



Cal OES
GOVERNOR'S OFFICE
OF EMERGENCY SERVICES

January 2016

**Biannual Strategy Implementation
Report (BSIR)/Financial Management
Forms Workbook (FMFW) Workshops**

**Homeland Security Grants
Processing Unit**

Workshop Locations

**Monday, January 11, 2016
Webinar**

**Tuesday, January 12, 2016
Dublin**

**Thursday, January 14, 2016
Santa Ana**

**Friday, January 15, 2016
Sacramento**

**Tuesday, January 19, 2016
Webinar**

Topics of Discussion

- Introduction of Homeland Security Grants Processing Unit
- Overview of Financial Management Forms Workbook(FMFW) v1.15a
- Reimbursements, Advances, Modification Requests, and Amendments
- Post Award Requirements



Introduction

The primary responsibility of the Homeland Security Grants Processing Unit(HS Grants Processing) is to process requests for Advances, Reimbursements, Modifications, and Amendments for Homeland Security Grant Programs. HS Grants Processing is also the lead in providing grant related information to support Cal OES's annual report, California's State Preparedness Report (SPR), and fiscal reports to the legislature.

The Homeland Security Grants Processing Unit also:

- Conducts workshops to our subrecipient on the FMFW and BSIR
- Programs the FMFW
- Completes the Monthly Accomplishment Summaries Report which is posted on the Cal OES website



FMTW v1.15a

Overview

- Excel format with Macro and Non-Macro versions
- Living Document
- Used as a resource and reference for completing the BSIR in the Grants Reporting Tool(GRT)
- Foundation for project planning
- Used for multiple grant programs

Note: *Separate Workbooks should be used for each Grant Program*

***Remember:**

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



Where is the FMFW?

- Go to www.CalOES.ca.gov
- Select “Cal OES Divisions” from the menu options at the top
- Select “Grants Management”
- Select “Grants Processing Programs”
- Select Homeland Security Grants Processing;
[Financial Management Forms Workbook...](#)
- Select the version of the Financial Management Forms Workbook you need:
 - Financial Management Forms Workbook v1.15a for FY 2015 grants*
 - Financial Management Forms Workbook v1.14 for FY 2014 grants*

Open and save the FMFW either to your hard drive, shared drive, or desktop.

Note: Save the FMFW in ‘Excel 97-2003 Workbook(.xls)’ format

May also be saved as ‘Excel Macro-Enabled Workbook(.xlsm)’ format
by Excel 2007 & 2010 users



FMFW v1.15a Composition

Comprised of seventeen(17) tabs. Below is a list of the tabs in order of their appearance in the FMFW:

- Instructions
- Grant Subaward Face Sheet
- Authorized Body of 5 & Contact
- FFATA Financial Disclosure
- Project Descriptions
- Project Ledger
- Planning
- Organization
- Equipment
- Training
- Exercise
- M&A
- Indirect Costs
- Consultant-Contractor
- Personnel
- Authorized Agent
- Summary



Instructions

Provides detailed information on how to complete the
Financial Management Forms Workbook(FMFW)



Grant Subaward Face Sheet

- Use the Grant Subaward Face Sheet(GSFS) to apply for grant programs. Each grant program requires its own separate GSFS
- The GSFS has been formatted to print in 'portrait' mode; GSFS submitted in 'landscape' mode **will be returned** and a new one will need to be submitted
- Please provide an **original signature** of the Authorized Official



Authorized Body of 5-Signature and Contact Information

- Use this page to list the Authorized Body of 5, Contact Information and any additional Authorized Agents (if applicable)
- It's a good idea to have at least one additional Authorized Agent (AA) listed. If one AA is not available, a second AA can sign requests for reimbursements, modifications, or amendments



FFATA Financial Disclosure

- The FFATA Financial Disclosure is used to provide information required by the Federal Funding Accountability and Transparency Act of 2006
- If your organization is not subject to the FFATA Financial Disclosure requirements, check the “Not Subject to FFATA Financial Disclosure” box at the bottom of the page



Project Descriptions

- The Project Descriptions is used to identify the State Investment Justification, Goals/Objectives, Project Descriptions, Mission Areas, Core Capabilities, Capabilities Building, Need, and Project Milestones/Justifications
- Be as descriptive and concise as possible using terms that are universally recognized. Include Project Letters when entering in the BSIR

***Note:**

The maximum is 1,000 characters including spaces and a maximum of 20(A-T) projects



Project Ledger

- The Project Ledger is the basis for all project planning and the backbone of the FMFW.
- List all projects in alphabetical order(A-T)
- Used as a resource for calculating and determining Law Enforcement minimum requirement
- Provides real time project balance including Total Approved, Remaining Balance and Percentage Complete



Planning

- The Planning Tab is used to identify all planning activities
- Provide the Final Product for each planning activity and Sole Source Procurement Information (if applicable)
- Contact your Program Representative for more information or examples of Final Product



Organization

- Use the Organization Tab to identify organizational activities
- Contact your Program Representative for more information



Equipment (a)

- The Equipment Tab is used to list all equipment. Provide the Authorized Equipment List(AEL) Number and Title and Sole Source Procurement Information(if applicable)
- Reimbursement requests may not be processed without this information



Equipment (b)

Find the Authorized Equipment List(AEL) Number and Title at:
<https://www.fema.gov/media-library/assets/documents/101566>

Select the “Navigation” link, then select “Authorized Equipment List”

Equipment may be searched by item number, item title, keyword, or grant program



FEMA

Navigation

Search

Languages

Multimedia (Photos, Video, and Audio)

Multimedia Collections

Documents and

DHS Authorized Equipment List (AEL)

DHS Authorized Equipment List (AEL).

	Size	Publication Date
DHS Authorized Equipment List (AEL) DHS Authorized Equipment List (AEL). Last update: May 7, 2015.	1.07M	

FEMA

Navigation

Search

Languages

Authorized Equipment List

The Authorized Equipment List (AEL) is a list of approved equipment types allowed under FEMA's preparedness grant programs. The intended audience of this tool is emergency managers, first responders, and other homeland security professionals. The list consists of 21 equipment categories divided into sub-categories, tertiary categories, and then individual equipment items. NOTE: There are no commercially available products listed; it only consists of equipment types. [Download a printable version of the Authorized Equipment List](#)

Search

Search by item number, item title, keyword, or grant program and then click Go. Search results display below.

Primary Category **Sub-category**

- Any - - Any -

Tertiary Category

- Any -

Select a primary category and a sub-category and then click Go.

Training (a)

- The Training Tab identifies approved training activities
- Provide the Total number of Trainee(s), Sole Source Procurement Information (if applicable), Environmental Planning and Historic Preservation(EHP) Approval Date (if applicable) and Feedback Number for training activities
- Reimbursement requests may not be processed without this information



Training (b)

To obtain the Feedback Number from www.CalOES.ca.gov.

1. From the homepage of the Cal OES website, type in “Training Request Form”; in the Search Box
 - a. Click on “California Specialized Training Institute”
 - b. Scroll to bottom of page
 - c. Click on “TRAINING REQUEST FORM”
2. Or follow the direct link below to the “Training Request Form”; at:
<http://w3.calema.ca.gov/WebPage/trainreq.nsf/TrainRequest?OpenForm>



Training Request Form Training Officer (POC)

First Name:	<input type="text"/>
Last Name:	<input type="text"/>
Email:	<input type="text"/>
Phone Number:	<input type="text"/>
Course Title:	<input type="text"/>
Level of Training:	Awareness <input type="button" value="v"/>
Disciplines Trained:	<input type="checkbox"/> Law Enforcement <input type="checkbox"/> Emergency Medical Services <input type="checkbox"/> Emergency Management Agency <input type="checkbox"/> Fire Service <input type="checkbox"/> Hazardous Material <input type="checkbox"/> Public Works <input type="checkbox"/> Governmental Administrative <input type="checkbox"/> Public Safety Communications <input type="checkbox"/> Health Care <input type="checkbox"/> Public Health <input type="checkbox"/> Other
Training Provider:	<input type="text"/>
Course From Date:	<input type="text"/> <input type="button" value="select"/>
Course To Date:	<input type="text"/> <input type="button" value="select"/>
Number of Individuals:	<input type="text"/>
State:	<input type="text"/>
Urban Area:	Anaheim <input type="button" value="v"/>
Sponsoring Jurisdiction:	<input type="text"/>
Total Cost:	<input type="text"/>
Grant Programs:	CCP <input type="button" value="v"/>
Grant Year:	2010 <input type="button" value="v"/>

States, territories, and urban areas intending to use NTED funds to support attendance at qualified state-sponsored training courses must meet the following guidelines:

Exercise

- The Exercise Tab is used to identify all exercise activities
- Provide the Environmental Planning and Historic Preservation(EHP) Approval Date, Sole Source Procurement Information, and After Action Report(AAR) information if applicable
- Reimbursement requests may not be processed without this information



Management & Administration(M&A)

Use the M&A Tab to provide detailed information on Management and Administration activities



Consultant/Contractor

The Consultant/Contractor Tab tracks information on:

- Who is being paid with grant funds;
- What consultant/contractor costs are being charged to the grant; and
- Keeps a breakdown of billable hours



Personnel

Use the Personnel Tab to provide information on:

- Who is being paid with grant funds
- What staff costs are being charged to the grant



Indirect Costs

Use the Indirect Cost Tab to provide detailed information on Indirect Cost activities



Authorized Agent

- Submit one Authorized Agent Page for each Reimbursement, Advance, and Modification Request.
- The expenditure dates *must* match the date on the payment request
- The “REIMB or MOD Request #” and the “Amount This Request” fields must be completed
- Please provide the name and title of the Authorized Agent
- Please provide an **original signature** of the Authorized Agent



Advances, Modification Requests, and Amendments



Advance Requirements

The following rules apply to Advance requests:

- Expended within 120 days of receipt
- Federal guidelines require Advances must be deposited into an interest bearing account and the interest must be tracked
- Unexpended funds must be returned to Cal OES and modified into the FMFW



Advance Requirements (continue)

- Subrecipients may retain \$500 interest per Federal Fiscal Year for administrative expenses (per year, not per award) (FFY is October 1 through September 30)
- Interest earned over \$500 per Federal Fiscal Year must be returned to Cal OES on a quarterly basis

California Governor's Office of Emergency Services
Homeland Security Grants Processing Unit
3650 Schriever Avenue
Mather, CA 95655



Modification Requests

- State Agencies are not permitted any changes or Modification to the submitted application without prior approval from Cal OES
- Requested funds must be consistent with the Modification
- Report changes in the BSIR via the Grants Reporting Tool (GRT)



Amendments

- The Grant Subaward Amendment Form will be used to increase or decrease Grant Subaward amounts, disencumber funds and request extension of original performance period
- Request the form from your Program Representative
- Please provide an **original signature** of the Authorized Agent on the Amendment



CALIFORNIA GOVERNOR'S OFFICE OF EMERGENCY SERVICES				
GRANT SUBAWARD AMENDMENT			SUBAWARD #:	
Federal Grant #	FIPS#	Amendment#		
Project #	DUNS#	Performance Period	to	
This amendment is between the California Governor's Office of Emergency Services, hereafter called Cal OES, and the Grant Subrecipient:				
Subrecipient (Certification and Signature of Authorized Agent)				
By (Authorized Signature)			Date	
Printed Name			Title	
Address				
Governor's Office of Emergency Services (For Cal OES use only)				
By Director or Designee			Date	
Printed Name			Title	
Amount Encumbered by this Document	Program/Component	Match	Item	
Prior Amount Encumbered	Fund Source	Chapter	Statute	Fiscal Year
Total Amount Encumbered to Date	PCA #	Project #	CFDA #	
I hereby certify upon my own personal knowledge that budgeted funds are available for the period and purpose of the expenditure stated above.				
Signature of Cal OES Fiscal Officer			Date	

Grant Subaward Amendment – Cal OES 2-213 (Revised 7/2015)

Post Award Requirements



Closeout

- You will continue to submit your BSIR until your Performance Period ends
- Record Retention Period is **3 years** from the date of your final BSIR submittal showing all grant funds have been expended. Once the final BSIR is submitted, Cal OES will report on your behalf. (Refer to 2 CFR; Part 200 § 200.333)
- A closeout letter will be issued for your records
- Closed grants may still be monitored/audited during the Record Retention Period



Important Links

- California Governor's Office of Emergency Services:
www.caloes.ca.gov
- Authorized Equipment List:
<https://www.fema.gov/media-library/assets/documents/101566>
- Training Request Form:
<http://w3.calema.ca.gov/WebPage/trainreq.nsf/TrainRequest?OpenForm>



The Homeland Security Grants Processing Unit

Gina Avelar, Program Analyst
(916) 845-8647
Gina.Avelar@CalOES.ca.gov

Dora Gomez, Program Analyst
(916) 845-8656
Dora.Gomez@CalOES.ca.gov

Ed Allen, Program Analyst
(916) 845-8227
Edward.Allen@CalOES.ca.gov



Questions?

Thank you for your time! We appreciate all of your hard work, and look forward to helping in any way we can!