 2004 Emergency Management Performance Grant (FY04 EMPG) is to support comprehensive emergency management at the state, tribal and local levels and to encourage the improvement of mitigation, preparedness, response and recovery capabilities for all hazards. Funds provided under the EMPG may, and should, be used to support activities that contribute to the grant recipient’s capability to prevent, prepare for, mitigate against, respond to and recover from emergencies and disasters, whether natural or man-made.

Eligible Grant Recipients The eligible grant recipients are the 58 Operational Areas.

Purpose of this Grant Guide This *Grant Guide* will provide grant recipients, and their designated agencies, with guidance and forms to apply for, perform and closeout the FY04 EMPG grant. This *Guide* specifies the performance period, allocations, eligible activities and other grant related information and requirements.

Grant Differences between FY 03 and FY 04 Differences between the FY03 and FY04 grants include the following:

- The federal Department of Homeland Security (DHS) will be administering the EMPG.
- Funds must be tied to measurable projects.
- Operational Area (OA) allocations have increased.
- The Program Narrative format has been revised.
- The budget format has been revised.
- The Reimbursement Request form has been revised. **Additionally, a reimbursement request form can be submitted with the application for costs incurred from October 1, 2003 through March 31, 2004.**

Grant Management Differences between FY 03 and FY 04 The primary grant management differences between the FY03 and FY04 grants are that applications, performance reports and reimbursement requests will be submitted directly to the Governor’s Office of Emergency Services’ (OES) Grant Management Section.

Performance Period The FY04 EMPG performance period is October 1, 2003 through September 30, 2004.

Continued on next page

Part One – Grant Overview, Continued

Matching Requirements The FY04 EMPG requires a dollar-for-dollar match.

Allocations and Methodology California has been allocated \$13,769,593 for FY04 EMPG, and will subgrant \$6,253,562 to OAs. OA allocations were determined using a \$20,000 base award, with remaining funds distributed using per capita figures in the Department of Finance’s yearly report called *E-1- City/County Population Estimates with Annual Percent Change*. This report can be accessed at the following website:

<http://www.dof.ca.gov/html/Demograp/E-1text.htm>

A complete listing of the allocations for the FY04 EMPG can be found in Appendix A.

OA Responsibilities

The OA's responsibilities are to:

1. Submit a grant application package to OES by April 30, 2004 that represents the consensus of the OA's Operational Area Council.
 2. Comply with all assurances and certifications contained in the Grant Assurances submitted with the FY04 EMPG application.
 3. Prepare performance reports for the duration of the performance period. Further reporting details are included in Part Four, Performance Period Activities, under “Performance Reports”.
 4. Maintain financial management systems that support grant activities in accordance with 44 CFR Part 13.20.
 5. If changes are required after the initial grant award, submit revision requests to OES, prior to incurring the associated expenditures. Further details are included in Part Four, Performance Period Activities, under “Revision Requests”.
 6. Remit unexpended grant funds to OES after all work has been completed and payments have been disbursed.
-

Continued on next page

Part One – Grant Overview, Continued

OA Responsibilities, continued

7. Maintain property, programmatic and financial records in accordance with the grant record retention requirements. Further details on the retention requirement are contained in Part Four, Performance Period Activities, under “Record Retention Requirements”.
 8. Comply with the audit requirements contained in Office of Management and Budget (OMB) Circular A-133, and Title 44 Code of Federal Regulations, Part 13.26.
-

Applicable Laws, Regulations, Guidance Documents and Websites

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

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

The following documents produced and distributed by the OES can be used as additional resources. They can be found on the OES website at:

www.oes.ca.gov.

- Local Emergency Planning Guidance
 - State Plan
 - SEMS Regulations
-

Continued on next page

Part One – Grant Overview, Continued

**Grant
Timelines**

April 30, 2004	Submit applications to OES' Grant Management Section.
July 16, 2004	A performance report is due to OES' Grant Management Section for the period October 1, 2003 through June 30, 2004.
September 30, 2004	All grant activities must be completed and all funds disbursed.
October 31, 2004	A performance report is due to OES' Grant Management Section for the period of July 1, 2004 through September 30, 2004.

**Contact
Information**

Technical assistance is available throughout the application and grant performance process. Contact the OES Grant Management Section at (916) 845-8110, or send an e-mail to Grant.Management@oes.ca.gov.

Part Two – Program Specific Information

Program Overview

The purpose of the FY04 EMPG is to support comprehensive emergency management and to encourage the improvement of mitigation, preparedness, response and recovery capabilities for all hazards. Funds provided under the EMPG may, and should, be used to support activities that contribute to the OA's capability to prevent, prepare for, mitigate against, respond to and recover from emergencies and disasters, whether natural or man-made. Towards this end, OES has established emergency management priorities, goals and objectives for California. OA activities under this grant must be tied to these priorities, goals and objectives.

California's FY 04 EMPG Priorities

The state has the following priorities for FY04 EMPG:

1. Terrorism Preparedness and Response
 2. Risk Assessment
 3. Hazard Mitigation
 4. Training and Exercises
 5. Response Information Management System (RIMS)
 6. Standardized Emergency Management System (SEMS)
 7. Interagency Coordination
-

Terrorism Preparedness and Response

The ability to plan for and respond to acts of terrorism is a high priority for both state and local government. State OES will:

- advocate the update of emergency plans to include terrorism response planning;
 - encourage state, local and tribal personnel to participate in training specifically addressing terrorism and weapons of mass destruction;
 - develop a risk and capability assessment; and,
 - continue coordination with federal, state, local, tribal and private agencies.
-

Risk Assessment

The ability to identify an area of risk, and identify and implement mitigation measures, will continue to be a priority for the state during the FY04 EMPG performance period.

Continued on next page

Part Two – Program Specific Information, Continued

Hazard Mitigation Reducing the impact of disasters and other catastrophic events, through effective Hazard Mitigation measures, continues to be a priority for the state. OES continues to work with federal, state, local, tribal and private agencies to provide education and establish and maintain a variety of mitigation programs.

Training and Exercises The state will continue to develop, present and participate in various training classes and exercises at the local, state and federal levels that reflect the state's FY04 EMPG priorities.

Response Information Management System (RIMS) RIMS is an electronic data management system which facilitates the use of the Standardized Emergency Management System (SEMS). RIMS is currently used by every Operational Area and several state and federal agencies. This year's emphasis will be to continue to:

- improve information flow within Operational Areas by involving local agencies;
 - implement and train users on RIMS; and
 - evaluate and change the system as needed.
-

Standardized Emergency Management System (SEMS) SEMS has been successfully integrated into emergency management at all government levels. The state continues to work with federal, state, local and tribal agencies to improve and maintain the system. To support this process, the emphasis includes continuing and/or increasing the following activities:

- SEMS position training at all levels;
 - attendance at Mutual Aid Regional Advisory Committee meetings by local jurisdictions to ensure local jurisdiction input into SEMS;
 - at least semi-annual Operational Area Council meetings to ensure Operational Area coordination;
 - incremental refinement of the system, as appropriate; and,
 - coordination efforts to support the development of a tribal based emergency management system with SEMS.
-

Continued on next page

Part Two – Program Specific Information, Continued

Interagency Coordination

In California, a large number of local, state, tribal, federal and private agencies are involved in response and recovery activities related to disasters and other catastrophic events. Interagency Coordination allows these agencies to maintain and coordinate activities prior to and during disasters and other catastrophic events. This would include the development, operation and maintenance of alert and warning systems.

Goals and Objectives

The goals and objectives of the state are described in Appendix B. These are not all of the goals and objectives from the state’s strategy, only those relative to the implementation of the EMPG program. The goals address seven main categories:

1. Hazard Mitigation and Risk Management
 2. Emergency Preparedness
 3. Warning
 4. Emergency Response
 5. Recovery
 6. Agency Administration, Information Technology, and Program Support
 7. Training and Exercises
-

Eligible Activities and Projects

Eligible activities are those that support the goals and objectives listed in Appendix B, and must be tied to a project with a measurable outcome.

Continued on next page

Part Two – Program Specific Information, Continued

Eligible Costs To be allowable under federal awards, costs must meet the criteria as stated in OMB Circular No. A-87, Attachment A.

Eligible cost categories are as follows:

Personal Services	This includes salary, overtime, compensating time off and associated fringe benefits.
Travel	Recipients must follow the their own established travel policy. If they have no established policy, they must follow the state's travel policy.
Equipment	This is defined as property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.
Operating expenses	This includes all items not defined as equipment such as printing, postage, communications, data processing, etc.
Contractors/consultants	This includes funds allocated for contractual agreements.
Pass through to locals	This includes the funds being passed through to cities and/or other political entities.
Indirect Costs	Rate is based on what is included in the indirect cost proposals approved by the cognizant federal agency.

Part Three – Application Requirements and Process

Application Components

The application must include the following:

- Application for Assistance
 - Project Narrative
 - Project Budget Summary Worksheet
 - Governing Body Resolution
 - Grant Assurances
-

Mailing Address

The application must be mailed to:

Governor's Office of Emergency Services
Grant Management Section
Post Office Box 419023
Rancho Cordova, CA 95741-9023

Application for Assistance

The Application for Assistance form is the coversheet for the application. It identifies the applicant, the authorized agent and contact person for the grant and their addresses, the maximum award amount and the amount the OA is requesting. It must be signed by the authorized agent and, after review, it is approved by OES. This document serves as the contractual basis for the award of funds.

Project Narrative

The project narrative must include the following:

- An OA assigned number for the project.
- A project title and description.
- The goal and objective (from Appendix B) that the project supports.
- Projects should be presented in terms of what will be accomplished. For example, if training is planned, the jurisdiction must indicate what the training is expected to accomplish. The jurisdiction should clearly indicate how it would know its purpose has been accomplished.

The project narrative forms the basis for the performance reports and OAs will be expected to report progress on each project.

Continued on next page

Part Three – Application Requirements and Process, Continued

**Budget
Summary
Worksheet**

A budget must be developed for each project and itemized on the Budget Summary Worksheet. The total of all projects should equal the amount requested on the Application for Assistance.

The following expenses need to be itemized:

- Personal Services
 - Equipment
 - Operating Expenses
 - Travel
 - Contractors/consultants
 - Pass through to locals
 - Indirect Costs
-

**Governing
Body
Resolution**

The Governing Body Resolution appoints agents authorized to execute any actions necessary under this grant. OAs are not required to file a new Governing Body Resolution with the FY04 EMPG application if the one on file with OES is current.

**Grant
Assurances**

The Grant Assurances form lists the requirements to which the OA will be held accountable. OAs are not required to file a new Grant Assurances form with the FY04 EMPG application if the one on file with OES is current.

**Application
Due Date**

The application package must be submitted to OES by April 30, 2004. Incomplete applications will not be approved.

**Approval of
Application**

OES will notify the OA, in writing, of the approved application, award amount and performance period.

Part Four – Performance Period Activities

Reimbursement of Eligible Costs FY04 EMPG funds will be disbursed on a reimbursement basis, by project, using the Reimbursement Request form included in Appendix C.

OAs are strongly encouraged to submit reimbursement requests as soon as costs have been incurred and vendor invoices have been received. The cost of employee labor and expenses has been incurred as soon as the time has been worked or the expense has been paid. Vendor costs have been incurred when the purchasing jurisdiction has received the vendor's invoice for payment. Encumbrances, purchase orders or signed contracts do not qualify as incurred costs.

NOTE: Payments can only be made if the OA has an:

- Approved Application
- Valid Governing Body Resolution
- Valid Grant Assurance

Revision Requests

All changes to the OA's approved Project Narratives and Project Budget Worksheets must be submitted to OES in writing and approved ***prior*** to initiating the revised scope of work or incurring the associated expenditures. These changes can be requested as part of the performance report process. However, OAs are not precluded from submitting revision requests to OES at any time during the performance period.

Failure to submit revision requests and receive approval prior to expenditure, could result in a reduction or disallowance of that part of the grant.

Continued on next page

Part Four – Performance Period Activities, Continued

Performance Reports

OAs must prepare and submit performance reports to OES for the duration of the performance period, or until all grant activities are completed and the grant is formally closed. The reports must include the status of all projects, as well as other requested information and data. The reports are due to OES as follows:

- Performance Period October 1, 2003 through June 30, 2004 – **due by July 16, 2004**
- Performance Period July 1, 2004 through September 30, 2004 – **due by October 31, 2004**

A performance report template, with instructions, will be distributed under separate cover prior to the deadline for the first report. Failure to submit performance reports could result in grant reduction, termination or suspension.

Interest Earnings

In accordance with Title 44, Code of Federal Regulations, Part 13.21, any interest earned, in excess of \$100 per federal fiscal year, must be remitted quarterly to:

United States Department of Health and Human Services
Division of Payment Management Services
Post Office Box 6021
Rockville, MD 20852

NOTE: The transmittal letter included with the check should indicate that the OA is returning interest earned on FY04 EMPG funds.

A copy of the transmittal letter should be sent to:

Governor's Office of Emergency Services
Attn: Accounting Office/Federal Unit
Post Office Box 419047
Rancho Cordova, CA 95742-9047

Continued on next page

Part Four – Performance Period Activities, Continued

Monitoring Grant Performance

The state may perform periodic reviews of the OA's grant performance. These reviews may include, but are not limited to:

- Comparing actual grant activities to those approved on the Project Narrative and Budget Worksheet.
 - Confirming compliance with:
 - Grant Assurances.
 - Information provided on the performance reports.
-

Record Retention Requirements

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

In the Grant Closeout letter, OES will notify the OA of the start of the record retention period for programmatic and financial records.

Accessibility of Records

The federal Department of Homeland Security, the DHS Office of Inspector General, the Comptroller General of the United States, OES, and any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records which are pertinent to the grant, in order to make audits, examinations, excerpts and transcripts. The right of access is not limited to the required retention period but shall last as long as the records are retained. Refer to 44 CFR 13.42 for more information about accessibility of records.

Continued on next page

Part Four – Performance Period Activities, Continued

Suspension Or Termination

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

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

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

Part Five – Grant Closeout

Final Grant Report

The performance report due to OES by October 31, 2004, will serve as the final grant report.

Closeout Review and Notification

OES will review the OA's final performance report for compliance with all grant conditions. After compliance has been verified, OES will notify the OA, in writing, of the grant closure and record retention requirements.

Financial Reconciliation of Grant Funds

If the final performance report indicates that the OA:

- is owed additional funds, OES will send the final payment automatically to the OA.
 - did not use all funds received, OES will issue an Invoice to recover unused funds.
-

Audit Requirements

OAs, and their recipients, must comply with the audit requirements contained in OMB Circular A-133 and Title 44, CFR, Part 13.26.

Appendices

**List of
Appendices**

- A – Allocations to Operational Areas
 - B – State OES Goals and Objectives
 - C – Forms
 - D – Acronyms
 - E – Definitions
-

Appendix A – Allocations to Operational Areas

Operational Area	Base Amount	Per Capita Amount	Total FY 04 Dollars
	\$20,000	\$214,124	\$234,124
Alpine	\$20,000	\$173	\$20,173
Amador	\$20,000	\$5,228	\$25,228
Butte	\$20,000	\$30,112	\$50,112
Calaveras	\$20,000	\$6,075	\$26,075
Colusa	\$20,000	\$2,820	\$22,820
Contra Costa	\$20,000	\$142,410	\$162,410
Del Norte	\$20,000	\$3,982	\$23,982
El Dorado	\$20,000	\$23,749	\$43,749
Fresno	\$20,000	\$120,437	\$140,437
Glenn	\$20,000	\$ 3,871	\$23,871
Humboldt	\$20,000	\$18,370	\$38,370
Imperial	\$20,000	\$21,601	\$41,601
Inyo	\$20,000	\$2,629	\$22,629
Kern	\$20,000	\$100,594	\$120,594
Kings	\$20,000	\$19,485	\$39,485
Lake	\$20,000	\$8,773	\$28,773
Lassen	\$20,000	\$5,002	\$25,002
Los Angeles	\$20,000	\$1,428,179	\$1,448,179
Madera	\$20,000	\$18,769	\$38,769
Marin	\$20,000	\$35,837	\$55,837
Mariposa	\$20,000	\$ 2,497	\$22,497
Mendocino	\$20,000	\$12,623	\$32,623
Merced	\$20,000	\$32,217	\$52,217
Modoc	\$20,000	\$1,336	\$21,336
Mono	\$20,000	\$1,907	\$21,907
Monterey	\$20,000	\$59,512	\$79,512
Napa	\$20,000	\$18,577	\$38,577
Nevada	\$20,000	\$13,707	\$33,707
Orange	\$20,000	\$426,287	\$446,287
Placer	\$20,000	\$39,439	\$59,439
Plumas	\$20,000	\$2,987	\$22,987
Riverside	\$20,000	\$244,095	\$264,095
Sacramento	\$20,000	\$187,439	\$207,439
San Benito	\$20,000	\$8,059	\$28,059
San Bernardino	\$20,000	\$262,331	\$282,331

Continued on next page

Appendix A – Allocations to Operational Areas, Continued

Operational Area	Base Amount	Per Capita Amount	Total FY 04 Dollars
San Diego	\$20,000	\$423,854	\$443,854
San Francisco	\$20,000	\$113,287	\$133,287
San Joaquin	\$20,000	\$87,792	\$107,792
San Luis Obispo	\$20,000	\$36,665	\$56,665
San Mateo	\$20,000	\$102,613	\$122,613
Santa Barbara	\$20,000	\$58,717	\$78,717
Santa Clara	\$20,000	\$247,573	\$267,573
Santa Cruz	\$20,000	\$37,180	\$57,180
Shasta	\$20,000	\$24,619	\$44,619
Sierra	\$20,000	\$504	\$20,504
Siskiyou	\$20,000	\$6,354	\$26,354
Solano	\$20,000	\$58,951	\$78,951
Sonoma	\$20,000	\$67,638	\$87,638
Stanislaus	\$20,000	\$68,925	\$88,925
Sutter	\$20,000	\$11,914	\$31,914
Tehama	\$20,000	\$8,251	\$28,251
Trinity	\$20,000	\$1,903	\$21,903
Tulare	\$20,000	\$55,280	\$75,280
Tuolumne	\$20,000	\$8,087	\$28,087
Ventura	\$20,000	\$113,273	\$133,273
Yolo	\$20,000	\$25,953	\$45,953
Yuba	\$20,000	\$8,993	\$28,993
		Allocation to Locals	\$6,253,562
		Allocation to state agencies	\$2,125,612
		Allocation to State OES	\$5,390,419
		TOTAL ALLOCATION	\$13,769,593

Appendix B – State OES Goals and Objectives

Goal A

To support and assist local and state government and the private sector to integrate hazard identification, risk assessment, risk management and prevention into a comprehensive approach to hazard mitigation. Also to maximize the effective use of available public and private resources devoted to hazard mitigation.

Objectives

- A1** Integrate hazard mitigation activities in all pertinent agency programs.
- A2** Maximize the use of hazard mitigation funding to reduce the impact of future disasters.
- A3** Develop strategy for the utilization of all hazards risk assessment.
- A4** Maintain collaborative and cooperative relationships with the scientific and technical communities for all hazards.
- A6** Provide technical assistance and guidance to improve all-hazard risk assessments.

Goal B

To ensure efficient, effective and integrated response to potential and/or actual emergencies and disasters, including terrorism and weapons of mass destruction (WMD), by implementing SEMS, developing response capabilities, providing for immediate and sustained response operations and enabling a smooth transition into long term recovery.

Objectives

- B1** Integrate SEMS structure into plans and operations at all levels of government in the state.
- B2** Enhance and coordinate mutual aid programs throughout the agency.
- B3** Integrate lessons learned from After Action Reports for disasters into documents, procedures and processes.
- B4** Improve communications with OES constituents, legislators and special interest groups.
- B8** Develop, update and maintain the appropriate regulations for emergency management.

Continued on next page

Appendix B – State OES Goals and Objectives, Continued

Goal B, continued

Objectives, continued

B12 Ensure that OES has a program and procedures to utilize volunteers and volunteered resources.

B13 Ensure state and local agencies are prepared to respond to terrorist acts.

B14 Support and assist state and local agencies efforts to obtain equipment that can be used to prevent or respond to either potential or actual terrorist acts.

Goal C

To provide for the rapid assessment and, as appropriate, verification, impact analysis and timely notification of predictions, forecasts and/or warnings of potential and/or actual emergencies or disasters, including terrorism and weapons of mass destruction (WMD), in order to maximize protective actions, emergency preparedness and to enhance response effectiveness.

Objectives

C1 Increase the agency's capability to assess impending threats and issue warnings.

Goal D

To provide for timely, effective, efficient and coordinated government response to potential and/or actual emergencies and disasters including terrorism and weapons of mass destruction (WMD), through the use of the Standardized Emergency Management System.

Objectives

D3 Ensure a smooth transition from Response to Recovery.

D4 Improve communications with OES constituents, legislators and special interest groups.

Continued on next page

Appendix B – State OES Goals and Objectives, Continued

Goal E

To provide for: an efficient, integrated and comprehensive transition process from response to recovery operations; effective disaster assistance to impacted individuals, businesses and public agencies; longer-term reconstruction activities; and, mitigation and risk management initiatives.

Objectives

- E1** Improve communications with OES constituents, legislators and special interest groups.
- E2** Provide advocacy and necessary training and information to those seeking disaster assistance.
- E3** Anticipate and address recovery issues with local governments, state agencies, private organizations and the federal government in a timely and effective manner.
- E4** Establish programs and streamline processes to improve customer service.

Goal F

To provide effective management of OES programs through pro-active use of state-of-the-art technology, aggressive pursuit of high quality personnel and resources management standards, and the ability to accelerate processes during emergency response and recovery.

Objectives

- F1** Improve the agency's ability to maintain day-to-day operations during disaster response and recovery periods.
- F2** Streamline and standardize administrative and program procedures.
- F9** Improve communications with OES constituents, legislators and special interest groups.

Continued on next page

Appendix B – State OES Goals and Objectives, Continued

Goal G

To ensure that emergency managers, OES staff and the affected public receive comprehensive and relevant skill development through training and exercises in emergency management, public awareness programs and professional job-specific training.

Objectives

- G1** Provide professional development training to OES staff and essential emergency services training to OES staff, state and local agencies, as well as other segments of the emergency management community.
 - G3** Exercise major response and recovery plans and planning guidance for Regions, other state agencies and OAs.
-

Appendix C – Forms

Forms

The forms required for this grant include the following:

- Application for Assistance
 - Program Narrative
 - Budget Summary Worksheet
 - Governing Body Resolution
 - Grant Assurances
 - Reimbursement Request
-

**FY 2004 Emergency Management Performance Grant
Application for Assistance**

Applicant: _____
(County)

Contact Information:

Authorized Agent Mailing Address

Name/Title

City, State, Zip Code

Area Code/Office Telephone Number

E-Mail Address

<i>Allocated Amount (from Appendix A)</i>	\$ _____
<i>Amount Requested per Budget Summary Worksheet</i>	\$ _____

Application Checklist – The following items must be included with this grant application package:

- | | |
|----------------------------------|---|
| _____ Application for Assistance | _____ Governing Body Resolution (if required) |
| _____ Program Narrative | _____ Grant Assurances (if required) |
| _____ Budget Summary Worksheet | |

Certification and Signature of Authorized Agent

I am the duly appointed Authorized Agent and have the authority to apply for this grant and submit this application on behalf of the Operational Area.

Signature of Authorized Agent

Printed Name

Title

Date

For OES USE ONLY

Application Reviewed/Grant Award Approved: _____
Signature *Date*

Grant Performance Period: October 1, 2003 to September 30, 2004

OES ID # _____-00000 Catalog of Federal Domestic Assistance #97.042

Award # EMF-2004-GR-0402

PROJECT NARRATIVE

Applicant Name:

Award Number: EMF-2004-GR-0402

Project #:

Project Title:

Goal/Objective (from Appendix B) Supported by the Project:

Project Description:

Performance Measures – (How will progress be measured?):

BUDGET SUMMARY WORKSHEET

Line Item	Project #1	Project #2	Project #3	Project #4	Project #5	Project #6	Project #7	Project #8	TOTAL
Personal Services									
Equipment									
Operating Expenses									
Travel									
Contractors/consultants									
Pass thru to locals									
Indirect Costs (Overhead)									
TOTAL									

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 or Title of Authorized Agent)

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

Passed and approved this _____ day of _____, 20_____

Certification

I, _____, duly appointed and
(Name)

_____ of the _____
(Title) (Governing Body)

do hereby certify that the above is a true and correct copy of a resolution passed and approved by the _____ of the _____ on the
(Governing body) (Name of Applicant)

_____ day of _____, 20_____.

(Official Position)

(Signature)

(Date)

Instruction Sheet for the Governing Body Resolution

Purpose

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

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, submit the following information, with the resolution, to OES on the applicant's letterhead:

- Jurisdiction
 - Grant Program
 - Name
 - Title
 - Address
 - City
 - Zip Code
 - Telephone
 - Fax #
 - Cell Phone #
 - E-Mail Address
-

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 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.
-

Grant Assurances

Name of Applicant: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone Number: (____) _____

Fax Number: (____) _____

E-Mail Address: _____

As the duly authorized representative of the applicant, I certify that the applicant named above:

1. Has the legal authority to apply for federal assistance, and has the institutional, managerial and financial capability to ensure proper planning, management and completion of the grant provided by the federal Department of Homeland Security and subgranted through the State of California.
2. Will assure that grant funds are only used for allowable, fair and reasonable costs.
3. 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; and will establish a proper accounting system in accordance with generally accepted accounting standards or awarding agency directives.
4. Will provide performance reports and such other information as may be required by the awarding agency.
5. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
6. 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 for themselves or others, particularly those with whom they have family, business or other ties.
7. Will comply, if applicable, with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

8. Will comply with all federal statutes relating to nondiscrimination. These include but are not limited to:
 - a. Title VI of the Civil Rights Act of 1964 (P.L. 88-352), as amended, which prohibits discrimination on the basis of race, color or national origin;
 - b. Title IV of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683 and 1685-1686), which prohibits discrimination on the basis of sex;
 - c. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794) which prohibits discrimination on the basis of handicaps;
 - d. The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107) which prohibits discrimination on the basis of age;
 - e. The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended, relating to nondiscrimination on the basis of drug abuse;
 - f. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
 - g. Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records;
 - h. Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing;
 - i. Title 44, Code of Federal Regulations, Part 19;
 - j. Any other nondiscrimination provisions in the specific statute(s) under which application for federal assistance is being made, and
 - k. The requirements on any other nondiscrimination statute(s) which may apply to the application.

9. Will comply, or has already complied, 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 provides 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 interested in real property acquired for project purposes regardless of federal participation in purchases.

10. Will comply, if applicable, with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following:
 - a. institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514;
 - b. notification of violating facilities pursuant to EO 11738;
 - c. protection of wetlands pursuant to EO 11990;
 - d. evaluation of flood hazards in floodplains in accordance with EO 11988;
 - e. assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.);
 - f. conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
 - g. protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and
 - h. protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq).
14. Will comply with Standardized Emergency Management System (SEMS) requirements as stated in the California Emergency Services Act, Government Code, Chapter 7 of Division 1 of Title 2, Section 8607.1(e) and CCR Title 19, Sections 2445, 2446, 2447 and 2448.
15. Has requested through the State of California, federal financial assistance to be used to perform eligible work approved in the applicant's application for federal assistance. Will, after the receipt of federal financial assistance, through the State of California, agree to the following:
 - a. Promptly return to the State of California all the funds received which exceed the approved, actual expenditures as accepted by the federal or state government.
 - b. In the event the approved amount of the grant is reduced, the reimbursement applicable to the amount of the reduction will be promptly refunded to the State of California.
 - c. Separately account for interest earned on grant funds, and will return all interest earned, in excess of \$100 per federal fiscal year.

16. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. Sections 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
17. Will comply with provisions of the Hatch Act (5 U.S.C. Sections 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.
18. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
19. Will comply, if applicable, with the Laboratory Animal Welfare Act of 1966 (P. L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
20. Will comply with the minimum wage and maximum hour provisions of the Federal Fair Labor Standards Act (29 U.S.C. 201), as they apply to employees of institutions of higher education, hospitals, and other non-profit organizations.
21. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. Section 276a to 276a-7), the Copeland Act (40 U.S.C. Section 276c and 18 U.S.C. Sections 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. Sections 327-333), regarding labor standards for federally assisted construction sub-agreements.
22. Will not make any award or permit any award (subgrant or contract) to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549 and 12689, "Debarment and Suspension" and 44 CFR Part 17.

23. Agrees 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 any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement.
 - b. If any other funds 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 an employee of Congress, or employee of a Member of Congress in connection with the federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," 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 subgrants, contracts under grants and cooperative agreements, and subcontract(s) and that all sub recipients shall certify and disclose accordingly.
 - d. 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.
24. Agrees that equipment acquired or obtained with grant funds:
- a. Will be made available under the California Disaster and Civil Defense Master Mutual Aid Agreement in consultation with representatives of the various fire, emergency medical, hazardous materials response services, and law enforcement agencies within the jurisdiction of the applicant.
 - b. Will be made available pursuant to applicable terms of the California Disaster and Civil Defense Master Mutual Aid Agreement in a manner consistent with the California Law Enforcement Mutual Aid Plan or the California Fire Services and Rescue Mutual Aid Plan.
25. Agrees that funds awarded under this grant will be used to supplement existing funds for program activities, and will not supplant (replace) funds that have been appropriated for the same purpose.
26. Will comply with all applicable federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars A-87 and A-133, E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements contained in Title 44, Code of Federal Regulations, Part 13, that govern the application, acceptance and use of Federal funds for this federally-assisted project.

27. Will ensure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of this project are not listed in the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal Grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
28. Will comply with Subtitle A, Title II of the Americans with Disabilities Act (ADA) 1990.
29. Will comply, if applicable, with the provision of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.
30. Will comply with all applicable requirements of all other federal laws, executive orders, regulations, program and administrative requirements, policies and any other requirements governing this program.
31. Understands that failure to comply with any of the above assurances may result in suspension, termination or reduction of grant funds.

The undersigned represents that he/she is authorized by the above named applicant to enter into this agreement for and on behalf of the said applicant.

Signature of Authorized Agent: _____

Printed Name of Authorized Agent: _____

Title: _____ Date: _____

Emergency Management Performance Grant Reimbursement Request for Grant Expenditures

Award # _____

Mail Reimbursement Request to:

Applicant: _____
County

Governor's Office of Emergency Services
Grant Payments Unit
Post Office Box 419023
Rancho Cordova, CA 95741-9023

OES ID #: _____

Please mark this box to indicate a change in the Authorized Agent Mailing Address below

Project #	Expenditure Period (from/to dates)	Total Expenditures for the Expenditure Period
Grand Total		

Under penalty of perjury, I certify that:

- I am the duly authorized officer of the claimant herein.
- This claim is in all respects true, correct, and all expenditures were made in accordance with applicable laws, rules, regulations and grant conditions and assurances.

Authorized Agent (Per Governing Body Resolution)

Printed Name

Phone Number

Title

E-Mail Address

Mailing Address

Fax No.

City, State, Zip Code

Signature

Date

Instruction Sheet for the Reimbursement Request

Applicant	The applicant is the county, as identified in the original grant application. Do not identify any sub-departments or offices as the applicant.
Award Number	The award number is identified on the <i>Notification of Application Approval</i> letter.
OES ID #	The OES ID# is the county's identification number as indicated on the <i>Notification of Application Approval</i> letter.
Address Changes	Indicate a change in address by checking the box shown and noting the new address in the area marked "mailing address".
Project Number	Indicate the project number as noted for the project on the Project Narrative and Budget Worksheet.
Expenditure Period	<p>Indicate the expenditure period for which funds are being requested. Identify the month and year for the beginning and ending of the period covered by this request. <i>This is not the performance period listed on the Notification of Application Approval letter.</i> The grant recipient may indicate different from/to dates for each project.</p> <p>The expenditure period cannot cross state fiscal years, therefore, separate requests must be submitted for expenditures incurred on or before June 30, and on or after July 1.</p>
Total Expenditures for the Expenditure Period	Indicate the total expenditures for the expenditure period. Based upon the total expenditures and amounts previously paid to the grant recipient, the state will automatically calculate the funds that can be paid, and will process a payment request for that amount.
Authorized Agent Information	Complete all line items requested and ensure that the form is signed by an Authorized Agent named in the Governing Body Resolution
Mail	Mail the original to the address identified at the top of the request form.
Supporting Documents	Supporting documents are not required to be submitted with the Reimbursement Request; however, OES reserves the right to request documentation at any time. Grant recipients are reminded to maintain documents that support the expenditure amounts shown on the request.

Appendix D – Acronyms

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

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

RPU	Radiological Preparedness Unit (OES)
RRT	Regional Response Team
SARA	Superfund Amendments & Reauthorization Act
SAP	Safety Assessment Program
SBA	Small Business Administration
SEMS	Standardized Emergency Management System
SEPIC	State Emergency Public Information Committee
SLA	State and Local Assistance
SONGS	San Onofre Nuclear Generating Station
SOP	Standard Operating Procedure
SWEPC	Statewide Emergency Planning Committee
TRU	Transuranic
UPA	Unified Program Account
USAR	Urban Search and Rescue
USGS	United States Geological Survey
WC	California State Warning Center
WIPP	Waste Isolation Pilot Project
WMD	Weapons of Mass Destruction