



June 30, 2016

Jimmy Leong
Principal Engineer
San Francisco, City and County
525 Golden Gate Avenue
San Francisco, CA 94102

Subject: Notification of Subapplication Approval
Hazard Mitigation Grant Program
FEMA-4158-DR-CA, Project #0272, FIPS #075-00000

Dear Mr. Leong:

The California Governor's Office of Emergency Services (Cal OES) received notification that the Federal Emergency Management Agency (FEMA) has fully approved your organization's Subaward application in the amount of **\$404,208.00**. A copy of the FEMA award package is enclosed for your records.

In order to receive payment, all subrecipient must have a current (within the last 3 years), valid Governing Body Resolution and updated Grant Assurances on file with our office (sample copies enclosed). These forms may be downloaded in an electronic format at www.caloes.ca.gov following the links: *Cal OES Divisions; Recovery; Disaster Mitigation & Technical Support; 404 Hazard Mitigation Grant Program; HM Post Obligation Documents*. Please complete the electronic forms and the enclosed "Supplemental Grant Subaward Information" sheet and return them to the address below within 30 Days. Payments will be made on a reimbursement basis using the Hazard Mitigation Reimbursement Form. A ten percent (10%) retention will be withheld from all reimbursement payments and will be released as part of the subgrant closeout process.

Reimbursements can be made for only items listed on the approved subaward application; expenditures for any other work should be separately maintained and are the sole responsibility of the subrecipient. Any funds received in excess of current needs or approved amounts, or those found owed as a result of a final inspection or audit must be refunded to the State within 30 days of receipt of an invoice from Cal OES.

Please read all enclosed documents prior to initiating the approved project. For further assistance please contact the Hazard Mitigation Grants at (916) 845-8150.

Grants Processing Unit

Enclosures

c: Applicant's File

3650 SCHRIEVER AVENUE • MATHER, CA 95655
GRANTS PROCESSING UNIT
(916) 845-8150 • (916) 636-3880 FAX

Case

U.S. Department of Homeland Security
1111 Broadway, Suite 1200
Oakland, CA 94607-4052



FEMA

June 6, 2016

Charles Rabamad
Governor's Authorized Representative
California Office of Emergency Services
3650 Schriever Avenue
Mather, CA 95655



PS0272

Reference: Phase One Approval, HMGP #4158-272-2R
City and County of San Francisco
Early Intake Switchyard Slope Stabilization Project
Supplement #12

Dear Mr. Rabamad:

This letter is in response to your April 27, 2016, letter which requested Phase One funds for the above-referenced project from the City and County of San Francisco (Subgrantee), and our decision is to approve Pre-Award Costs and Phase One funding. The Subgrantee shall submit information for the continuation of our National Environmental Policy Act (NEPA) review, and we are also requesting the completion of the engineering design to expedite our review process.

The approved Pre-Award Cost is \$54,330, and the approved Phase One estimate is \$540,011. As shown in the enclosed Supplement #12 Obligation Report, we obligated a 68 percent requested Federal share of \$36,950 for the Pre-Award and \$367,258 for the Phase One. The total Pre-Award and Phase One costs are \$594,341, and the \$404,208 Federal share funding is now available in Smartlink for eligible reimbursements.

This HMGP approval and obligation of funds are subject to the following:

1. **Phase One Scope of Work (SOW)** – The activities that are referenced in the Subapplication Cost Estimates are as follows:
 - a. Completion of the engineering design - The Subgrantee shall submit final detailed engineering design and a narrative project description for FEMA's NEPA compliance.
 - b. Environmental Study Report.

2. **Completion Date and Milestones** – A ten-month timeframe to complete the Phase One SOW is anticipated. We have annotated April 6, 2017, or sooner, as the Phase One activity completion date. Federal funds may be de-obligated for work that is not completed by the completion date, and for which no time extension is approved.

3. **Categorical Exclusion** – In accordance with 44 CFR 10.8(d)(3)(iii), the Phase One is categorically excluded from the need to prepare either an environmental assessment or environmental impact statement. Phase One will not involve ground disturbing activity without FEMA approval, and there is no commitment of resources other than personnel and associated funding.

June 6, 2016

Page 2

4. **Cost Underruns** - Phase One underrun funds shall be applied to the construction funding or de-obligated.
5. **Project Budget** - Upon completion of the Phase One, an updated line-item cost estimate, indicating federal and matching funds, is required if the proposed total project cost is increased more than 10 percent or if the project scope of work is modified.

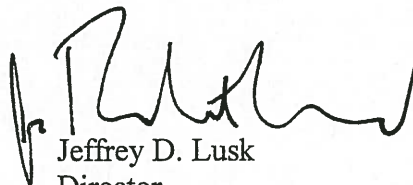
If the estimated project cost increases more than 10 percent, a revised benefit-cost analysis (BCA) may be required which could result in a project that is not cost-effective, requiring project withdrawal and de-obligation of any remaining funds.

6. The Subgrantee is not to initiate construction until we notify your office in writing that the process is completed. If FEMA determines the project meets NEPA requirements, the project will be eligible for funding under a Phase Two construction approval. The Phase One is part of the project's total estimated cost, and subject to the Subgrantee's cost share.
7. This award is subject to the enclosed *Standard Hazard Mitigation Grant Program Conditions*, as amended February 2005. Federal funds may be de-obligated for work that does not comply with these conditions.

This is not our final decision, and failure to provide additional requested information may jeopardize funding for the entire project.

If you have any questions or need further assistance please contact me, or your staff may contact Aaron Lim, Hazard Mitigation Assistance Specialist, at (510) 627-7036 or aaron.lim@fema.dhs.gov.

Sincerely,



Jeffrey D. Lusk
Director
Mitigation Division
FEMA, Region IX

Enclosures (3):

Supplement #12 Obligation Report
Project Management Report
Standard HMGP Conditions

cc: Marcia Sully, Cal OES
Robin Shepard, Cal OES
Monika Saputra, Cal OES

FEDERAL EMERGENCY MANAGEMENT AGENCY
HAZARD MITIGATION GRANTS PROGRAM
Obligation Report w/ Signatures

Disaster No	FEMA Project No	Amendment No	State Application ID	Action No	Supplemental No	State	Grantee
4158	2-R	0	272	1	12	CA	Statewide

Subgrantee: SAN FRANCISCO PUBLIC UTILITIES COMMISS Project Title : City and County of San Francisco Early Intake Switchyard Slope Stabilization
Subgrantee FIPS Code: 075-UBYA4

Total Amount Previously Allocated	Total Amount Previously Obligated	Total Amount Pending Obligation	Total Amount Available for New Obligation	Project Amount	Grantee Admin Est	Subgrantee Admin Est	Total Obligation	IFMIS Date	IFMIS Status	FY
\$404,208	\$404,208	\$0	\$0	\$404,208	\$0	\$0	\$404,208	06/06/2016	Accept	2016

Comments

Date: 06/06/2016 User Id: KMOJICA

Comment: Phase One funding and pre-award costs.

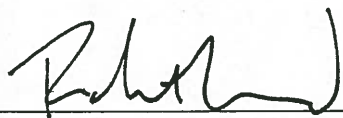
Authorization

Preparer Name: KAREN MOJICA

Preparation Date: 06/06/2016

HMO Authorization Name: AARON LIM

HMO Authorization Date: 06/06/2016



Authorizing Official Signature

HMA BC

Authorizing Official Title

6-6-16

Authorization Date

Authorizing Official Signature

Authorizing Official Title

Authorization Date

06/06/2016
10:36 AM

FEDERAL EMERGENCY MANAGEMENT AGENCY
HAZARD MITIGATION GRANT PROGRAM

HMGP-AP-01

Project Management Report

Disaster Number	FEMA Project Number	Amendment Number	App ID	State	Grantee
4158	2-R	0	272	CA	Statewide

Subgrantee: SAN FRANCISCO PUBLIC UTILITIES COMM

FIPS Code: 075-UBYA4

Project Title : City and County of San Francisco Early Intake Switchyard Slope Stabilization

Mitigation Project Description

Amendment Status : Approved

Approval Status: Approved

Project Title : City and County of San Francisco Early Intake Switchyard Slope Stabilization

Grantee : Statewide

Subgrantee : SAN FRANCISCO PUBLIC UTILITIE

Grantee County Name : San Francisco

Subgrantee County Name : San Francisco

Grantee County Code : 75

Subgrantee County Code : 75

Grantee Place Name : San Francisco

Subgrantee Place Name : San Francisco

Grantee Place Code : 0

Subgrantee Place Code : 67000

Project Closeout Date : 00/00/0000

Work Schedule Status

Amend #	Description	Time Frame	Due Date	Revised Date	Completion Date
0	Design	10 mos	00/00/0000	00/00/0000	00/00/0000
0	Bid and Award	3 mos	00/00/0000	00/00/0000	00/00/0000
0	Mobilization/Office Engineering	4 mos	00/00/0000	00/00/0000	00/00/0000
0	On-site construction	3 mos	00/00/0000	00/00/0000	00/00/0000
0	Demobilization	1 mo	00/00/0000	00/00/0000	00/00/0000
0	As-built Drawings	1 mo	00/00/0000	00/00/0000	00/00/0000
0	Contract closeout	2 mos	00/00/0000	00/00/0000	00/00/0000

Approved Amounts

Total Approved Net Eligible	Federal Share Percent	Total Approved Federal Share Amount	Non-Federal Share Percent	Total Approved Non-Fed Share Amount
\$594,341	68.009440000	\$404,208	31.990560000	\$190,133

Allocations

Allocation Number	IFMIS Status	IFMIS Date	Submission Date	FY	ES Support Req ID	ES Amend Number	Proj Alloc Amount Fed Share	Grantee Admin Amount	Subgrantee Admin Amount	Total Alloc Amount
13	A	06/04/2016	06/03/2016	2016	2548515	4	\$404,208	\$0	\$0	\$404,208
Total							\$404,208	\$0	\$0	\$404,208

Obligations

Action Nr	IFMIS Status	IFMIS Date	Submission Date	FY	ES Support Req ID	ES Amend Number	Suppl Nr	Project Obligated Amt - Fed Share	Grantee Admin Amount	Subgrantee Admin Amount	Total Obligated Amount
1	A	06/06/2016	06/06/2016	2016	2584966	12	12	\$404,208	\$0	\$0	\$404,208
Total								\$404,208	\$0	\$0	\$404,208

Standard Hazard Mitigation Grant Program (HMGP) Conditions
Prepared by FEMA Region IX, Updated February, 2005

The following standard requirements apply to grantees and subgrantees accepting funds from the Federal Emergency Management Agency (FEMA) HMGP:

1. **Applicable Federal, State and Local Laws and Regulations.** The grantee and subgrantee must comply with all applicable Federal, State and Local laws and regulations, regardless of whether they are specifically identified in this list or other project documents.
2. **Standards for Financial Management Systems.** Grantees and subgrantees must maintain financial management systems to account for and track grant funds, in compliance with the Code of Federal Regulations, Title 44 (44 CFR) Section 13.20.
3. **Allowable Costs.** Grant funds may only be used for allowable costs, in compliance with 44 CFR Section 13.22, and in compliance with the approved grant project scope of work and any agreements among the subgrantee, the grantee, and FEMA.
4. **Subgrantee Indirect Costs.** No indirect costs of a subgrantee are separately eligible for HMGP reimbursement, in compliance with 44 CFR Section 206.439(c)(2). Such costs are covered by the Subgrantee Administrative Cost allowance formula provided by 44 CFR Section 206.439(b)(1)(ii).
5. **Matching or Cost Sharing.** Non-federal matching or cost sharing must be in accordance with 44 CFR Section 13.24, the approved grant project scope of work, and any agreements among the subgrantee, the grantee, and FEMA.
6. **Non-Federal Audit.** The grantee and subgrantee are responsible for obtaining audits in accordance with the Single Audit Act of 1984, in compliance with 44 CFR Section 13.26.
7. **NEPA Reviews for Scope of Work Amendments.** To comply with the National Environmental Policy Act (NEPA), additions or amendments to a HMGP subgrantee statement of work (SOW) shall be reviewed by all state and federal agencies participating in the NEPA process. NEPA compliance for all SOW additions or amendments is essential before the revised SOW can be approved by FEMA or implemented by the HMGP subgrantee. Any construction activities associated with a SOW change, prior to FEMA approval, may be ineligible for reimbursement or match.
8. **Cost Overruns.** Subgrantees should be referred to the state HMGP administrative plan for project cost overrun regulations. If project costs exceed the approved federal share, the subgrantee must contact the Governor's Authorized Representative. The GAR will evaluate requests for cost overruns. Written determination of cost overrun eligibility in accordance with 44 CFR 206.438(b) shall be submitted by the GAR to the FEMA Regional Director.
9. **Real Property (Land).** If real property (land) is acquired under an HMGP grant, the use and disposition of the property shall be in compliance with 44 CFR Section 13.31 and Section 206.434(d).
10. **Equipment.** If equipment is acquired under an HMGP grant, the use and disposition of the equipment shall be in compliance with 44 CFR Section 13.32.
11. **Supplies.** If there is a residual inventory of unused supplies exceeding \$5,000 in total fair market value upon completion of the HMGP grant, and if the supplies are not needed for any other federally sponsored programs or projects, the grantee or subgrantee shall compensate the awarding agency for its share (44 CFR Section 13.33).

12. **Copyrights.** In accord with 44 CFR Section 13.34, FEMA reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for Federal Government purposes:
 - (a) The copyright in any work developed under a grant, subgrant, or contract under a grant or subgrant; and
 - (b) Any rights of copyright to which a grantee, subgrantee or a contractor purchases ownership with grant support.
13. **Subawards to debarred and suspended parties.** In accordance with 44 CFR Section 13.35, the grantee and subgrantees must not make any award or permit any award (subgrant or contract) at any tier 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, "Debarment and Suspension."
14. **Procurement.** Procurement procedures shall be in conformance with 44 CFR Section 13.36.
15. **Monitoring and Reporting Program Performance.** The grantee and subgrantees must submit quarterly progress reports, in accord with 44 CFR Section 13.40 and the State HMGP Administrative Plan.
16. **Retention and Access Requirements for Records.** In accordance with 44 CFR Section 13.42, financial and programmatic records related to expenditure of funds on grant-supported projects shall be maintained at least 3 years following the date the grantee submits its final expenditure report on the project.
17. **Enforcement.** If a grantee or subgrantee materially fails 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, FEMA may take one or more of the actions outlined in 44 CFR Section 13.43, including termination of the grant.
18. **Termination for Convenience.** Grant awards may be terminated for convenience through the procedures outlined in 44 CFR Section 13.44.
19. **Discovery of Historic Properties and Cultural Resources.** In accordance with 36 CFR Part 800, in the event a potential historic property or cultural resource is discovered during construction activities, the subgrantee must cease work in the vicinity of the discovery and take all reasonable measures to avoid or minimize harm to the discovered property/resource. Construction activities in the area of the discovery shall not resume until FEMA concludes consultation with the State Historic Preservation Officer (SHPO) for treatment of the discovery.
20. **Equipment Rates.** Rates claimed for use of applicant-owned equipment that are in excess of the FEMA-approved rates must be approved under State guidelines issued by the State Comptroller's Office or must be certified by the State to include only those costs attributable to equipment usage less any fixed overhead and/or profit."
21. **Duplication of Funding between PA and HMGP.** It is permissible to use PA and 404 HMGP funds on the same facility/location, but the scopes of work identified under each program must be distinct and the funds accounted for separately. At the time of closeout, FEMA will adjust the funding if necessary to ensure that the subgrantee has been reimbursed for eligible scope from only one funding source.

Subrecipient Assurances

Hazard Mitigation Grants

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact California Governor's Office of Emergency Services (Cal OES). Further, certain federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

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

1. Has the legal authority to apply for federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. 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 assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with federal assistance funds to assure nondiscrimination during the useful life of the project.
4. Will comply with the requirements of the assistance-awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or state.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. 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 gains.
8. Will comply 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.

9. 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) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX 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 prohibit 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. 93-255) 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) §§ 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) any other nondiscrimination provisions in the specific statute(s) under which application for federal assistance is being made, and (j) the requirements on any other nondiscrimination statute(s) which may apply to the application.
10. 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 and federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of federal participation in purchases.
11. Will comply 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 \$5,000 or more.
12. 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.O. 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.O. 93-205).
13. 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.

14. 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.).
15. Will comply with Standardized Emergency Management (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.
16. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 and the Single Audit Act Amendments of 1996.
17. Will comply with all applicable requirements of all other federal laws, Executive Orders, regulations and policies governing this program.
18. Has requested through the State of California, federal financial assistance to be used to perform eligible work approved in the subgrantee application for federal assistance. Will, after the receipt of federal financial assistance, through the State of California, agree to the following:
 - a. The state warrant covering federal financial assistance will be deposited in a special and separate account, and will be used to pay only eligible costs for projects described above;
 - b. To return to the State of California such part of the funds so reimbursed pursuant to the above numbered application, which are excess to the approved actual expenditures as accepted by final audit of the federal or state government.
 - c. In the event the approved amount of the above numbered project application is reduced, the reimbursement applicable to the amount of the reduction will be promptly refunded to the State of California.
19. 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."

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

Name of Authorized Applicant's Agent

Title

Signature of Authorized Applicant's Agent

Date

Authorization

I, _____, do hereby certify as the authorized representative or
Name

officer of _____, that the information contained in this
Name of Organization

application is true and correct.

Title

Signature

Date

SAMPLE - download electronic form at www.caloes.ca.gov

**DESIGNATION OF APPLICANT'S AGENT RESOLUTION
Hazard Mitigation Grant Program and Pre-Disaster Mitigation Program**

BE IT RESOLVED BY THE _____ OF THE _____
(Governing Body) (Name of Applicant)

THAT _____, OR
(Title of Authorized Agent)
_____, OR
(Title of Authorized Agent)

(Title of Authorized Agent)

is hereby authorized to execute for and on behalf of the _____, a public entity
(Name of Applicant)
established under the laws of the State of California, this application and to file it with the California Governor's Office of Emergency Service.
for the purpose of obtaining certain federal financial assistance under Public Law 93-288 as amended by the Robert T. Stafford Disaster Relief
and Emergency Assistance Act of 1988, and/or state financial assistance under the California Disaster Assistance Act.

THAT the _____, a public entity established under the laws of the State of California,
(Name of Applicant)
hereby authorizes its agent(s) to provide to the California Governor's Office of Emergency Service for all matters pertaining to such state
disaster assistance the assurances and agreements required.

Please check the appropriate box below:

- This is a universal resolution and is effective for all open and future Disasters/Grants up to three (3) years following the date of approval below.
- This is a Disaster/Grant specific resolution and is effective for only Disaster/Grant name/number(s) _____

Passed and approved this _____ day of _____, 20____

(Name and Title of Governing Body Representative)

(Name and Title of Governing Body Representative)

(Name and Title of Governing Body Representative)

CERTIFICATION

I, _____, duly appointed and _____ of
(Name) (Title)
_____, do hereby certify that the above is a true and correct copy of a
(Name of Applicant)

Resolution passed and approved by the _____ of the _____
(Governing Body) (Name of Applicant)
on the _____ day of _____, 20____.

(Signature) (Title)

Cal OES Form 130 **Instructions**

A new Designation of Applicant's Agent Resolution is required if the previously submitted document is older than three (3) years from the last date of Board/Council approval.

When completing the Cal OES Form 130, Applicants should fill in the blanks on page 1. The blanks are to be filled in as follows:

Resolution Section:

Governing Body: This is the individual or group responsible for appointing and approving the Authorized Agents. Examples include: Board of Directors, City Council, Board of Supervisors, etc.

Name of Applicant: This is the official name of the non-profit, agency, city, county or special district that has applied for the grant. Examples include: City of Sacramento; Sacramento County; or Los Angeles Unified School District.

Authorized Agent: These are the individuals that are authorized by the Governing Body to engage with the Federal Emergency Management Agency and the California Governor's Office of Emergency Service regarding grants applied for by the Applicant. There are two ways of completing this section:

1. **Titles Only:** If the Governing Body so chooses, the titles of the Authorized Agents should be entered here, not their names. This allows the document to remain valid if an Authorized Agent leaves the position and is replaced by another individual. If "Titles Only" is the chosen method, this document must be accompanied by a cover letter naming the Authorized Agents by name and title. This cover letter can be completed by any authorized person within the agency (e.g.; City Clerk, the Authorized Agent, Secretary to the Director) and does not require the Governing Body's signature.
2. **Names and Titles:** If the Governing Body so chooses, the names and titles of the Authorized Agents should be listed. A new Cal OES Form 130 will be required if any of the Authorized Agents are replaced, leave the position listed on the document or their title changes.

Governing Body Representative: These are the names and titles of the approving board members. Examples include: Chairman of the Board, Superintendent, etc. The names and titles cannot be one of the designated Authorized Agents.

Certification Section:

Name and Title: This is the individual that was in attendance and recorded the Resolution creation and approval. Examples include: City Clerk, Secretary to the Board of Directors, County Clerk, etc. This person cannot be one of the designated Authorized Agents to eliminate "Self Certification."

HAZARD MITIGATION GRANTS PROGRAM

NOTIFICATION TO SUBGRANTEES

GRANT ADMINISTRATION PROCEDURES

1. ADVANCES (HMGP Only)

The California Governor's Office of Emergency Services (Cal OES) may consider approval of a one time advance provided that the subgrantee justified the need for an advance in their Hazard Mitigation Grant Program (HMGP) application. An advance can be made after federal funds have been approved, but before the expenditure of eligible costs. The advanced amount will be subtracted from the subgrantee's first reimbursement request. The advance request must be made by submitting a Request for Advance of Funds form. Subgrantees who did not request an advance in their application are not eligible for advances. A special fund for the deposit of the state warrant must be established upon receipt of any advance funding.

2. WORK SCHEDULES

The subgrantee must provide Cal OES with a projected work schedule within thirty (30) days of receipt of this obligation package. This is a one-time-only report. It should outline the proposed work schedule for the approved activity, including milestones. The milestones listed in your work schedule will be used to measure the progress reported to Cal OES in the Quarterly Reports. Please provide a separate report for each grant. The work schedule should include the following information:

Table/Chart or Graph - Create a table, chart or graph depicting your proposed work schedule by major milestones (activities/measures) from the time of initiation to completion of proposed activity.

Time line - How long you anticipate the activity will take to complete (in months).

Phases - Explain in some detail, if you plan to perform your activity in several phases, and why.

Extended Start and Completion Dates - Explain any activity start dates beyond sixty (60) days from approval date, or completion dates beyond three (3) years.

The Work Schedule should be sent to: California Governor's Office of Emergency Services
Hazard Mitigation Grants Division
3650 Schriever Avenue
Mather, California 95655

3. PROCUREMENT/COMPETITIVE BIDS PROCESS

All contract/procurement transactions must be carried out in a manner consistent with financial administrative requirements found in Title 44 of the Code of Federal Regulations (44CFR) Part 13.

4. ALLOWABLE COSTS AND REIMBURSEMENTS.

Once Federal Emergency Management Agency (FEMA) approves a total eligible activity cost and obligates funding, Cal OES can process reimbursement requests for eligible activities. Payments are made on a reimbursement basis and no funds will be disbursed for activities that are not consistent with the approved scope of work. Activity expenditures will be reimbursed at 75% of eligible costs. Additionally, Cal OES will withhold retention of 10% from each reimbursement request. The retention amount will be released to the subgrantee upon completion of the closeout process.

Reimbursement requests must be submitted to Cal OES on a Hazard Mitigation Reimbursement Form. The form must be signed by the applicant's designated authorized agent.

Should the subgrantee be able to complete this work for less than the maximum allowable costs, the subgrantee will be reimbursed at 75% of the actual costs. Any remaining funds will be deobligated. If activity costs exceed the maximum allowable costs, the subgrantee will be reimbursed at 75% of the FEMA approved activity cost.

5. COST OVERRUNS (HMGP Only)

Cost over-runs can be considered if available funding exists in the HMGP for the declared disaster. Cost over-runs under ten (10) percent of the approved activity cost are allowed when offset by cost under-runs on other activities, as determined by Cal OES. Cost over-runs exceeding ten (10) percent of the approved activity cost require Cal OES to submit the request with a recommendation to the FEMA Regional Director for review and final determination.

Cost over-runs will be indicated by quarterly progress reports and may be verified by activity inspection. All cost over-runs must be requested before expenditure of costs in excess of the total approved activity costs and the request must be signed by the applicant's designated authorized agent. Costs in excess of total approved activity costs expended before approval of cost over-runs will not be considered eligible HMGP expenditures. All cost over-runs must be justified by the subgrantee and supported by a benefit-cost analysis prepared using the FEMA benefit-cost models. Unjustified over-runs will be denied by Cal OES.

There is no guarantee that HMGP funds will be available to cover cost over-runs.

6. SCOPE OF WORK CHANGES:

Any requests for changes to the approved scope of work must be consistent with program guidance and regulations, must be submitted to Cal OES and signed by the applicant's designated authorized agent. Pre-approval is required before the start of any activity not included in the approved scope of work. Costs associated with any activity that is not included in the approved scope of work are not eligible for reimbursement.

7. QUARTERLY REPORT PROCEDURES

Subgrantees are required to submit progress reports to Cal OES on a quarterly basis until the end of the approved performance period or the activity is complete. Quarterly Reports will not be required of activities with duration of less than three months. A single report for such short-term activities will satisfy reporting requirements.

The first Quarterly Report is due to Cal OES within three months following the activity initiation. Quarterly Reports will thereafter be numbered consecutively by quarter and year (e.g. a 24 month project is required to submit 8 quarterly reports.) The following is the schedule for the Quarterly Reports:

First Reporting Period:	January 01 - March 31	Report due by April 15
Second Reporting Period:	April 01 - June 30	Report due by July 15
Third Reporting Period:	July 01 - September 30	Report due by October 15
Fourth Reporting Period:	October 01 - December 31	Report due by January 15

Quarterly Reports shall include, at a minimum:

- A. The status and completion date for the activity funded, including any problem or circumstances affecting the completion date, scope of work, or costs which are expected to result in noncompliance with the approved grant conditions.
- B. A description of milestones completed in accordance with the work schedule provided by the subgrantee. The milestones declared in the subgrantee's work schedule will be applied as a standard of the activity's progress.

Cal OES will review subgrantee reports to identify activities requiring special attention or inspection. The Governor's Authorized Representative will review the reports and forward a report to the FEMA Regional Director on the status of each grant.

Cal OES will suspend reimbursements to subgrantees that are not current in the submission of quarterly progress reports. Reimbursement requests received for suspended grants will be returned to the subgrantee.

Quarterly Reports must be sent to:

California Governor's Office of Emergency Services
Hazard Mitigation Grants Division
3650 Schriever Avenue
Mather, California 95655

8. INSPECTIONS

Cal OES reserves the right to inspect all activities for compliance. Cal OES may require the subgrantee to perform a final inspection and prepare a report. If inspections and review of the subgrantee support documentation reveal problems in performance of work and/or the documentation of such work, Cal OES shall require the subgrantee to correct the deficiencies before close-out.

9. PERFORMANCE PERIOD EXTENSIONS

All performance period extension requests must include the dates and provision of all previous extensions on this activity, a detailed explanation for the delay and a revised activity work schedule. All performance period extension requests must be submitted to Cal OES and signed by the applicant's designated authorized agent. Any costs incurred outside of an approved performance period will not be considered eligible activity costs.

HMGP

Extensions to original performance period of up to twelve months may be granted by Cal OES upon written request from the subgrantee. Requests for time extensions must be submitted to Cal OES prior to the end of the current approved performance period.

Requests for time extensions beyond the authority of Cal OES must be submitted to Cal OES in writing and received by Cal OES no later than ninety (90) days prior to the expiration of the current approved performance period. Time extension requests received by Cal OES less than ninety (90) days prior to the end of the current approved performance period will not be considered. Cal OES must submit these requests to the FEMA Regional Director for final determination.

Following the Regional Director's review, Cal OES will be notified in writing of the determination. Cal OES will notify the subgrantee of FEMA's determination. If the extension is denied, the subgrantee can submit a second request to be considered by the FEMA Associate Director.

FMA / LPDM / PDM / SRL

Performance period extension requests must be submitted to Cal OES in writing and received by Cal OES no later than ninety (90) days prior to the expiration of the current approved period of performance. Time extension requests received by Cal OES less than ninety (90) days prior to the end of the current approved period of performance will not be considered. Review program guidance for period of performance extension request requirements.

10. ADMINISTRATIVE DOCUMENTS

The administrative documents included with this package must be completed, signed by an authorized representative of the subgrantee and received by Cal OES before any payments can be processed. These forms include (1) Subgrantee Assurances and (2) Designation of Applicant's Agent Resolution. Completed forms must be mailed to:

California Governor's Office of Emergency Services
Hazard Mitigation Grants Division
3650 Schriever Avenue
Mather, California 95655

11. FINAL REPORTS

Final Claims must be filed using the Final Claim form. All activity costs are subject to audit; therefore, adequate documentation is required to verify the scope of work and the activity costs. All activity documentation must be retained by the subgrantee for three years from closeout. The subgrantee shall submit a final report package

to Cal OES when the activity has been completed. The documentation required is dependent on the type of activity. The package must include at least the following:

- Final Claim form
- Accomplishments and results report
- Budget summary
- Photographs/materials

Payment of the 10% retention will be processed upon completion of the closeout process.

12. AUDITS

The Cal OES may request an audit of any funds disbursed to a subgrantee at any time, regardless of the amount. Each subgrantee is required to provide reasonable and timely access to all records. Subgrantees that expend combined federal awards above \$500,000 must submit audit reports consistent with the requirements of Office of Management and Budget OMB Circular A-133. Such audits of subgrantees will be conducted in accordance with the requirements of the Single Audit Act and amended by 1996 (PL 104-156). Records must be retained by the subgrantee for three years from project closeout.

13. MONITORING

In order to provide reasonable assurance of compliance with applicable Federal and State laws and regulations, and to comply with Cal OES's administrative oversight responsibilities, subgrantee activities shall be monitored and associated finding (s) and program deficiencies resolved through viable corrective action plans. Financial and administrative compliance monitoring is comprised of desk reviews, as well as field reviews, of specific subgrantee information and supporting financial documentation and books of record.

14. APPEALS (HMGP Only)

A subgrantee may appeal any determination made by FEMA relative to grant assistance by submitting justification in writing to Cal OES within sixty (60) days of the action being appealed. Appeals must be submitted through the Governor's Authorized Representative (GAR). Subgrantees must provide sufficient information to allow the GAR to determine the facts and validity of the request.

Cal OES will review the appeal material submitted, make any additional investigations necessary and forward the appeal with a written recommendation to the FEMA Regional Director within sixty (60) days.

The FEMA Regional Director shall notify Cal OES as to the disposition of the subgrantee's appeal or need for additional information within ninety (90) days following receipt of all related information. If the decision is to grant the appeal, the Regional Director will take appropriate implementing action.

If the Regional Director denies the appeal, the subgrantee may submit a second appeal in writing to the GAR. The GAR reviews the second appeal and may forward it to the FEMA Associate Director through the FEMA Regional Director. Such appeals shall be made in writing and shall be submitted not later than sixty (60) days after receipt of notice of the Regional Director's denial of the first appeal. The Associate Director shall render a determination on the GAR's appeal within ninety (90) days following receipt of all related information. The Associate Director's determination is final.

In rendering such determinations, the Associate Director may, in those cases involving appeals of a highly technical nature, refer the appeal to an independent scientific or technical body for review. The GAR must first agree to such a process, including a waiver of the ninety (90) day time limitation for appeal resolution, as well as sharing the cost of such reviews.

See Part 44 of the Code of Federal Regulations (44CFR) Section 206.440.

**California Governor's Office of Emergency Services (Cal OES)
Hazard Mitigation Grants
Award/Disaster # _____**

Reimbursement Request Form

Mail Reimbursement Request to:

California Governor's Office of Emergency Services
Hazard Mitigation Grants Processing
3650 Schriever Avenue
Mather, CA 95655

Applicant: _____

FIPS ID# _____

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

Project Number	Cumulative Expenditures to date	Reimbursement Request for the period of _____ to _____
	\$ _____	\$ _____
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
- This claim is for costs incurred within the Grant Performance Period

Authorized Agent (Per Governing Body Resolution)

Printed Name

Phone No.

Fax No.

Title

E-Mail Address

Signature

Date

New Mailing Address Only

For Cal OES Only (Cal OES 400)

Obligated Amount: \$ _____	Date: _____
Expenditures To Date: \$ _____	Reviewer: _____
Cost Share (50% or 75%): \$ _____	Title: _____
Less Retention: \$ _____	Date: _____
Prior Payments Made: \$ _____	Approval: _____
Amount Allowable for Payment: \$ _____	Title: _____

**Instruction Sheet for Reimbursement Request –
California Governor’s Office of Emergency Services**

Award # The award # can be found on the Notification of Approval Letter

Applicant The applicant is the entity, as identified in the original grant application. Do not identify any sub-departments or offices as the applicant

FIPS ID # This is the applicant’s identification number as identified on the Notification of Approval 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 The project number can be found on the Notification of Approval Letter

Expenditures To Date Identify total grant expenditures incurred to date for each project number (including local share)

Reimbursement Request for the Period of: The applicant may request reimbursement of all, or a portion of, *Grant Expenditures incurred since the last Reimbursement Request*. Indicate the month and year for the beginning of the period covered to the end of the period covered during which these expenditures were incurred. *This is not the Project/Budget Period listed on the subgrant*

HMGP Disasters Grants: No Fiscal Year restrictions

All Other Grants: This request 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

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, California Governor’s Office of Emergency Services reserves the right to request documentation at any time. Applicants are reminded to maintain documents that support the expenditures and reimbursement amounts shown on the request

California Governor's Office of Emergency Services SUPPLEMENTAL GRANT SUBAWARD INFORMATION

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

Cal OES Contact Information Section:

Governor's Office of Emergency Services
Mark S. Ghilarducci, Director
3650 Schriever Avenue
Mather, CA 95655
(916) 845-8506 phone • (916) 845-8511 fax

Cal OES Use only	Cal OES #	075-00000-00
	FIPS #	075-00000
	VS #	
	Subaward #	DR4158-PJ0272
	PCA	82845
	Federal Award Dates	From: 06/05/16 To: 04/06/17

1. Subrecipient: San Francisco, City and County 1a. DUNS#: _____

2. Implementing Agency: _____ 2a. DUNS#: _____

3. Implementing Agency Address: _____ CA

Street City Zip+4

4. Location of Project: _____

City County Zip+4

5. Federal Award Identification Number _____ 6. Performance Period: _____ to _____

7. Indirect Cost Rate: N/A; 10% de minimis; Federally Approved ICR _____ %

Supp No.	A. Federal Share	B. Non-Federal Share	C. Admin Cost	D. CDAAs (STATE)	E. Total Project Cost	Fed / Non Fed Percentage
8 12	\$404,208.00	\$190,133.00	\$0.00		\$594,341.00	68% / 32%
9						
10					\$0.00	
11					\$0.00	
12. TOTALS	\$404,208.00	\$190,133.00	\$0.00		^{12 E} Total Project Cost \$594,341.00	

13. Federal Awarding Agency Section

Federal Program Fund / CFDA #	Federal Awarding Agency	Total Federal Award Amount	Total Local Assistance Amount
Hazard Mitigation Grant Program / 97.039	U.S. Department of Homeland Security, Federal Emergency Management Agency	\$594,341.00	N/A

14. Primary Authorized Agent: _____ 15. Federal Employer ID Number: _____

Name: _____ Title: _____

Telephone: _____ (area code) FAX: _____ (area code) Email: _____

Mailing Address: _____ CA

Street City Zip+4

Payment Mailing Address: _____ CA

City Zip+4

16. Project Description Section:

Early Intake Switchyard Slope Stabilization

17. Research & Development Section:

- Is this Subaward a Research & Development grant? Yes No

SUBAWARD DATA INSTRUCTIONS

1. Subrecipient

The Subrecipient is the unit of government or community based organization (CBO) that will have legal responsibility for these grant funds (e.g. County of Alameda, City of Fresno or Women's Place of Merced). Enter the legal title of the Subrecipient.

1a. Federal DUNS Number (Subrecipient)

Enter your 9-digit Federal Data Universal Numbering System (DUNS) ID number for the Subrecipient listed above. If you do not yet have a DUNS number assigned, one may be obtained by contacting Dun & Bradstreet at 866-705-5711 or at www.dnb.com. This requirement applies to federally funded grants only. Your DUNS # must be current and active in the System for Award Management (SAM) at the time of your Award.

2. Implementing Agency

Enter the complete name of the agency responsible for the day-to-day operation of the grant (e.g. Sheriff, Police Department, or Department of Public Works). If the Implementing Agency is the same as the Subrecipient, enter the same title again.

2a. Federal DUNS Number (Implementing Agency)

Enter the full 9-digit Federal Data Universal Numbering System (DUNS) ID number for the Implementing Agency. If the Implementing Agency does not yet have a DUNS number assigned, one may be obtained by contacting Dun & Bradstreet at 866-705-5711 or at www.dnb.com. This requirement applies to federally funded grants only. Your DUNS # must be current and active in the System for Award Management (SAM) at the time of your Award.

3. Implementing Agency Address

Enter the address of the Implementing Agency. Provide the complete nine digit zip code (Zip+4).

4. Location of Project

Enter the City and County/Operational Area where the project is located. Provide the complete nine digit zip code (Zip+4).

5. Federal Award Identification Number (FAIN):

Enter the Federal Award Identification Number associated with this funding source / Disaster. (Example: 1911-DR-CA or FEMA-1911-DR-CA).

6. Performance Period

Enter beginning and ending dates of the performance period for the Grant Subaward. (mm/dd/yy).

7. Indirect Cost Rate

Indicate whether you are using the 10% de minimis rate based on Modified Total Direct Costs (MTDC) or your cognizant agency approved indirect cost rate agreement. A copy of the approved ICR Negotiation Agreement must be enclosed with your application. Indicate N/A if you will not be claiming indirect costs under the award. *Indirect costs may or may not be allowable under all Federal fund sources.*

8A – 12E. Fund Allocations and Total Project Cost

Enter the FEMA Supplement number, the amount of Federal Share, Non-Federal Share, applicable sub-recipient Administrative Fee, and the CDAAs share of this obligation. Enter this obligation Cost Share percentage in the far right column.

13. Federal Awarding Agency Section:

Identify the Federal Awarding Agency, Federal Program, and the CFDA number for the funding. Also, enter the total federal funds allocated to this sub-recipient for the disaster event, including this obligation action.

14. Primary Authorized Agent and Payment Address

Primary Authorized Agent will be the main contact for GPU correspondence and must be one of the authorized agents named in the governing body resolution. Enter the name, title, telephone number, e-mail address, and mailing address of the primary correspondence contact for this project. Enter a Payment Mailing Address where grant funds should be sent if different from the primary contact address.

15. Federal Employer ID Number

Enter the 9-digit Federal Employer Identification Number for the Subrecipient Agency.

16. Project Description Section

Enter the Project number associated with this sub-award and type a summary of the project description in the space provided.

17. Research & Development Section

Place a check mark in the applicable box; choose "Yes" if award is for Research & Development.

Subgrantee Quarterly Report

Award/Disaster #	CalOES #	FEMA #	FIPS #	Months Covered	Report #
Project Name					
Subgrantee Telephone #					
Estimated Draw Down for Next quarter \$					
Budget Status <input type="radio"/> Unchanged <input type="radio"/> Cost Underrun (Explain below) <input type="radio"/> Cost Overrun (Explain below)					
Work Schedule <input type="radio"/> Ahead of Schedule (Explain below) <input type="radio"/> On Schedule <input type="radio"/> Behind Schedule (Explain below)					
General Comments					
Authorized Signature: _____ Print Name: _____ Date: _____ Address: _____ City, State, Zip: _____					

Subgrantee Quarterly Report

List all milestones from work schedule including those planned & completed. Describe problems or circumstances affecting completion dates, scope of work, cost, and impacts on any other milestones. Also describe achievements, successes, progress, and special issues.

Milestone #	Projected Start Date	Projected Completion Date	Status <input type="radio"/> Ahead of Schedule <input type="radio"/> On Schedule <input type="radio"/> Behind Schedule <input type="radio"/> Suspended Milestone Completed <input type="radio"/> Withdrawn
Comments			
Milestone #	Projected Start Date	Projected Completion Date	Status <input type="radio"/> Ahead of Schedule <input type="radio"/> On Schedule <input type="radio"/> Behind Schedule <input type="radio"/> Suspended Milestone Completed <input type="radio"/> Withdrawn
Comments			
Milestone #	Projected Start Date	Projected Completion Date	Status <input type="radio"/> Ahead of Schedule <input type="radio"/> On Schedule <input type="radio"/> Behind Schedule <input type="radio"/> Suspended Milestone Completed <input type="radio"/> Withdrawn
Comments			
Milestone #	Projected Start Date	Projected Completion Date	Status <input type="radio"/> Ahead of Schedule <input type="radio"/> On Schedule <input type="radio"/> Behind Schedule <input type="radio"/> Suspended Milestone Completed <input type="radio"/> Withdrawn
Comments			