



**Cal OES**  
GOVERNOR'S OFFICE  
OF EMERGENCY SERVICES



**2014-2015  
HAZARDOUS MATERIALS  
EMERGENCY PREPAREDNESS  
(HMEP) GRANT**

**PLANNING GRANT GUIDE FOR SUB-GRANTEES**

March 2014

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## **What’s New**

Noteworthy changes from the 2013-14 Sub-grantee Guide:

- Revised description of Eligible Applicants and LEPC Role, page 4.
- Revised the timeline to reflect a June 2<sup>nd</sup> Sub-grant application deadline and the altered application filing process, throughout.
- Revised Goals & Objectives section, pages 8, 9.
- Added a notation on unallowable expenses, page 10.
- Remove reference to a secondary funding period, page 12.
- Added Frequently Asked Questions back into document, page 26.

# **Part One – HMEP Grant Overview**

## **HMEP Grant Program Purpose**

The Hazardous Materials Transportation Safety and Security Reauthorization Act of 2005 authorizes the U.S. Department of Transportation (US DOT) to provide assistance to public sector employees through training and planning grants to States, Territories, and Native American tribes for emergency response. The purpose of this grant program is to:

- increase State, Territorial, Tribal, and local effectiveness in safely and efficiently handling hazardous materials accidents and incidents,
- enhance implementation of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA), and
- encourage a comprehensive approach to emergency training and planning by incorporating the unique challenges of responses to transportation situations.

Cal OES is the state pass-through agency for the Federal Hazardous Materials Emergency Preparedness (HMEP) Grant funds, and makes a minimum of 75 percent of the Planning Award available to eligible applicants within the Local Emergency Planning Committee (LEPC) Regions through the sub-grant process.

## **Eligible Applicants**

The State of California's political subdivisions and federally-recognized Tribal Governments within California that have not applied directly to US DOT/PHMSA for funding under this grant program, with the approval of the respective LEPC, are eligible to apply for a HMEP Planning Sub-grant. Political subdivisions are defined as:

"A county, municipality, city, town, township, local public authority (including any public and Indian housing agency under the United States Housing Act of 1937 (42 U.S.C. 1401 et seq.), school district, special district, intrastate district, council of governments (whether or not incorporated as a nonprofit corporation under State law), any other regional or interstate government entity, or any agency or instrumentality of a local government." ([49 CFR 110.20](#))

## **Performance Period**

The sub-grantee performance period is October 15 through September 15 each year.

*Costs incurred outside the performance period are not eligible for reimbursement.*

## **Guidance Purpose**

This guidance is meant to supplement the U.S. DOT/Pipeline and Hazardous Materials Safety Administration (PHMSA) HMEP Grant Expenditures and Activities Guide, and all applicable laws and regulations, for California HMEP Planning sub-grantees. A new Planning Grant Guide will be released each year with the sub-grant application announcement, and necessary updates within the grant cycle will be distributed to all active sub-grantees. Significant changes from one program year to the next will be captured in the 'What's New' section of the guide.

## **Applicable Laws, Regulations, and Guidance Documents**

- [42 U.S.C. 11001, the Emergency Planning and Community Right-to-Know Act of 1986, Sections 301 and 303](#)
- [49 U.S.C. 5116, Planning and training grants, monitoring, and review](#)
- [Title 2, Code of Federal Regulations \(CFR\) Part 225 \(OMB Circular A-87\) or 2 CFR 220 \(OMB Circular A-21\)](#), as applicable
- [OMB Circulars A-102 and A-133](#)
- [Title 49, CFR Part 18](#) or [Title 49, CFR Part 19](#), as applicable
- [Title 49, CFR Part 110](#)
- [U.S. DOT/PHMSA – HMEP Grant Expenditures and Activities Guide](#)
- [Cal OES Planning Grant Guide for Sub-Grantees](#)

## **Definition of an LEPC**

"Local Emergency Planning Committee (LEPC) means a committee appointed by the State Emergency Response Commission under section 301(c) of the Emergency Planning and Community Right-to-Know Act of 1986 ...that includes at a minimum, representatives from each of the following groups or organizations: elected State and local officials; law enforcement, firefighting, civil defense, first aid, health, local environmental, hospital, and transportation personnel; broadcast and print media; community groups; and owners and operators of facilities subject to the emergency planning requirements." ([49 CFR 110.20](#))

See the [Cal OES LEPC](#) Web page for more information.

## **LEPC Role**

Federal regulations require at least 75 percent of the HMEP Planning award to be made available to the state's LEPCs. LEPCs are not a political subdivision of the state, nor do they have the fiduciary ability to apply directly for the grant funds. However, Planning Sub-grant applications of the political subdivisions within their regions must be approved and prioritized by the LEPC. See the [Cal OES LEPC](#) Web page for more information.

## **Sub-Grantee Responsibilities**

- Comply with all governing laws, regulations, guidance, terms and conditions, assurances and certifications.
- Prepare quarterly performance reports for the duration of the performance period, or until all approved work has been completed, and submit them by the due date.
- Maintain financial management systems that support grant activities in accordance with [49 CFR Parts 18.20](#) and [110.70](#).
- Request Cal OES's approval before initiating any grant activities that vary from the approved grant budget or scope of work.
- Identify any funds that are projected to remain unexpended within the performance period as soon possible in the grant cycle, but not later than the end of the 3<sup>rd</sup> Quarter.
- Submit a Final Quarterly Performance Report and Reimbursement Request Form upon completing all approved activities, but not later than October 7<sup>th</sup>.

- Maintain property, programmatic and financial records in accordance with the grant record retention requirements.
- Comply with the audit requirements contained in [Office of Management and Budget \(OMB\) Circular A-133](#), and [49 CFR Part 18.26](#).

## **Matching Requirements**

Sub-grantees must provide 20 percent of the total project cost of all approved activities with non-Federal funds.

Examples of cost sharing contributions (matches) allowed under this grant include:

- Salary, travel, equipment or supply purchase, space usage, the dollar value of a participant's time during an approved Planning activity.
- Private contributions such as corporate contributions of facilities or services. (e.g., tank car, cargo tank trailers, van trailer, training site, hazardous materials (HazMat) equipment, first aid ambulance stand-by, classroom space).
- Voluntary contributions such as emergency personnel support, the time of any LEPC member, or exercise participation.

Sub-grantees can provide their Match Share contribution in a different budget category than the HMEP Share, the same budget category as the HMEP Share, or any combination of categories that provides for 20 percent of the total project cost.

Costs that **CANNOT** be used for matching contribution include:

- Funds used for matching purposes under any other Federal grant or cooperative agreement.
- Federal funding received through another program.
- Funds expended by a recipient agency to qualify for the grant.
- Costs incurred outside of the grant performance period.

Please refer to [49 CFR 110.60](#), [49 CFR 18.24](#), and the [PHMSA HMEP Expenditures and Activities Guide](#) at for more information on Matching.

## **Grant Administrator Contact Information**

For questions about the HMEP Grant Program or this guidance document, please contact:

California Governor's Office of Emergency Services (Cal OES)  
 Hazardous Materials Section – Neverley Shoemake  
 3650 Schriever Avenue  
 Mather, CA 95655  
 Office: (916) 845-8765, Fax: (916) 845-8735  
 E-mail: [neverley.shoemake@calema.ca.gov](mailto:neverley.shoemake@calema.ca.gov)

## Sub-Grant Timelines

The HMEP Sub-Grant Period is October 15, 2014 to September 15, 2015

|                                      |   |
|--------------------------------------|---|
| Approx. March 15                     | Planning Sub-grant Application Announcement and updated Sub-grantee Guidance are released.  |
| Approx. April 15                     | The HMEP Grant Administrator conducts a Planning Sub-grant Application Webinar  |
| June 2                               | <p>A completed application package, signed by the Authorized Agent, must be submitted electronically by 5 p.m. on June 2, 2014 to the Cal OES HMEP Grant Administrator at <a href="mailto:neverley.shoemake@caloes.ca.gov">neverley.shoemake@caloes.ca.gov</a>.</p> <p>The hard copy original must be postmarked by June 2, 2014, addressed to:</p> <p style="text-align: center;">California Governor's Office of Emergency Services<br/>Hazardous Materials Section<br/>Attn: Neverley Shoemake<br/>3650 Schriever Ave<br/>Mather, California 95655</p> |
| June - August                        | <p>The Cal OES HMEP Grant Administrator will forward eligible applications to the appropriate LEPC for approval and prioritization during regularly scheduled meeting following the application deadline.</p> <p>See <a href="#">LEPC Contacts</a> for a list of representatives and meeting dates.</p>   |
| Approx. September 15                 | Cal OES completes application review process and makes conditional offer of award.  |
| Approx. October 15                   | <p>Sub-grantee returns signed Grant Award Face Sheet and General Terms and Conditions; Performance Period begins.</p> <p><b>NOTE:</b> The signed acceptance document must be counter-signed by Cal OES prior to the sub-grantee being approved to initiate activities, a process that can take up to two weeks.</p>   |
| December, March, June, and September | Grant period quarters end; Performance Reports and Reimbursement Requests are due. (see next table)   |
| September 15, 2015                   | Sub-grantee Performance Period ends.  |

| <b>Quarterly Performance Report and Reimbursement Request Form</b>  | <b><u>Date Due to Cal OES</u></b>         |
|---|---|
| Activities and Expenditures for start of sub-grantee performance period through December 31.  | <b>January 7, 2015</b>                    |
| <p>Activities and Expenditures for January 1 – March 31</p> <p>Sub-grantees who are not substantially on track with the approved timelines or budget at this point risk having their award terminated.</p>  | <b>April 7, 2015</b>                      |
| <p>Activities and Expenditures for April 1 – June 30</p> <p>Funds projected to remain unspent by the end of the performance period <b>MUST</b> be reported by this date.</p>  | <b>July 7, 2015</b>                       |
| <p>Activities and Expenditures for July 1 through September 15 (Final Report)</p> <p>An electronic copy of the project, or other final documentation showing completion of the funded activity, must be provided with the final report – avoid sending printed plans/documents.</p> <p>This report is not required if the project activities were completed in a previous quarter and all final documentation was submitted at that time.</p> | <b>October 7, 2015<br/>(Final Report)</b> |

# Part Two – Goals & Objectives

## Overview

Department of Commerce statistics recognize California as having the world's ninth largest economy with approximately 150,000 businesses that are regulated for storing, transporting, or handling hazardous materials, most notably chlorine, anhydrous ammonia, and pesticides, among others. There are four commercial nuclear power plants in our state. Currently, one is operational, one is in the process of decommissioning, and two are decommissioned. There are eleven international airports and an additional fifty-six domestic commercial airports, as well as extensive inter- and intra-state highway systems, railways and hazardous liquid and gas pipelines throughout the state. California is home to eleven commercial maritime ports that handle more than 40 percent of the total containerized cargo entering the United States and almost 30 percent of the nation's exports, as well as 70 percent of California's crude oil supply. Approximately 75 percent of the nation's hazardous materials pass through two of the state's largest ports, and hazardous materials moving along the rail lines account for nearly 60 percent of total rail HazMat transportation in the western U.S. Of note is the dramatic shift in transport of crude oil from shipping to rail. Highly volatile crude oil coming from the Bakken Shale production area to California refineries by rail is estimated to rocket to somewhere between 100 million and 200 million bbls per year by 2016 and account for 25 percent of California's crude oil supply. There are thirty-two military installations and an entire region dedicated to technology-based industries, which pose unique hazards. Six established regional LEPCs in California represent fifty-eight counties and countless jurisdictions with hazardous materials transportation incident planning and response responsibilities.

Cal OES will ensure that a minimum of 75 percent of the HMEP Planning grant award is made available to the LEPCs for allowable projects through the established sub-grant process. For 2014-15 this amount is expected to be **at least \$515,020.05**, which represents a 7.2 percent reduction from the full formula-based allocation, due to federal sequestration cuts applied to the HMEP Grant Program. The sub-grant process requires LEPCs to approve and prioritize all applications from their respective region. Project proposals will be solicited from all LEPCs in California. The process for selecting projects for funding will be based on the degree to which they support the following goals and objectives.

With its release of the 2014-15 federal HMEP Grant application announcement, US DOT/PHMSA stated that "one of our highest priorities is reducing the risks associated with the bulk transport of crude oil throughout the United States." [Read more](#). This is a high priority for California as well, and will focus HMEP Planning funding efforts for this grant cycle.

## Goals

The Cal OES State Emergency Plan (SEP) and Hazard Mitigation Plan (SHMP) recognize a variety of hazards related to the transportation of hazardous substances. Accidental release of these materials and hazards associated with gas pipelines, radiological accidents, oil spills, water quality hazards, air pollution, long haul vehicle and train accidents resulting in explosions or chemical releases. All together these hazards represent nearly one-third of the total number of threats and hazards identified in the SHMP. Additionally, the state of California's current Threat and Hazard Identification and Risk Assessment (THIRA) identifies an accidental release of a



toxic inhalation hazard in an urban setting, like that which would result from a transportation incident involving chlorine by rail, as one of the top hazards having the potential to have a high impact across a significant portion of the thirty-one core capabilities that were analyzed.

In alignment with PHMSA's mission, California's SEP, SHMP, and THIRA, Cal OES's primary goal is to encourage a comprehensive approach to planning and training for emergency response directly relating to hazardous materials in transportation, with a specific focus on crude oil by rail and a secondary emphasis on chlorine by rail. We aim to improve preparedness for responding to these types of emergencies in an effort to minimize the potentially catastrophic impacts to the people and communities of California.

## **Objectives**

Cal OES Planning Sub-grant objectives for 2014-15 are targeting the following activities:

- Develop, improve, and implement emergency plans or procedures for incidents involving transportation of hazardous materials, including radioactive materials
  - *Build on the 2013-14 effort to identify the completion date of each CUPA's Area Plan by contacting the 37 CUPAs with a Plan having a revision date older than 3 years to provide information on HMEP Planning Grant funding*
  - *Give preference to Area Plan update funding requests that incorporate provisions for responding to crude oil by rail incidents*
- Conduct emergency response drills and exercises associated with emergency preparedness plans
  - *Give the highest preference to exercise funding requests that test a plan's provisions for responding to incidents involving crude oil by rail*
  - *Give secondary preference to exercise funding requests that test a plan's provisions for responding to incidents involving chlorine by rail*
  - *Build on the Tri-National tabletop exercise achieved in the 2013-14 grant cycle by facilitating the exercise of at least one HazMat Regional Response Plan with a scenario involving crude oil transported by rail*
- Determine hazardous materials flow patterns into and within California
  - *Give the highest preference to commodity flow studies or similar hazard assessment funding requests that focus on crude oil by rail*
  - *Give secondary preference to commodity flow studies or similar hazard assessment funding requests that focus on chlorine by rail*
- Assess the need for regional HazMat response teams
  - *Give preference to regional HazMat response team needs assessment funding requests for jurisdictions containing current or projected crude oil by rail transportation routes*
- Other allowable activities will be considered as funding allows.

# **Part Three – Allowable and Unallowable Activities**

## **Allowable Activities**

HMEP planning funds may be used for activities such as:

- Development, improvement, and implementation of emergency plans required under the EPCRA. Enhancement of emergency plans, including hazards analysis, and response procedures for emergencies involving transportation of hazardous materials, including radioactive materials.
- An assessment to determine the flow patterns of hazardous materials within the state, between states or Native American lands, and development and maintenance of a system to keep such information current.
- An assessment of the need for regional hazardous materials emergency response teams.
- An assessment of local response capabilities.
- HazMat emergency response drills and exercises to test capabilities and identify gaps in planning or training.
- Provision of technical staff to support the planning effort.
- Additional activities appropriate to implement the scope of work for the proposed project plan and approved in the grant.
- All activities must be approved by Cal OES before they can be initiated.

Reference [2 CFR 225, Cost Principles for State and Local Governments \(OMB Circular A-87\)](#) or [2 CFR 220, Cost Principles for Educational Institutions \(OMB Circular A-21\)](#), as applicable, for guidance on allowable costs.

## **Unallowable Activities**

HMEP planning funds may **NOT** be used for the purposes such as:

- Costs incurred before or after the Sub-grant performance period
- Equipment purchases\*
- Overtime wages or Call Backs/Backfill
- Food items\*\*
- Software – with the exception of CAMEO (no exceptions)
- Weapons of Mass Destruction (WMD) planning or exercise activities
- All-hazards or fixed-facility only planning or exercise activities
- Community Emergency Response Team (CERT), Neighborhood Watch, and other community planning organization activities

\* Some equipment necessary for completion of allowable project activities may be approved on a case-by-case basis, and may be funded at less than 80 percent of the total cost.

\*\* Some drill/exercise projects may be able to justify a light lunch as a necessary cost.

See the [U.S. DOT/ PHMSA HMEP Grant Expenditures and Activities Guide](#) for more examples of allowable and unallowable Planning activities.

# **Part Four – Applying for the Grant**

## **Application Packages**

The application package must include the following documents:

- Application Form
- Designation Statement
- Project Narrative
- Budget Sheet (Including accompanying Budget Narrative)
- Work Schedule and Deliverables
- Cal OES HMEP Grant Assurances

All fillable PDF forms available on the Cal OES HMEP Grant Web page at:  
<http://www.caloes.ca.gov/HazardousMaterials/Pages/HMEP-Grant.aspx>.

The Budget Narrative is not in a prescribed format, but must show how the costs were derived

A completed application package, signed by the Authorized Agent, must be submitted electronically by 5 p.m. on June 2, 2014 to the Cal OES HMEP Grant Administrator at [neverley.shoemake@caloes.ca.gov](mailto:neverley.shoemake@caloes.ca.gov).

The hard copy original must be postmarked by June 2, 2014, addressed to:  
California Governor's Office of Emergency Services  
Hazardous Materials Section  
Attn: Neverley Shoemake  
3650 Schriever Ave  
Mather, California 95655

The Cal OES HMEP Grant Administrator will forward eligible applications to the appropriate Local Emergency Planning Committee (LEPC) for approval and prioritization during the next regularly scheduled meeting. See [LEPC Contacts](#) for a list of region representatives and meeting dates.

Only those applications submitted within the identified timeframe will be considered for funding.

Incomplete applications **will not** be considered.

Approximately mid-September, the application review process will be complete and conditional offers of funding are expected to be sent to approved applicants.

Sub-grantees must return the signed Grant Award Face Sheet and General Terms and Conditions before their Performance Period can begin.

**The signed acceptance document must be counter-signed by Cal OES prior to the sub-grantee being authorized to initiate activities, a process that can take up to two weeks.**

## **Application Form**

It is important not to significantly over or under estimate costs for the project budget as this will be the amount considered for funding. Carefully consider all potential expenses and estimate project costs as diligently as possible. The intent is to award the amount necessary to complete the project without having the sub-grantee pay for costs above the project amount or to de-obligate unspent funds.

### **Instructions for completing the Application Form**

| <b>Field Name</b>                                 | <b>Description of Information Required</b>   |
|---|--|
| Applicant   | Full name of the public agency applying for the grant.   |
| Date  | Date of submittal of application package to the LEPC.  |
| Project Title                                     | A brief title of the proposed project.   |
| Mailing Address                                   | The address for correspondence and reimbursement checks.   |
| Project Start/End Dates                           | Anticipated start and end date of the proposed project.<br>* Cannot start prior to Oct 15 and must be completed by Sept 15 *   |
| Project Manager, Title, Phone, and e-mail address | The person in the agency who is responsible for the daily implementation of the project.   |
| Estimated Budget                                  | The amount of HMEP funds being requested, match funds that will be contributed by the applicant, and the total of the project budget<br>HMEP Share + Local Match = Total Budget                      |
| Authorized Agent Certification                    | Signature of the person in the organization with the ultimate responsibility for the project and who has the legal authority to speak for the applicant, as identified on the Designation Statement. |
| Administrative Approvals                          | Printed name and signature of the LEPC Region Chair, Cal OES LEPC Support Staff, Cal OES HMEP Grant Administrator, and Cal OES HazMat Section Manager.   |

## Designation Statement

The Designation Statement identifies the people who are responsible for key roles in administering the sub-grant award: Project Manager, Financial Officer and Authorized Agent.

If more than one Authorized Agent will be identified, or if the Authorized Agent changes during the grant period, a separate/new Designation Statement is required.

### **Instructions for completing the Designation Statement**

| <b>Field Name</b>                                 | <b>Description of Information Required</b>   |
|---|--|
| Applicant   | Full name of the public agency applying for the grant.   |
| Project Title                                     | A brief title of the proposed project.   |
| Project Manager, Title, Phone, and e-mail address | The person in the organization who is responsible for the daily implementation of the project.   |
| Financial Officer, Title and Phone                | The person responsible for the fiscal management of the grant. This person must certify all financial status reports, invoices, and requests for payment submitted.<br><b>The financial officer cannot be the Project Manager and cannot sign Reimbursement Request Forms.</b>   |
| Total Project Budget                              | The total cost of the proposed grant project.  |
| HMEP Share  | The amount of HMEP funds being requested.<br><b>Cannot exceed 80% of the Total Project Budget</b>  |
| Local Match                                       | The amount of funding the Applicant will provide toward the Total Project Budget direct and indirect costs in cash (hard match), in-kind contributions (soft match), or a combination of in-kind and hard match. (Refer to 49 CFR 110.60 for more information)<br><b>Must be a minimum of 20% of the Total Project Budget</b>  |
| Authorized Agent Certification                    | Contact information and signature of the Authorized Agent – the person in the organization with the ultimate responsibility for the project and who has the legal authority to commit funds on behalf of the applicant. Must also sign the Application Form, Grant Assurances, Reimbursement Request Form and Quarterly Performance Report.<br><br>If more than one Authorized Agent is desired, a Designation Statement and Grant Assurances are required for each.<br><br>If the Authorized Agent changes, immediate notification to the HMEP Grant Administrator and a new Designation Statement and Grant Assurances are required. |

## **Project Narrative**

The grant Project Narrative is a ***detailed*** description of the major project objectives and how the proposed activities will accomplish these objectives. It must fully describe the proposed work and indicate major milestones. The narrative must indicate clearly that it is meeting one or more of the Objective identified on page 9 of this document, and should describe the need that is being met by the proposed activities, if applicable. If the proposal is selected for funding, the Project Narrative will become the approved scope of work. The Narrative should be concise and is limited to a maximum of two pages.

If the HMEP Grant application includes an exercise component, the following information must be identified in the Project Narrative:

- A brief statement describing the purpose of the exercise, to include what part of the emergency response plan is under evaluation and the transportation method involved.
- Specify the program objectives or benefits from the exercise (e.g. revision of the Emergency Response Plan).

NOTE: An exercise may involve a fixed facility, but **must focus on a transportation component** in order to be eligible.

### **Instructions for completing the Project Narrative**

Be clear and concise – no more than 2 pages in length.

The project narrative is a ***detailed*** description of the major project objectives and how the proposed activities will accomplish these objectives. It must fully describe the proposed work and indicate major milestones. The narrative must indicate clearly that it is meeting one or more of the Authorized Planning Activities, and should describe the need that is being met by the proposed activities, if applicable. If the application is approved, the Project Narrative will become the approved scope of work. Address the pertinent areas below to craft a strong proposal:

- A. **Project**. Describe the project.
- B. **Objectives**. Describe measurable and obtainable objectives. Indicate who will benefit from the project (the intended beneficiaries are public sector responder community). If the benefit extends to other jurisdictions or regions, list those entities/agencies.
  - Specifically detail tasks in a timeline on the Work Schedule and Deliverables form.
  - If partner agencies are participating in the project and are contributing any matching funds, identify them along with your organization's contributions on the Budget Narrative sheet.
- C. **Describe personnel performing grant activities**. Who will do the work? Who is supervising the project? Who is responsible for managing the grant's administrative requirements? How will you make sure timelines and tasks are being met?

- D. **Overall contribution.** How does the project contribute to the State’s goals and objectives and the overall effort of addressing the local hazardous materials planning and preparedness capability? How does the activity address a need or provide a solution to the problem (i.e. long-range plans, etc)? What is the impact of the project?
- E. **Project management.** What plans, strategies, or practices are you using to reach the project objectives? Have all pertinent parties agreed to these plans, strategies, and practices?
- F. **Evaluation.** How will you evaluate project results in the short and long-term? How will you define and measure the project’s success?
- G. **Results.** What are the expectations of the project? Does the project build on a previously completed HMEP Grant funded project? Does the project address gaps identified in an After Action Report?  
**NOTE:** Previous HMEP funding does not guarantee future HMEP funding approval.
- H. **Justification.** Why should the project proposal be approved? Explain if, or how this proposal supports the listed Goals and Objectives.

## **Work Schedule and Deliverables Form**

This is a chronological listing of significant activities that will take place during the performance period, along with project tasks and deliverables or major milestones within each activity. The expected progress of each activity is indicated by placing an “X” in the appropriate “monthly progress schedule” box, where “1” represents October and “12” represents September. Minor changes to the activity schedule as actual progress occurs will be identified in the Quarterly Performance Report, and may require a revised Work Schedule and Deliverables Form. Major changes to the activity schedule must be communicated to Cal OES as soon as they are identified.

The process of obtaining sub-award approval and signature can create delays in beginning the grant project. Pre-planning to understand the requirements necessary for receiving the award will be necessary to ensure a timely start of project activities.

## **Budget Sheet**

Enter the breakdown of the total cost of all project activities required to complete the project on the Budget Sheet. All costs must be eligible, reasonable, necessary, and allocable to the approved project in accordance with [2 CFR 225 \(OMB Circular A-87\)](#) or [2 CFR 220 \(OMB Circular A-21\)](#), as applicable.

- Work performed prior to the beginning of the sub-grant performance period, is not eligible for reimbursement.
- Budgets may not include profit as a line item.
- Overtime/Backfill are not allowable expenses
- Software (except CAMEO) is not an allowable expense
- Indirect costs cannot be included in the Salaries and Wages figure

## Instructions for completing the Budget Sheet

| Field Name                | Description of Information Required   |
|---------------------------|---|
| <b>Applicant</b>          | Full name of the public agency applying for the grant.  |
| <b>Project Title</b>      | A brief title of the proposed project.  |
| <b>Personnel Services</b> | <p>Included in personnel services are the straight-time salaries and normal fringe benefits for wage-earning personnel employed by the applicant, who will be working on the project. These types of costs for a third party are to be indicated under Professional Services. Sub-grantees are required to keep up to date time charge records (functional timesheets) for the project, and submit them with the Reimbursement Request Form that relates to time worked.</p> <p><b>Overtime, backfill, and indirect costs are not allowed.</b></p> <p>The salary and fringe benefits rate, duties and amount of time expected to be spent on grant related activities must be included in the budget narrative.</p> |
| <b>Salaries and Wages</b> | <p>Includes the straight-time salaries or wages and normal fringe benefits for each employee (whether permanent, seasonal, temporary, etc.) that will be participating in approved grant activities.</p> <p>For HMEP Share, reimbursement cannot replace salaries paid for by other federal funds. If used for Match Share, must be non-Federal funds.</p>  |
| <b>Operating Expenses</b> | <p>These include any costs that are allowable, reasonable and necessary for the completion of the project, except salary or professional services. The sub-recipient will be required to keep an up to date inventory of all operating expenses associated with the proposed project.</p> <p>Each operating expenses line item requires a brief description of the need for the item(s), how the dollar amounts were derived and how the item(s) will be used for the project.</p>  |
| <b>Travel</b>             | Includes the cost of transportation, subsistence, and other associated costs incurred by applicant personnel that are directly related to the project. (Note: All non-governmental organized work shall be submitted under Professional Services).  |
| <b>Office Supplies</b>    | <p>Supplies are tangible property other than equipment which are allowable, reasonable, and necessary for the completion of the project. Costs are incurred by the applicant for supplies solely dedicated to grant project activities. Categories of supplies to be procured (i.e., publications, manuals, paper, and pens) for use during proposed activities will be identified in the budget narrative, with associated costs per unit.</p> <p><b>Software is not allowed (except CAMEO)</b></p>  |
| <b>Facility Rental</b>    | <p>Includes all bids and invoices for facility rental expenses, which are necessary for the completion of the project.</p> <p><b>No food charges are to be included with facility rental bids or charges.</b></p>   |



|  |  |
|--|--|
| <b>Communication</b>                           | Includes all telephone, fax, etc. charges necessary for the completion of the project. A breakdown must be provided to justify the relation of these charges to the project.   |
| <b>Printing</b>                                | Includes all printing and reproduction charges, developed as a result of the project. Direct and indirect costs of printing and reproduction of printed materials shall be included, but must be relevant to the project.  |
| <b>Postage</b>                                 | Includes all types of postage necessary for the completion of the project, including the expedited submission of grant documentation.  |
| <b>Other Direct Expenses</b>                   | Includes all direct costs not specially mentioned above. These costs must not be duplicated in other budget items.   |
| <b>Professional Services</b>                   | These expenses include the costs for any contractors or consultants needed by the applicant to undertake the activities specified in the Scope of Work.<br><br><b>Must</b> describe how the dollar amounts were derived and how the vendor will be selected in the budget narrative.   |
| <b>Local Match</b>                             | Sub-grantees are required to provide 20 percent of the total project costs with non-Federal funds. Sub-grant recipients may either use cash (hard-match), in-kind (soft-match) contributions, or a combination of in-kind plus hard-match to meet this requirement. For In-kind match, as the method for determining the value must be included and accounting of effort toward grant activities must be documented. Sub-grantees may use matching from any of the allowable object classes; it is not necessary to meet the 20 percent match in each category. Examples include salary, equipment or supply purchase, space usage, the value of a participant's time during an allowable activity, or the dollar value of a grant related activity or purchase. Sub-grantees must ensure that activities and/or expenditures counted as matching towards the planning grant are used for allowable planning-related activities. |
|  |  |
| <b>Procurement</b>                             | The applicant will assume full responsibility for the actual procurement process, liability, and responsibility for completion of the project as described in the Scope of Work.<br><br>Sub-grantees must comply with the procurement requirements of <a href="#">49 CFR 18</a> or <a href="#">49 CFR 19</a> , as applicable.  |
| <b>PHMSA Expenditures and Activities Guide</b> | Please reference the PHMSA HMEP Grant Expenditures and Activities Guide for more information on matching, and allowable and unallowable expenses.<br><br><a href="http://phmsa.dot.gov/hazmat/grants">http://phmsa.dot.gov/hazmat/grants</a>   |

## **Budget Narrative**

On a separate sheet, include a detailed explanation for each line item on the Budget Sheet.

- Itemize expenses (i.e., travel, equipment, general operating expenses, salaries, and other costs).
- Indicate the personnel who will be working on the project, the estimated amount of time on each major portion of the project, and their salary rate. Indirect costs are not allowed.
- Itemize and describe how the dollar amounts were derived and how the items will be used for the project.
- If services by a consultant/contractor are expected to be performed, contact should be made with them prior to submitting a cost estimate for their services. Describe how the dollar amounts were derived and how the vendor will be selected.

## **Grant Assurances**

The Cal OES HMEP Grant Assurances outline programmatic requirements that apply to the acceptance and implementation of an HMEP grant award, and with which the Authorized Agent certifies they will comply.

## **Application Package Due Date**

A completed application package, signed by the Authorized Agent, must be submitted electronically by 5 p.m. on June 2, 2014 to the Cal OES HMEP Grant Administrator at [neverley.shoemake@caloes.ca.gov](mailto:neverley.shoemake@caloes.ca.gov).

The hard copy original must be postmarked by June 2, 2014, addressed to:  
California Governor's Office of Emergency Services  
Hazardous Materials Section  
Attn: Neverley Shoemake  
3650 Schriever Ave  
Mather, California 95655

The Cal OES HMEP Grant Administrator will forward eligible applications to the appropriate Local Emergency Planning Committee (LEPC) for approval and prioritization during the next regularly scheduled meeting. See [LEPC Contacts](#) for region representatives and meeting dates.

## **Application Approval**

Incomplete applications **will not** be approved.

Approximately mid-September, the application review process will be complete and conditional offers of funding will be sent to approved applicants. The signed acceptance document must be counter-signed by Cal OES prior to the sub-grantee being approved to initiate activities, a process that can take up to two weeks.

**Regardless of when the sub-grantee performance period begins, all project activities must be completed by September 15<sup>th</sup>.**

# **Part Five –Managing the Grant**

## **Expectations**

Sub-grantees will expend the full amount of the award on eligible, approved project costs.

Quarterly reporting documentation will be submitted in accordance with identified deadlines.

Sub-grantees who are not substantially on track with the approved timelines or budget by the end of the 2<sup>nd</sup> Quarter of the Performance Period risk having the award terminated.

Funds projected to remain unspent by the end of the performance period **MUST** be reported as soon as they are identified, but not later than the end of the 3<sup>rd</sup> Quarter of the Performance Period.

Budget estimates submitted during the sub-grant application process are estimates of expected costs. Frequent reconciliation of actual expenditures must be maintained so that awarded funds that cannot be expended within the performance period can be de-obligated and reallocated to other allowable activities. De-obligations that occur at the end of the performance period do not allow for reallocation and may result in funds being returned to U.S. DOT/PHMSA.

## **Modification or Amendment Requests**

All changes to the approved scope of work or budget must be *approved* by Cal OES, *prior* to initiating the revised scope of work or incurring the associated expenditures. These requests for changes must be made in writing, and within the timeframes outlined in the General Terms and Conditions.

Failure to request prior approval to modify the scope of work or budget could result in a reduction or disallowance of that part of the grant.

## **Reimbursement Requests**

Planning funds are made available to sub-grantees on a reimbursement basis using the Reimbursement Request Form. Reimbursement requests may be submitted monthly, but not less than quarterly, and must have supporting documentation that provides details for the Total Expenditures being claimed (Match Share and HMEP Share). Retain the original documents according to the Records Retention schedule.

An original signature is required. E-mail and fax copies will not be processed for payment.

Grant-related project expenditures prior to the beginning of the sub-grantee performance period and receipt of formal notification that project activities can begin are not eligible for reimbursement.

A Reimbursement Request Form and supporting documentation are required even if there were only Match Share expenditures for the quarter.

### **Examples of documents to submit with Reimbursement Requests:**

- An invoice on the contracting agency’s letterhead or billing form. The invoice must include the name, address, and federal tax identification number of the contracting agency.
- Copies of receipts, including the reason for the expense.
- Copies of event programs, agendas, registrations, etc.
- Copies of notices and letters sent, along with a list of recipients.
- Copies of rosters for funded activities (event agendas, meeting or exercise rosters, etc.).
- Copies of any subcontracts or agreements entered into by the sub-grantee involving HMEP grant funds, (e.g. personal service contracts).
- Copies of functional timesheets or reporting documents to support any personnel costs.

### **Instructions for completing the Reimbursement Request Form**

| <b>Field Name</b>          | <b>Description of Information Required</b>   |
|----------------------------|--|
| Sub-recipient              | The Applicant (agency) identified in the grant application.  |
| Cal OES ID #               | Leave Blank  |
| HMEP Grant #               | Leave Blank  |
| Change of Authorized Agent | Indicate a change in Authorized Agent by checking the box shown and completing the new information in the Authorized Agent area of the form.<br><br>Must submit new HMEP Grant Assurances and Designation Statement prior to or along with the Reimbursement Request Form.                           |
| Billing period             | The month, day and year for the beginning and the end of the period covered, which typically mirrors a Federal Fiscal Quarter (FFQ).   |
| Quarter                    | Mark the number of the FFQ for the indicated billing period.<br><br>October 15 – December 31 = Quarter 1<br>January 1 – March 31 = Quarter 2<br>April 1 – June 30 = Quarter 3<br>July 1 – September 15 = Quarter 4   |
| Total Expenditures         | Enter the total amount of costs for this billing period in the first column, which are fully supported by the accompanying documentation.<br><br>Enter the year-to-date total of costs in the second column by adding previous quarter (s) Total Expenditures to the amount for this billing period. |
| HMEP Share                 | Enter the total amount of Federal HMEP share of your claim for this billing period in the first column, which cannot exceed 80% of the Total Expenditures. This is the amount to be reimbursed.  |

|                    |  |
|--------------------|--|
| HMEP Share (Cont.) | Enter the year to date total for HMEP Share in the second column by adding previous quarter (s) HMEP Share to the amount for this billing period.  |
| Local Match        | Enter the amount your agency is contributing toward the Total Expenditures for this billing period in the first column, which is typically 20% of the Total Expenditures.<br><br>Enter the year-to-date total for Local Match in the second column by adding previous quarter (s) Local Match to the amount for this billing period. |
| Authorized Agent   | Complete all line items and ensure that the form is signed by the Authorized Agent. If this is a different person from the previous billing period, see 'Change of Authorized Agent' information above.<br><br>The date of the signature must be on or after the last day of the billing period.                                     |
| Mail               | Mail the original Reimbursement Request Form, along with all supporting documentation, to the address at the top of the form.  |

## Quarterly Performance Reports

The HMEP grant is based on performance. Quarterly Performance Reports are used by Cal OES to ensure that the projects are kept on schedule and are within the parameters that Cal OES approved. Failure to submit quarterly reports by the due date could result in grant reduction, termination or suspension.

The Quarterly Performance Report is required for each quarter, regardless of whether there were expenditures or not. Sub-grantees who are not substantially on track with the approved timelines or budget by the end of the 2<sup>nd</sup> Quarter risk de-obligation of the award. If there were expenditures for the quarter (HMEP Share, Match Share, or both), complete a Reimbursement Request Form and submit both at the same time.

If there are changes to the Work Schedule, detail the circumstances in the Quarterly Performance Report and submit an updated Work Schedule and Deliverables Form.

Sub-Grantees must submit Quarterly Performance Reports to Cal OES until all grant activities are completed or for the duration of the grant performance period. The reports must include the status of all approved activities, and should align with the Work Schedule and Deliverables contained in the Grant Application package. The reports are due as follows:

- Start of sub-grantee Performance Period through December 31 – **Report due January 7.**
- January 1 through March 31 – **Report due April 7.**
- April 1 through June 30 – **Report due July 7.**
- July 1 through September 15 (**FINAL REPORT**) – **Report due October 7.**

## **Final Report**

The sub-grantee must notify Cal OES, in writing, when all approved grant activities have been completed and paid for. The notice must be submitted within 30 days of project completion, but not later than October 7th and in the form of a Quarterly Performance Report. Documentation showing completion of approved project activities must be submitted with the Final Report in electronic format – avoid submitting printed plans or other developed product.

**All approved project activities must be completed and paid for by September 15 each year.**

## **Hazardous Materials Exercise Requirements**

If not included in the Application Package, the following information must be included with the Final Quarterly Performance Report:

- A brief statement describing the purpose of the exercise, to include what part of the emergency response plan is under evaluation and the transportation method involved.  
**NOTE:** An exercise may involve a fixed facility, but must be focused on transportation
- The objectives or planned benefits of the exercise
- The names of the members of the exercise design team
- The names of the members of the evaluation team, and identify the lead evaluator
- A list of agencies participating in the exercise
- The number of participants
- Electronic copies of exercise manuals, IAPs, etc.
- An after action report listing accomplishments and lessons learned (Draft is acceptable)

## **Cal OES Closeout Review and Notification**

Cal OES will review the sub-grantee's Final Report for compliance with all grant conditions. Once compliance has been verified, the sub-grantee will receive written notification that their grant has been closed and that the 3-year records retention period has begun.

## **Record Retention Requirements**

Record retention requirements can be found in 49 CFR 18.42 and 49 CFR 110.90 (c). Generally, records must be kept for three years after the end of the project year. Sub-grantees will be notified in writing that their grant has been closed by Cal OES and that the records retention period has begun. All documents, regardless of storage medium, must remain available for the entire records retention period, unless notified otherwise.

## **Accessibility of Records**

The U.S. DOT, the Comptroller General of the United States, Cal OES, or 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. (49 CFR 18.42)

## **Cal OES Monitoring**

In addition to monitoring sub-grantee progress through e-mail and phone communication, and the Quarterly Performance Reports and Reimbursement Requests, Cal OES may perform more in-depth periodic reviews of grant activities. These reviews may include, but are not limited to:

- Comparing actual grant activities to those that were approved
- Confirming compliance with:
  - Grant Assurances
  - Information provided on the quarterly and/or final reports
  - Procurement procedures and policies
  - Supporting documentation requirements
  - Match requirements
  - Contract provisions

## **Suspension or Termination**

Cal OES may suspend or terminate sub-grantee funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to comply with the requirements or statutory objectives of federal or state law.
- Failing to make satisfactory progress toward the goals or objectives set forth in the sub-grantee's approved scope of work.
- Failing to comply with sub-grant terms and conditions, assurances, and other guidance or requirements.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been approved.
- Failing to submit required reports.
- Filing a false certification in the application or other report or document.

Before taking action, Cal OES will provide the sub-grantee reasonable notice of intent to impose measures and will make efforts to resolve the problem informally.

## **Part Six - Abbreviations and Acronyms**

|          |  |
|----------|--|
| Cal OES  | California Governor's Office of Emergency Services   |
| CAMEO    | Computer-Aided Management of Emergency Operations Software suite   |
| CERT     | Community Emergency Response Team  |
| CFR      | Code of Federal Regulations  |
| CUPA     | California Unified Program Agency  |
| DOT      | Department of Transportation   |
| EPCRA    | Emergency Planning and Community Right-to-Know Act of 1986   |
| FFQ      | Federal Fiscal Quarter<br>Qtr 1: October 1 – December 31<br>Qtr 2: January 1 – March 31<br>Qtr 3: April 1 – June 30<br>Qtr 4 : July 1 – September 30 |
| HazMat   | Hazardous materials  |
| HMEP     | Hazardous Materials Emergency Preparedness   |
| IAP      | Incident Action Plan   |
| LEPC     | Local Emergency Planning Committee   |
| OMB      | United States Office of Management and Budget  |
| PDF      | Portable Document Format   |
| PHMSA    | Pipeline and Hazardous Materials Safety Administration   |
| U.S.C.   | United States Code   |
| U.S. DOT | United States Department of Transportation   |
| WMD      | Weapons of Mass Destruction  |



# HAZARDOUS MATERIALS EMERGENCY PREPAREDNESS (HMEP) PLANNING GRANT

## Frequently Asked Questions

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|   |   |
|---|---|
| <b>What is the purpose of the HMEP grant?</b>                               | Federal Hazardous Material Law authorizes the U.S. Department of Transportation (DOT) to provide assistance to public sector employees through training and planning grants. The purpose of the HMEP grant program is to increase effectiveness in safely and efficiently handling hazardous materials accidents and incidents; enhance implementation of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA); and encourage a comprehensive approach to emergency training and planning by incorporating the unique challenges of responses to transportation situations. |
| <b>Who decides how much funding California receives for the HMEP grant?</b> | Each year, Cal OES submits an application for funding on behalf of the State of California to the U.S. DOT/Pipeline & Hazardous Materials Safety Administration (PHMSA) The amount of the award received is determined by (1) number of 302 facilities filing in the state, (2) population, and (3) highway miles within the state.   |
| <b>How much funding does each Region get?</b>                               | Each region in California has unique risks associated with them. In accordance with U.S. DOT requirements, LEPCs review, prioritization, and approve sub-grant applications. Larger funding awards may be necessary in certain geographical areas with a greater need or that are of particular concern, when considering transportation-related risks. Historically there is approximately \$600,000 available for sub-awards each grant cycle.  |
| <b>What is the final filing date?</b>                                       | Starting in 2014, applications must be submitted to Cal OES no later than <b>June 1st</b> . The sub-grantee project performance period is the following October 15 to September 15.   |
| <b>What kinds of Planning projects are funded?</b>                          | Projects to: develop, improve and implement emergency plans; exercise the plans; conduct hazards analysis and update response procedures for emergencies involving transportation of hazardous materials (including radioactive materials); assess flow patterns of hazardous materials; conduct needs assessment for regional hazardous materials emergency response teams; and assess local response capabilities.  |

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**Is there a Match requirement?**

**Yes.** The sub-grantee must provide at least 20% of the total project cost by cash or in-kind contributions. This is most often met by the value of staff time, but there are many options that will satisfy this requirement.

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**Are performance reports and invoicing required?**

**Yes.** The HMEP grant is based on performance. Quarterly performance reports are used by Cal OES to ensure that projects are kept on schedule and are within the approved scope of work. If expenditures occurred during a quarterly reporting period, grant recipients must also prepare and submit an HMEP Reimbursement Request Form.

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**When are the reports submitted?**

Performance Reports are required to be submitted by the 7<sup>th</sup> day following the end of each Federal fiscal quarter. Reimbursement Requests can be submitted at least monthly. All approved projects must have expenditures to submit on a Reimbursement Request Form by the end of the second quarter or risk de-obligation of the award.

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**What are the Federal fiscal quarters?**

|                |                        |                   |
|----------------|------------------------|-------------------|
| First Quarter  | Oct. 1 through Dec. 31 | Report due Jan. 7 |
| Second Quarter | Jan.1 through Mar. 31  | Report due Apr. 7 |
| Third Quarter  | Apr. 1 through Jun. 30 | Report due Jul. 7 |
| Fourth Quarter | Jul. 1 through Sep. 30 | Report due Oct. 7 |

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**When do we get reimbursed for our expenditures?**

Once Cal OES receives a Reimbursement Request Form it is processed through to the accounting office. From there, a request is submitted, at least monthly to U.S. DOT to have funds forwarded to the State Controller's Office. Sub-grantees get reimbursed from the State Controller's Office. The process normally takes a total of six - eight weeks from the time it is received by Cal OES.

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**What if we still have questions?**

For more information, refer to the Cal OES HMEP Grant Web page (<http://www.caloes.ca.gov/HazardousMaterials/Pages/HMEP-Grant.aspx>), contact the Cal OES LEPC Liaison for your region (<http://www.caloes.ca.gov/HazardousMaterials/Pages/LEPC-Contacts.aspx>), or the Cal OES HMEP Grant Administrator, Neverley Shoemake at (916) 845-8765 or [neverley.shoemake@caloes.ca.gov](mailto:neverley.shoemake@caloes.ca.gov).

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