2020 GRANTS CLEARINGHOUSE APPLICATION HANDBOOK

Fire Prevention Grants for Non-Federal Lands

California Fire Safe Council

Phone: (916) 648- 3600

McClellan Administrative office

5834 Price Ave, Ste. 101

McClellan, Ca 95652

www.cafiresafecouncil.org

TABLE OF CONTENTS

INTRODUCTION 1

ACKNOWLEDGEMENTS 1

1. CFSC CONTACT INFORMATION 2

2.IMPORTANT WEBSITES 3

3.LIST OF ACRONYMS. 5

4.GRANT PROGRAM OVERVIEW 8

1.Submission Deadline

2.Synopsis of Grant Opportunity

3.Funding, Cost Share Requirement and Duration

4.Form of Application Submission

5.ZoomGrants Grant Site

5.CFSC CLEARINGHOUSE GRANT HISTORY 10

The Grants Clearinghouse

6.2020 FUNDING OPPORTUNITIES 11

1.Funding Overview

2.Funding Areas

3.Other Considerations

4.Fiscal Sponsorship

7. FEDERAL GRANT BASICS 18

1.Federal Grant Overview

2.The Role of the Subrecipient

3.The Role of the Fiscal Sponsor

4.Grant Funds and Matching Contributions

5.Avoiding Grants Fraud

6.Common Misconceptions

8. FEDERAL GRANT REGULATIONS 29

1.Uniform Guidance 2 CFR 200 “Super Circular”

2.Prepare now

3.Financial Management System

4. Project Management Capabilities
5. Website links for CFRs

9. GRANT CYCLE PHASES 32
1. Application Phase
2. Pre-Award Phase
3. Award Phase
4. Post Award Phase
5. Closeout Phase

10. SUBMISSION INSTRUCTIONS 36
1. Get Help
2. Submission Instructions
3. ZoomGrants Dashboard
4. Complete the Application Online
5. Uploading Documents to ZoomGrants
1. Letters of Commitment (LOCs)
2. Fiscal Sponsor Agreement (if applicable)
3. Project Vicinity Map.
4. Indirect Cost Rate Agreement (If Applicable)
6. Application Submission

11. APPLICATION REVIEW. 45
Initial Screening
Application Scoring and Review Process
Scoring Criteria

12. NEXT STEPS FOR SELECTED APPLICATIONS 48
Pre-Award Phase
Organizational Capacity and Risk Assessment
Grant Award

13. APPENDICES 53
1. Sample Letters of Commitment
2. Using CAL FIRE Crews and Match
3. Sample Fiscal Sponsor Agreement
4. Sample Maps
5. SAM and DUNS & Insurance Recommendations
6. Sample Environmental Compliance Determination Letter

INTRODUCTION

The Grant Application Handbook is designed to provide applicants and grantees of California Fire Safe Council's Grants Clearinghouse with essential information about the grant process, including grant requirements and expectations.

The information in this handbook is vital for successful grant management and is applicable to new applicants and previous or existing grantees.

For additional assistance with the grant process, please contact the Grant Specialist for your area. A list of the Grant Specialist is provided in the *Contact Information* section.

ACKNOWLEDGEMENTS

This grant program and publication are funded in full by the U.S. Forest Service, Pacific Southwest Region under the terms of Grant numbers 19-DG-11052012-134. The opinions expressed are those of the authors and do not necessarily reflect the views of the U.S. Forest Service.

California Fire Safe Council (CFSC) is committed to making its materials and programs accessible to all customers and employees. If you experience any difficulty accessing information provided by CFSC, please contact us at info@cafiresafecouncil.org or (916) 648-3600. We will do our best to assist you. This may include providing the information to you in an alternate format.

In accordance with federal law and U.S. Department of Agriculture (USDA) policy, CFSC is prohibited from discriminating on the basis of race, color, national origin, sex, age or disability. Not all prohibited bases apply to all programs. CFSC is an equal opportunity provider and employer.

To file a complaint of discrimination: write USDA, Director, Office of Civil Rights, Room 326-W, Whitten Building, 1400 Independence Avenue, SW, Washington, D.C. 20250-9410 or call (202) 720-5964 (voice and TDD). USDA is an equal opportunity provider and employer.

1. CFSC CONTACT INFORMATION

This section provides contact information for CFSC grant staff and web links to websites for reporting and grant-related information.

Administrative Headquarters (McClellan)
California Fire Safe Council
5834 Price Ave. Ste. 101
McClellan, CA 95652
Main line (916) 648-3600

Patty Ciesla Executive Director Phone: 916-648-3613 Email: pciesla@cafiresafecouncil.org	
Amber Gardner Clearinghouse Manager Phone: 916-256-3337 Email: agardner@cafiresafecouncil.org	Contact Amber if you have questions about how to use features in the ZoomGrants website.
Bethany Perez Business Manager Phone: 916-648-3615 Email: bperez@cafiresafecouncil.org	Contact Bethany with questions relating to banking information for grant payments.
Dan Lang Senior Grant Specialist Phone: 916 -256-3621 Email: dlang@cafiresafecouncil.org	Contact Dan if your project is located in Northern California or upper Central California.
Elizabeth LaMar Grant Specialist Phone: 559-288-2603 Email: elamar@cafiresafecouncil.org	Contact Elizabeth if your project is located in Southern California or lower Central California.
Dalonna Scott Data Management Specialist Phone: 909-906-9450 dscott@cafiresafecouncil.org	Contact Dalonna with questions about the environmental compliance status of your grant.
Environmental Compliance Consultant *James L. Able Forestry Consultants, Inc.* *1410 Second Street* *Eureka, CA 95501* *(707) 445-4130* *Daniel G. Cohoon* DCohoon@ableforestry.com	Contact Able Forestry Consultants, Inc. with questions about the requirements of the environmental compliance process.

2. IMPORTANT WEBSITES

California Fire Safe Council
www.cafiresafecouncil.org
The California Fire Safe Council website contains contact information, notices about funding sources, meetings and events that may be beneficial to your project or other fire prevention activities.

ZoomGrants
www.zoomgrants.com
ZoomGrants houses the clearinghouse grant application and progress reporting system and is the location for downloading and submitting payment request and grant modification forms. You will access ZoomGrants at least quarterly when you fill out grant progress reports and submit source documentation. Important notices will be sent through the ZoomGrants email system so be sure to keep your account contacts up to date.

System for Award Management (SAM.gov) Registration
www.sam.gov
The SAM website is used to renew your annual DUNS and CAGE codes. SAM accounts and renewals are free of charge so be sure to renew directly through SAM.gov. Other sites may offer to create or update accounts for a fee but that is not necessary. The debarred and suspended database on SAM.gov can be used to check the status of project managers, those with oversight of the project, and contactors providing $25,000 worth or more in goods or services. All applicants are required to obtain a Data Universal Numbering System (DUNS) number from Dun and Bradstreet and then register in SAM prior to submitting an application.

Code of Federal Regulations
https://ecfr.io/Title-02/cfr200_main
To access the text of the code of federal regulations for grants, find the reference numbers in your sub award for administrative regulations, cost principles, or audit requirements and search for them by clicking on the code of federal regulations link on the website above.

USDA Program Discrimination Complaint Process
https://www.ascr.usda.gov/program-discrimination-complaint-filing
As part of the grant agreement, recipients are required to provide information on how to file a complaint of program discrimination with the USDA. The website above describes the process for filing such a complaint.

Community Guide to Preparing and Implementing CWPPs
www.forestsandrangelands.gov/communities/documents/CWPP_Report_Aug2008.pdf
The Community Guide to Preparing and Implementing a Community Wildfire Protection Plan (Community Guide) is a guide intended to assist CWPP participants by providing innovative

strategies, case studies, and additional resources to develop, implement, and monitor their CWPPs.

USFS Best Management Practices for Creating a CWPP (2011)
www.nrs.fs.fed.us/pubs/gtr/gtr_nrs89.pdf
The USFS Best Management Practices for Creating a CWPP is a collection of best management practices suggested by a variety of communities that have already implemented CWPPs

How to Complete a Community Wildfire Protection Plan for Washoe County Communities http://www.unce.unr.edu/publications/files/nr/2013/sp1306.pdf
The Living with Fire published template from their Learning Center prepared by the University of Nevada Cooperative Extension.

3. LIST OF ACRONYMS

The following is a list of the acronyms that may be used during the grant process. Please contact the California Fire Safe Council if you encounter any terms that you are not familiar with as you prepare your application.

BIA	Bureau of Indian Affairs (United States Department of the Interior)
BLM	Bureau of Land Management (United States Department of the Interior)
BLS	Bureau of Labor Statistics (United States Department of Labor)
BMP	Best Management Practices
BOF	Board of Forestry and Fire Protection
CAL EMA	California Emergency Management Agency (formerly referred to as OES)
CAL FIRE	California Department of Forestry and Fire Protection (formerly referred to as CDF)
CAR	Communities At Risk
CDF	California Department of Forestry and Fire Protection (currently referred to as CAL FIRE)
CDFG	California Department of Fish and Game
CEQA	California Environmental Quality Act
CERES	California Environmental Resources System
CESA	California Endangered Species Act
CFDA	Catalog of Federal Domestic Assistance
CFIRS	California Fire Incident Reporting System
CFP	California Fire Plan
CFR	Code of Federal Regulations
CFSC	California Fire Safe Council
COG	Council of Governments
COI	Community of Interest
CP	Community Protection
CPA	Certified Public Accountant
CWPP	Community Wildfire Protection Plan
DBH	Diameter Breast Height (a measurement of tree size)
DFPZ	Defensible Fuel Profile Zone
DMA	Disaster Management Assistance
DMA	Disaster Mitigation Act 2000 (FEMA)
DOI	United States Department of the Interior (also referred to as USDOI)
EF	Emergency Funds
EIN	Employee Identification Number
EIR	Environmental Impact Report (CEQA)
EIS	Environmental Impact Statement (SEPA)

EPA	Environmental Protection Agency
ESA	Federal Endangered Species Act (also referred to as FESA)
FEMA	Federal Emergency Management Agency (United States Department of Homeland Security)
FESA	Federal Endangered Species Act (also referred to as ESA)
FFY	Federal Fiscal Year
FMAZ	Fire Management Analysis Zone (CFP)
FMP	Forest Management Plan
FOFEM	First Order Fire Effects Model
FR	Fuels Reduction
FRA	Federal Responsibility Area
FRAP	Fire and Resource Assessment Program
FRCC	Fire Regime and Condition Class
FS	United States Forest Service (United States Department of Agriculture – also referred to as USFS)
FSC	Fire Safe Council
FTB	Franchise Tax Board (State of California)
FWS	Fish and Wildlife Service (United States Department of the Interior – also referred to as USFWS)
FY	Fiscal Year
GIS	Geographic Information System
GM	Grant Manager
GPS	Global Position System
HFR	Hazardous Fuels Reduction
HFRA	Healthy Forests Restoration Act
HMGP	Hazard Mitigation Grant Program (FEMA)
HMP	Hazard Mitigation Plan
ICS	Incident Command System
JPA	Joint Powers Agreement
LAT	Latitude
LONG	Longitude
LRA	Local Responsibility Area
MBTA	Federal Migratory Bird Treaty Act
MOU	Memorandum of Understanding
NDDB	Natural Diversity Data Base (CDFG)
NEPA	National Environmental Policy Act
NFP	National Fire Plan
NFPA	National Fire Protection Association
NGO	Non-governmental Organization
NHPA	National Historic Preservation Act
NPS	National Park Service (United States Department of the Interior)
NRCS	Natural Resources Conservation Service (United States Department of Agriculture)
NWCG	National Wildfire Coordinating Group

OES	Office of Emergency Services
OMB	Federal Office of Management and Budget
OSFM	Office of the State Fire Marshall
PRC	Public Resources Code
Q1, Q2…	Quarter 1, Quarter 2, and so on… (Quarter is a 3-month period used for project planning, distributing funds, reporting project progress, etc.)
RC	Review Committee
RC&D	Resource Conservation and Development
RCD	Resource Conservation District
RFA	Request for Application
RFP	Request for Proposal
RPF	Registered Professional Forester
SAF	Society of American Foresters
SFA	State Fire Assistance
SFM	State Fire Marshal
SHPO	State Historic Preservation Office (California)
SNC	Sierra Nevada Conservancy
SOG	Strategic Opportunity Grants
SRA	State Responsibility Area
T&E	Threatened and Endangered Species
THP	Timber Harvest Plan
UBC	Uniform Building Code
UCCE	University of California Cooperative Extension
UFC	Uniform Fire Code
USDA	Unites States Department of Agriculture
USDOI	United States Department of the Interior
USFS	United States Forest Service (United States Department of Agriculture)
USFWS	United States Fish and Wildlife Service (United States Department of the Interior)
USGS	United States Geological Survey
VMP	Vegetation Management Plan (CAL FIRE)
WGA	Western Governors Association
WUI	Wildland Urban Interface

4. GRANT PROGRAM OVERVIEW

A. Submission Deadline

Application Period Opens	**May 15, 2020**
Grant Application Training Workshops (Online Only)	**May 19 & May 21**
Applications Due	**June 18, 2020 5:00 p.m. PDT**

B. Synopsis of Grant Opportunity

California Fire Safe Council (CFSC) is pleased to announce its competitive application process for 2020 wildfire prevention grants. Funding is provided through master grants to CFSC by the U. S. Forest Service to administer the Grants Clearinghouse program, with CFSC issuing subawards to successful applicants for the following areas of hazard mitigation competitive grants:

- Hazardous fuels reduction and maintenance projects on non-federal land
- Community Wildfire Protection Plans (CWPP) and other planning or assessment documents
- Prevention and mitigation education and outreach opportunities for landowners and residents in at-risk communities

C. Funding, Cost Share Requirement and Duration

CFSC has approximately $ 1,400,000 in State Fire Assistance (SFA) grant funds available for 2020 wildfire prevention projects.

Individual applications that exceed $200,000 will be ineligible ($100,000 for organizations utilizing the services of a Fiscal Sponsor). Fiscal sponsors may submit 2 applications and

receive up to $200,000 for themselves plus be awarded up to $100,000 each for sponsoring organizations (up to 3 organizations total). To illustrate this, if a fiscal sponsor is sponsoring 3 organizations each asking for $100,000, then all three may be funded, for a total of $300,000 plus up to $200,00 for their own request. So a fiscal sponsor can potentially be awarded up to $500,000.

The minimum applicant cost share is 100% of the federal grant amount, but can be more. The applicant's matching contribution must come from non-federal sources, and can include cash and/or third-party in-kind contributions. For example, a $200,00 grant request must be matched with $200,000 or more from the applicant and cooperators. The grant performance period is 24 months. Grant funds cannot be expended after the termination date.

D. Form of Application Submission

- **Applications must be submitted online by 5:00 p.m. PDT on July 18, 2020 at** http://www.cafiresafecouncil.org/zoomgrantslogin/. To submit an application, your organization must have a free account with ZoomGrants. To create a free account, visit http://www.cafiresafecouncil.org/zoomgrantslogin/ and complete the fields in the "New ZoomGrants Account" box on the right hand side of the screen.
- All supporting documents must be uploaded to the ZoomGrants account in the Documents Tab. Emailed, mailed or faxed documents will not be accepted and will result in application disqualification.
    - All applicants must submit Letter(s) of Commitment from all organizations contributing cash or in-kind services or goods.
    - If your organization is required to use a Fiscal Sponsor, you must submit a Fiscal Sponsor Agreement Letter.
    - If your organization has been given a negotiated Federal Indirect Cost Rate Agreement (NICRA) with a federal agency, you must submit a copy of your NICRA.

E. ZoomGrants Site

CFSC uses an online software vendor, ZoomGrants, for the 2020 CFSC Grants Clearinghouse. ZoomGrants is user-friendly, but please allow extra time to become oriented to the software if you are new to ZoomGrants. Applicants will use ZoomGrants to create and submit their 2020 grant applications. Applicants will also use the site to upload Letters of Commitment and Fiscal Sponsor Agreement letters (if applicable).

Go to http://www.cafiresafecouncil.org/zoomgrantslogin/ to start a grant application today in our ZoomGrants system. You will use this online grant program through the entire period of performance should you be awarded a grant.

5. CFSC CLEARINGHOUSE GRANT HISTORY

The Grants Clearinghouse

The California Fire Alliance originally assisted CFSC in the creation of the Clearinghouse to help achieve the goals of the National Fire Plan by facilitating an open, collaborative process for grant funding. Operated by CFSC, the Grants Clearinghouse is an online grant application process located at www.cafiresafecouncil.org. Applicants can sign-up for a user name and password, and submit applications to the Clearinghouse for consideration.

Following the sunset of the National Fire Plan in 2010, California Fire Safe Council has continued to receive federal funding to provide grants through our Grants Clearinghouse. The National Cohesive Wildland Fire Management Strategy replaced the National Fire Plan and current funding is aligned with the objectives of the Cohesive Strategy and California's Forest and Rangelands: 2010 Strategy Report and 2010 Assessment Report which comprise the California Forest Action Plan.

Benefits for Grant Applicants

- One application process and one deadline for multiple grant programs.
- All requirements are found in the RFA so there is less research and less writing.
- All applications are judged by the same criteria through one process.
- Applications not selected for funding initially are retained in the Clearinghouse for one year in case additional funding becomes available. This has happened numerous times since our first grant cycle in 2004.

Benefits for Funding Agencies

- Funders can support local projects without taking on the required recordkeeping, monitoring, and other duties involved with managing grants.
- Funders can prioritize their own projects adjacent to Grants Clearinghouse-funded projects to achieve a wider sphere of fuel reduction.
- Funders have an effective way to distribute grant funds to local areas throughout California and the Tahoe Basin of Nevada.

In its fifteen years of grant making, CFSC has funded over 900 grants totaling over $100 million for projects to make communities across California safer from wildfire. Each year, efforts are made to ensure competitive, equitable, and geographically diverse distribution of the available grant funds. The average grant award is around $111,000.

6. 2020 FUNDING OPPORTUNITY

A. Funding Overview

The CFSC has approximately $1,400,000 available for 2020 wildfire prevention projects.

Projects must be located within California and the Tahoe region of Nevada. Applications that exceed $200,000 per application will be ineligible. The mandatory cost share is 100%. Federal funding can account for up to 50% of the project's total cost. The remaining 50% or more must come from non-federal sources, and can include cash and/or third-party in-kind services and goods. For example, a $200,00 grant request must be matched with at least $200,000 from the applicant and cooperators. The grant performance period is 24 months. Grant funds cannot be expended after the termination date.

B. Funding Areas

- **Community Hazard Mitigation Planning** CWPP's, Firewise assessments, hazard assessments and similar types of plans

- **Prevention and Mitigation Education** Outreach, mailings, workshops, events, PSA's and other education programs

- **Fuel Hazard Mitigation** Vegetation treatments such as chipping, thinning, burning, grazing, and mastication

Projects may focus on one or more of the categories. Most applications include fuels mitigation AND outreach/education or planning. Some include all three areas of focus.

U.S. Forest Service State Fire Assistance (SFA program)

2020 FUNDING

Approximately $2,000,000 in State Fire Assistance (SFA) funds are available for the 2020 grant program.

PROGRAM & ELIGIBILITY INFORMATION

Funds are available for all fire prevention activities including training, planning, hazardous fuel treatments, and fire prevention education programs. This program emphasizes fire risk reduction activities by landowners and residents in at-risk communities to restore and maintain resilient landscapes and create fire-adapted communities.

Programs or activities proposed for SFA funding must meet the following criteria:

- Projects must be in the wildland urban interface (WUI) and protecting an officially-designated Community-at-Risk (CAR).

- Projects cannot be on Federal lands or lands leased/permitted by the federal government, with the exception of tribal lands.

- Programs, projects, or activities must address areas identified and prioritized in a Community Wildfire Protection Plan (CWPP) or equivalent document.

- Proposed projects should align with the applicable primary factors, guiding principles and core values identified in Phase I of the Cohesive Strategy.

- Projects should be used to implement actions ***in accordance with Chapter 11 "Reducing Community Wildfire Risk of "California's Forests and Rangelands: 2017 Assessment"***

Hazardous fuel reduction proposals can include the purchase of needed supplies and tools such as chainsaws, personal protective supplies, hand tools, etc.

It is expected that applicants shall complete their projects within a 24-month grant term. If funded, applicants will be required to report specific project accomplishments, including statistical data and narrative descriptions on a quarterly basis-adhering to CFSC's agreed upon schedule, and provide before, during and after photos.

PROHIBITED PROGRAM EXPENDITURES

Purchase of vehicles or heavy equipment such as tub grinders and other expensive assets will not be funded (suggest rental or lease of these items). Construction and purchasing land are not allowable under the State Fire Assistance Programs.

Applicants interested in applying for small equipment purchases such as chippers must contact a Grant Specialist prior to applying to discuss the requirements. In order to request purchase of equipment you must conduct a cost benefit analysis regarding the potential purchase, which would include surveying to see if there is similar excess federal equipment available, and providing a cost comparison between leasing and purchasing the identified equipment. The request to purchase equipment must be submitted in writing to a Grant Specialist prior to submitting an application.

ELIGIBILITY INFORMATION

Eligible Applicants*

- Nonprofit Organizations
- Home/Property Owners Associations
- Native American Tribes
- Resource Conservation Districts
- Municipalities: Towns and Cities and Counties
- Institutions of Higher Education
- Joint-Powers Authorities
- Special Districts
- School Districts
- Counties
- State Agencies
- For-profit Companies

Individuals are not eligible to apply. Unincorporated groups/organizations without "legal standing" * must have a Fiscal Sponsor and submit a Fiscal Sponsor Agreement Letter with their application.

**Legal Standing*: By definition, state and local government organizations have legal standing. Non-Profit, For-Profit, or Other organizations must be incorporated to do business in the State of California or Nevada, and have a Federal Employer Identification Number (EIN). Organizations that do not meet these requirements must identify an organization with legal standing to act as "fiscal sponsor" to administer the grant funds for the applicant.*

COST SHARING/MATCH

Federal funds received from the California Fire Safe Council must be matched with non-Federal funds. The 2020 U.S. Forest Service State Fire Assistance funds require a 50/50 (dollar for dollar) match. (Example: If the total project cost is $400,000, then the applicant must provide $200,000 in cost share and the grant will provide $200,000.) Cost share or match may be in the form of cash or in-kind contributions. Match is subject to the provisions in federal regulations (see: 2 CFR 200 Subpart D (200.306)).

Matching contributions must meet the following criteria to be counted towards the grant.

- They shall be **verifiable** from the recipient's records.
- They shall not be included as contributions for any other federally-assisted project or program.

- They shall be **necessary** and **reasonable** for the proper and efficient accomplishment of the project or program objectives and **allocable** under 2 CFR 200.
- They shall be **allowable** under the applicable cost principles.
- They shall not be paid by the Federal Government under another award or derived under any other federal assistance program
- Their value shall be determined using scales and estimates appropriate for the local area
- They shall not include grant application preparation fees

NOTE: *Cal Fire 2020 Community Wildfire Prevention Program* (CWPP) grants and *Cal Fire 2020m California Climate Investment (CCI) Program* grants may be use as matching contributions for the CFSC 2020 SFA grant program ***if the objectives of the CFSC 20 SFA grant application are included within the scope and the active dates of the Cal Fire grant***.

To utilize the CAL Fire CWPP or CCI grant as match, please ensure that:

1. The match is listed in the budget and detail is provided to clearly explain how it will be used. The match must be used to support budgeted project costs during the grant period.

2. A copy of the Cal Fire grant award letter will serve as the Letter of Commitment to the CFSC grant, and must be included with your application. If you are not using the entire CWPP or CCI grant as match, please include a cover letter explaining the contribution amount.

3. The same Cal Fire grant may not be used as a matching contribution for any other federally-assisted project or program.

4. If funded by CFSC, the applicant must submit verifiable records of all matching contributions. For Cal Fire grants, a copy of the grant award alone will not suffice. The verifiable records include receipts, invoices, documents and other items which validate the legitimacy of every grant expense paid with matching contributions must be reported and uploaded with the quarterly progress reports.

Federal Title III (Secure Rural Schools Act) funds are also allowable as match under some circumstances. Please consult with your county official that oversees its Title III allocation. Additional information about Title III can be found at: http://www.fs.usda.gov/main/pts/countyfunds.

Letters of Commitment are required from all organizations providing matching contributions to the applicant's proposed project (except for Cal Fire grants). Letters of Commitment shall be sent by the contributing organization to the applicant. If the applicant organization is providing matching funds to the project, the applicant organization must submit its own Letter of Commitment.

TERMS AND CONDITIONS

1. Grant awards may not exceed $200,000 per organization ($100,000 for applicants using a fiscal sponsor)
2. No more than two applications may be submitted by a single organization, except that:
3. Fiscal sponsors may submit two applications of their own, for up to $200,000 each. However, the maximum amount that the fiscal sponsor can receive for its own projects is $200,000.
4. Fiscal sponsors may also manage up to $100,000 in grant funds for each of up to 3 other organizations. To illustrate this, if a fiscal sponsor is identified by 3 organizations each applying for $100,000, then the fiscal sponsor can manage all of the $300,000 requested, if awarded.
5. The grant performance period is two years.
6. The proposed projects will address primary factors, guiding principles, and core values of the National Cohesive Strategy for Wildland Fire Management and the California Forest Action Plan.

C. Other Considerations

Before you apply, be sure that your organization has the capacity to manage the project and the grant funds in accordance with federal grant regulations found in 2 CFR 200.

Give careful consideration to these items:

— Written Policies and Procedures: Organizations selected for funding must have written policies and procedures for managing their business processes and duties. These should include written policies for financial management and accounting, procurement, personnel (if applicable), and conflict of interest.

— Financial Management Systems: Does your organization have adequate business management systems and internal controls in place that comply with the federal grant regulations? Does your organization have financial and accounting systems in place to ensure proper expenditure and accounting for the grant funds?

— Project Management Capabilities: Does your organization have sufficiently trained and knowledgeable staff and/or volunteers with the technical expertise to plan and implement the project? Does your organization have access to professionals who can assist in planning and implementing the project?

---- Environmental Compliance: Before the grant is awarded, your project will be reviewed by the California Fire Safe Council for compliance with four specific federal acts. Those are the Endangered Species Act (Section 7), the Migratory Bird Treaty Act, the Bald and Golden Eagle Protection Act, and the National Historic Preservation Act.

It is the grantee's responsibility to assure that their project is in compliance with these Acts, *as well as all applicable state and local environmental laws and regulations*. ***An example of an applicable state law is the California Environmental Quality Act (CEQA)***.

No ground-disturbing work is allowed until environmental compliance assurances have been received by the grantee.

After the grant is awarded, grant funds may be used to pay for consultation with a qualified expert (such as a California Registered Professional Forester) to determine if the proposed activities could be in conflict with these Acts. Such consultation may also be available from foresters and other environmental experts employed by public agencies, such as Cal Fire, a county fire department, or a Resource Conservation District. The time required for such consultation, review, and approval must be considered when planning the project timeline and schedule.

See also Handbook Section 13 "Appendices", Appendix 6 "Using a Registered Professional Forester for Grants Clearinghouse Projects".

Be sure to thoroughly read and review the grant requirements in 2 CFR 200 and those that are highlighted in this handbook's "Grant Basics" section before you submit your grant application, so that you will know the expectations that come with accepting a grant. Go to www.ecfr.gov and search for Title 2 CFR 200.

D. Fiscal Sponsorship

(Required for organizations without legal standing)

Organizations that do not have legal standing may apply for grants with representation from a fiscal sponsor organization. The fiscal sponsor must meet the grant eligibility requirements and be able to receive the grant award, including meeting all terms and conditions in the subaward agreement on behalf of the organization it is sponsoring. The main role of the fiscal sponsor is to receive and manage the grant funds on behalf of the sponsored organization.

The role of the fiscal sponsor

Fiscal sponsor organizations are accountable for the grant funds and how they are spent. Grant payments are made directly to the fiscal sponsor's bank account, with only approved signers from the fiscal sponsor organization having access to or authority for spending the funds.

The grant subaward agreement will be sent to the fiscal sponsor organization and must be signed by both the applicant organization and the fiscal sponsor.

Fiscal sponsor organizations may NOT give subawards or advance funds to the organization they are sponsoring. There must be a process for reimbursement or direct payment of costs to vendors by the fiscal sponsor.

As cosigners to the grant, the subrecipient and fiscal sponsor are both responsible for ensuring that the grant progress reports are completed on time and are accurate.

It is the choice of the applicant organization and fiscal sponsor how much project management activities are shared beyond the funds management function of the fiscal sponsor and the fiscal sponsor may charge a fee for their services. The following are activities that are often shared or completed by the fiscal sponsor organization:

- Accounting Services
- Report Preparation
- Project Management
- Bid Solicitation and Contracting
- Processing Invoices or Work Orders

The fiscal sponsor agreement should define communication, changes to the budget or extensions (major changes require prior approval from CFSC), reporting of grant activities in progress reports and match and expense forms, and any other activities that will be part of the grant.

Changes to the project must be coordinated between the applicant and fiscal sponsor in order to avoid disallowed costs or deviations from the project scope and budget and to finish the project on time.

Fiscal sponsor costs charged by percent, flat fee, or other methods must be charged in a consistent manner and be described in the grant source documentation when reported.

7. FEDERAL GRANT BASICS

A. Federal Grant Overview

Federal grant funds are made available through appropriations at the federal government level, typically by Congress enacting legislation (laws or acts). The legislation defines specific grant parameters including the match requirements, eligibility information, reporting requirements, and program objectives. The legislation also identifies the federal agency that will be the grantor of the federal grant funds.

The federal agency receives the appropriated funds as part of its budget. The agency then awards grants from those funds to the recipients. The recipients must follow all of the grant regulations and implement projects within the grant parameters.

The federal agency may or may not have the capacity to track a specific program directly, in which case the agency awards the grant to a recipient that is a "pass-through organization". The pass-through organization will make "subawards" from the master grant to "subrecipients" which are eligible organizations that will serve the beneficiaries of the grant.

The recipient (or the pass-through organization) is the official grantee of the federal agency. The subrecipient is the grantee of the pass-through organization, NOT the federal agency.

California Fire Safe Council (CFSC) is a pass-through organization. CFSC receives a large master grant from the federal agency and makes subawards to eligible organizations to meet the objectives of the grant program. CFSC is legally responsible for the entire master grant term. CFSC must follow ALL of the federal grant regulations and requirements, and meet the program requirements of the federal grant program. CFSC is also responsible for the entire subawarding process, from the application to final reports.

As a pass-through federal grantee, CFSC must *pass down* ALL of the applicable federal grant requirements to the subrecipients, since the origin of the grant is federal. The grant funds don't lose their "federal-ness" once they are passed through CFSC. The subrecipient must comply with these federal grant regulations and program requirements.

The subrecipient receives a "subaward" (subaward) to complete a project or manage a program. In order to be eligible to receiving the subaward, the subrecipient must have legal standing* and meet the minimum requirements for receiving grant funds. Applicant organizations that do not meet these minimum requirements must find a fiscal sponsor organization to receive the grant on their behalf.

The beneficiaries include the general public since it is their tax dollars that fund the grant. Beneficiaries also include specific groups that are directly and indirectly supported by the grant program activities – think the residents of the community.

Terminology that is often used interchangeably:

Award = Grant = Subgrant
Grantee = Subaward Recipient = Subrecipient

B. The Role of the Subrecipient

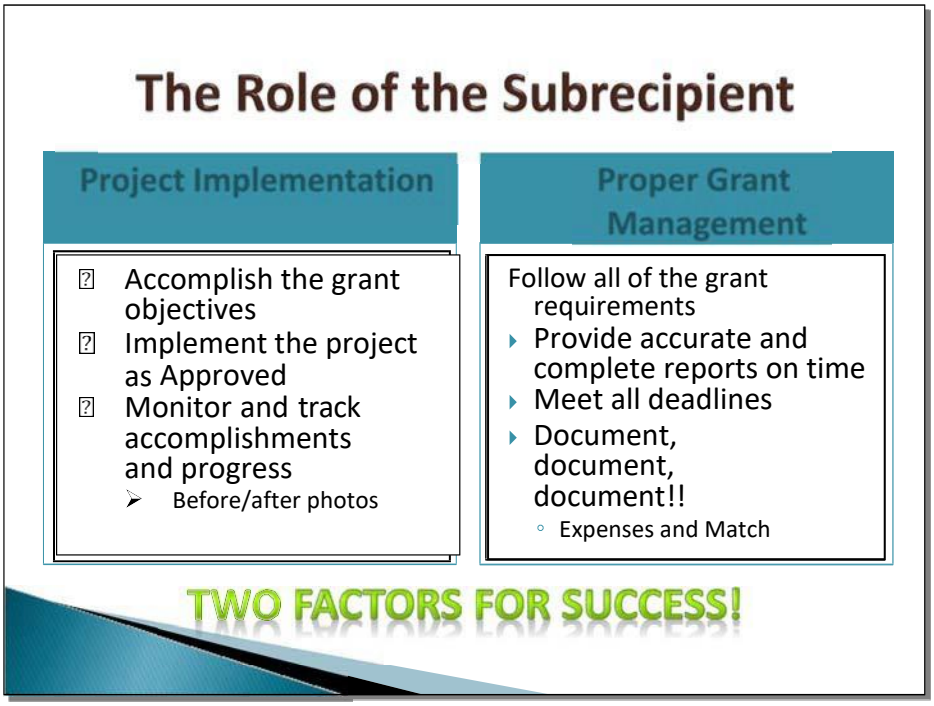
The subrecipient is the organization that carries out a grant project, with funding from the pass- through entity. The subrecipient includes the applicant organization and, if applicable, the fiscal sponsor organization.

The subrecipient enters in to a subaward agreement with the pass-through entity, which outlines the requirements and expectations for the subrecipient. The subrecipient signs the agreement therefore acknowledging that the organization will abide by ALL of the applicable grant regulations, terms and conditions.

The subrecipient is responsible for the successful implementation of the project AND the proper management of the grant. Both factors are equally vital for determining success of the grant. Think of "project implementation" as the content of the activity (measurable results), and "grant management" as the structure under which the activity happens, with the focus on documentation and processes (complete documentation).

Proper grant management includes understanding and complying with all of the grant requirements, completing all required reports on-time, maintaining adequate documentation for all grant activities, spending grant funds in accordance with federal requirements, and ensuring accurate accounting.

Project implementation includes finalizing the project plans, selecting and working with the necessary contractors and participants, tracking the accomplishments of the project, monitoring the project through photo documentation, and ensuring that the project meets the grant objectives as approved.



The subrecipient will work with third-party organizations ("cooperators") to carry out the grant activities. Cooperators may include contractors, vendors, volunteers, match contributors, and more. These organizations or individuals are part of the scope of the grant project and their involvement should be clearly defined in the grant application. They should also understand their roles within completing the grant project.

The subrecipient must include certain clauses when entering into contracts with third-party organizations. The required clauses vary based on the cost, type of activity, and the type of subrecipient organization (nonprofit or government). The subrecipient should include a statement in the contract that the requirements of the statutes must be met. A detailed list of the required clauses can be found in 2 CFR200 Appendix 2.

Remember that, as a recipient of federal grant funds you are spending tax dollars and you are taking on the expectation of accountability that comes with any government spending. Accountability includes spending the funds in accordance with the grant agreement and ALL grant requirements. It also includes being responsive to your grantor (CFSC), completing the grant requirements, and maintaining adequate documentation.

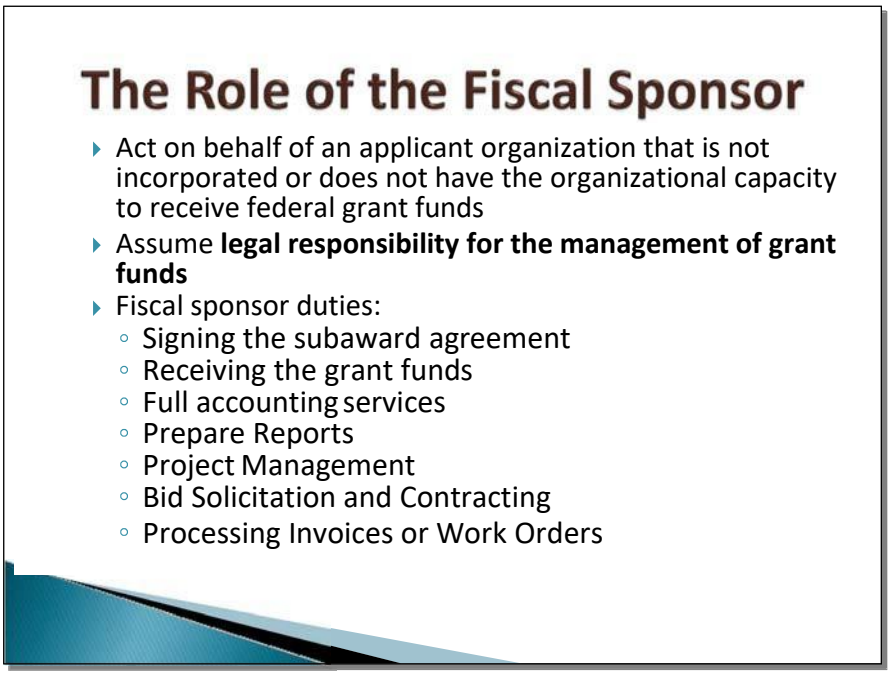
C. The Role of the Fiscal Sponsor

Applicant organizations must be incorporated and have a federal employer ID# to be eligible to apply for federal grant funds. Applicant organizations must also meet the requirements for receiving federal grant funds. If your organization does not meet these requirements, you will need to partner with another organization that can serve as your " fiscal sponsor" .

Some applicants recognize that their organizations do not possess the necessary organizational capacity to apply for and receive federal grant funds. These applicants should seek a fiscal sponsor with the proper financial and business management systems to receive

the grant on their behalf.

As the legal entity entering into the grant contract, the fiscal sponsor must comply with the applicable federal regulations that govern the grant. The actual grant agreement will be sent to the fiscal sponsor organization, and must be signed by both the applicant organization and the fiscal sponsor.



In general, fiscal sponsor organizations will be accountable for the grant funds and how they are spent.

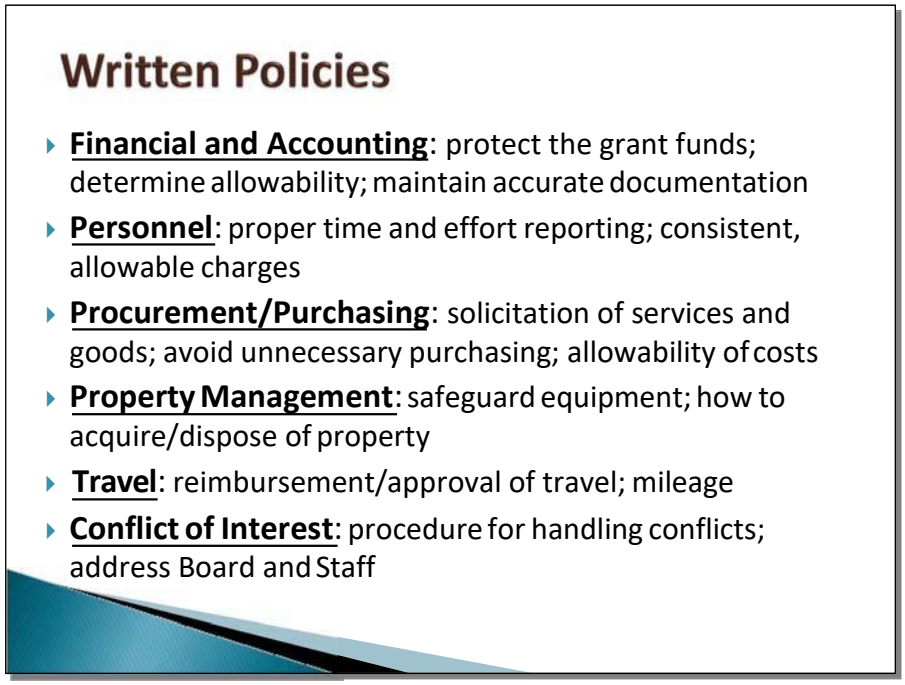
Grant payments will be made directly to the fiscal sponsor's bank account, with signers from the fiscal sponsor organization having access to or authority for spending the funds.

In addition to the accounting services, some fiscal sponsors can also play a role in the project management and implementation. The applicant organization and the fiscal sponsor will decide on the fiscal sponsor's role and memorialize the arrangement in a formal agreement.

Fiscal sponsors must sign an agreement with the applicant organization certifying that they intend to serve as a fiscal sponsor for the group(s) they will represent.

Written Polices

Federal grantees and subrecipients must have written policies that ensure proper handling of the funds. The policies demonstrate that the organization has internal control to protect, spend and manage the grant funds accurately and in compliance with the grant requirements.



When drafting and/or revising your written policies, refer to the federal grant regulations applicable to your organization. These regulations will direct what stipulations need to be included in your policies. Keep in mind that the federal grant regulations may go above and beyond your existing policies and procedures. If you want to receive federal grant funds, then your policies must meet the federal standards.

Also remember that 2 CFR 200 contains new and updated regulations that will impact your existing policies and procedures. Your organization needs to review the existing policies for compliance with the new regulation and be ready to implement changes as needed.

As a pass-through entity, CFSC must evaluate the capacity of each subrecipient prior to making a subaward. As part of this evaluation, each organization will be asked to self-certify that its policies meet the federal grant regulations applicable to the organization type.

Debarment and Suspension

The federal government maintains a list of the debarred, suspended and excluded parties on the System for Award Management (SAM) database. The list is known as the Excluded Parties List System (EPLS).

Debarred, suspended and excluded parties may not be participants or principals in Federal assistance awards and subawards. This requirement extends to contracts made under federal awards or subawards. Please check the Uniform Administrative Requirements in 2 CFR 200 for the complete verbiage regarding debarment and suspension.

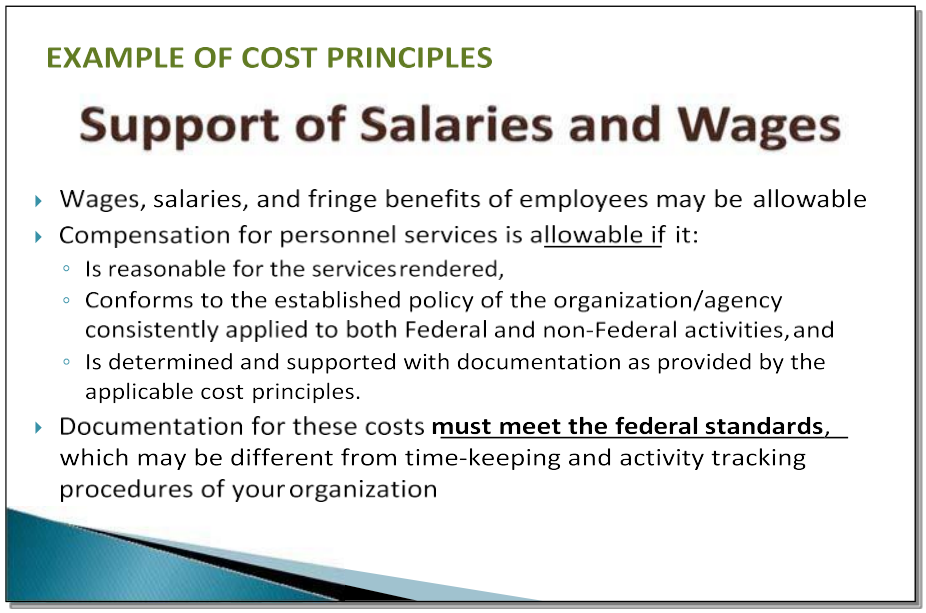
Prior to receiving federal grant funds, grantees must verify that they have searched their organization, all principals with authority or involved with the grant, and any known contractors.

Contractors and vendors (and their principals) sought during the grant term must also be checked on SAM prior to entering into any formal agreement to make sure there is no debarment or suspension.

You can search for records on the SAM website: http s://www. sam. gov/ using the name of the organization, name of the person, or other identifiers, such as the DUNS or CAGE number.

Note that when a search result is found, there may be instances where an individual or organization has the same or similar name as your search request but is actually a different party. Therefore, it is important that you verify a potential match by checking other information on the record, such as the address.

Support of Salaries and Wages



Salary, wages and fringe benefits are allowable under a grant, following certain criteria. These costs can be used as match towards the grant or be paid for with grant funds.

The Cost Principles in 2 CFR 200 explain the requirements for counting salary and wages toward a grant, either as an expense paid for by the grant or a matching contribution. See the applicable federal grant regulation for the full description.

A recent audit report by the Office of Inspector General (OIG) described serious compliance issues related to salary management and administration with Recovery Act grants made to a variety of organizations. It was found that some salary costs were not tracked properly or allocated to grants in accordance with the Office of Management and Budget requirements and federal Cost Principles, and did not adhere to the Fair Labor Standards Act.

Common audit findings included: lack of salary documentation, or documentation that does not meet federal standards; employees charging salary as budgeted rather than as actually worked; and time worked on multiple grants/projects not recorded separately.

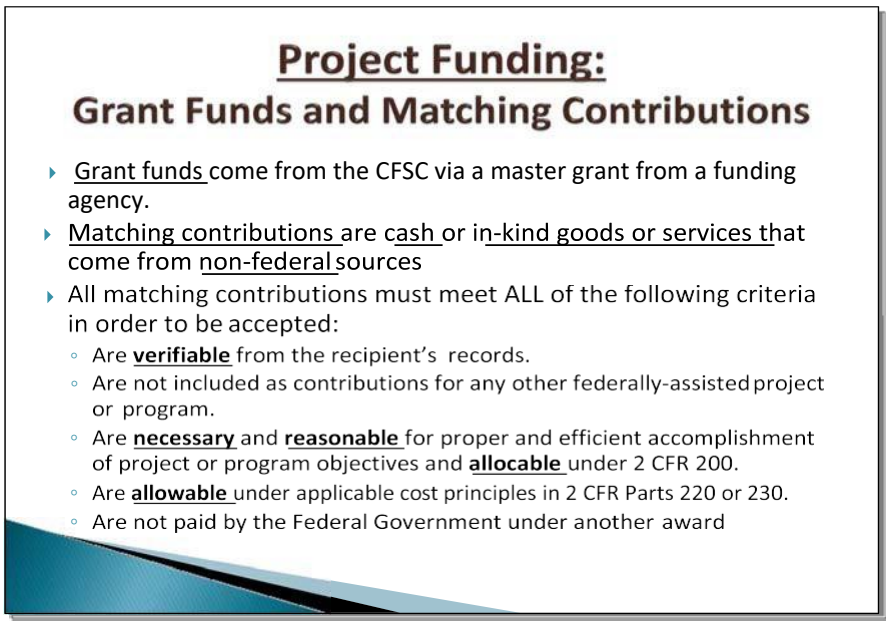
D. Grant Funds and Matching Contributions

The project will be funded by two sources: (1) grants funds and (2) matching contributions. Both sources are necessary to complete the proposed work and must meet certain requirements to determine that they are allocable to the grant.

Most federal grant programs require the recipient and the community to invest in the project in order to be eligible for the federal grant funds. This investment is known as "match" or "cost-share". The amount of match required is specific to each grant program.

Location of Uniform Administrative Requirements regarding Matching Contributions: 2 CFR 200 Subpart D (200.306)

Matching contributions are budgeted and planned for in the grant proposal in the same way as grant funds. Just as federal expenses are reported once they are incurred, matching funds must be spent for their intended purpose before they are reported in the project budget as match. Costs covered by matching contributions must be just as essential to the project objectives as those covered by grant funds. Costs covered by matching contributions must be documented, accounted for, and treated in the *same way as costs covered by grant funds, in accordance with the same cost principles and grant regulations.*



There are two types of match: (1) Cash contributions, including donations, non-federal grants, and state/local appropriations; and (2) In-kind contributions, including the value of donated goods and services, provided by the grantee organization or third-party contributors.

Matching contributions cannot include any goods, services, or time paid for or funded by the federal government. Grantees must check with the match contributor to ensure that the origin of the match is not in any way paid for or funded by the federal government.

Matching contributions used for the project are to be reported on a quarterly basis and during the closeout phase of the grant. Grantees shall only count match for which they have proper documentation and that meets the above criteria.

Criteria for all expenditures of grant funds, including matching contributions received:

Allowable: Just as you would treat a grant-funded expense, all expenses covered by matching contributions must be deemed allowable as per the federal cost principles applicable to the grantee organization.

Allocable: A matching cost that is allocable to a particular cost objective (i.e., a specific function, grant project, service, or other activity) in accordance with the relative benefits received. A cost is allocable to a Federal award where it is treated consistently with other costs incurred for the same purpose in like circumstances and (1) is incurred specifically for the award, (2) benefits both the award and other work and can be distributed in reasonable proportion to the benefits received, or (3) is necessary for the overall operation of the organization.

Reasonable: The value of the matching contribution should be consistent with the value of similar goods, services, wages, volunteer rates, etc. used at the same location and for the same project objective. Grantees should have a written policy for evaluating reasonableness, and that policy should be adhered to when valuing matching contributions.

Necessary: Matching contributions must relate to specific grant objectives and play an essential role in the completion of the grant project. Matching contributions are not "icing on the cake"; instead, they are vital for the project to succeed. Contributions that do not directly relate to specific grant objectives or project tasks shall not be accepted as match or counted toward the project.

Verifiable: Matching contributions must be thoroughly documented, with invoices for goods or services provided, time sheets for hours worked, receipts for donations accepted, etc.

Each piece of match and expense documentation must include key pieces of information, including:

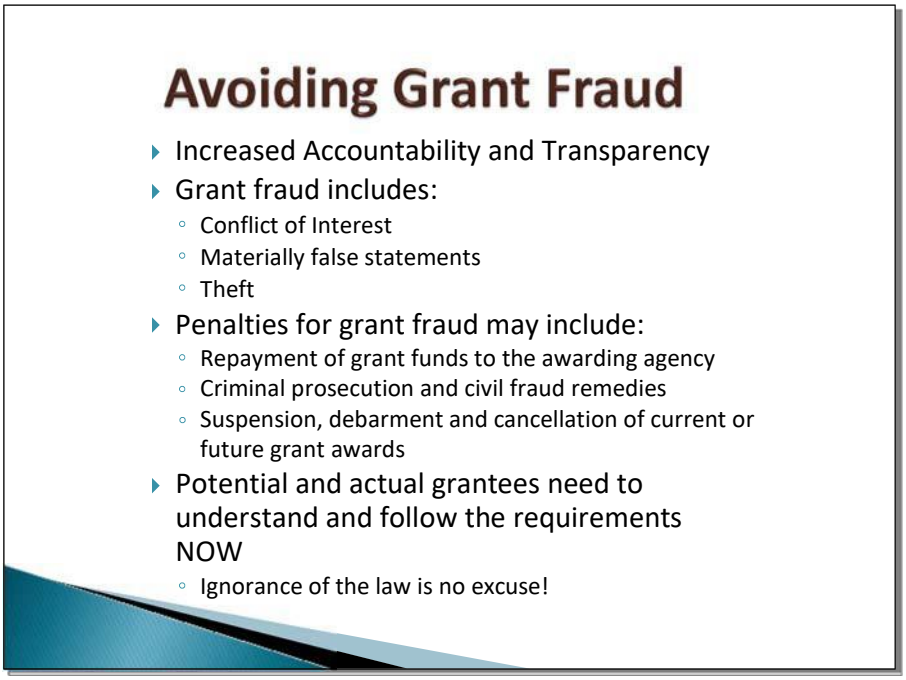
Expense Documentation must include the following:

1. Name of organization
2. Date(s) of purchase or work done
3. CFSC grant number
4. Cost category
5. Approved by (initials and date)
6. Paid by (initials and date)
7. Check number
8. A clear description of items or services purchased that verifies relevance to the grant
9. If expenditure is being split between several grants, a description of the how the cost is allocated and what formula is being used to determine it.

Match Documentation must include the following:

1. Name of organization
2. Date(s) of the donation/contribution
3. CFSC grant number
4. Budget Cost Category
5. Name and contact information of the donor
6. Approved by (initials and date)
7. Detailed description of the item or service and that verifies the relevance to the grant (add comments if necessary)
8. If match contribution is being split between several grants, a description of the how the match is allocated and what formula is being used to determine it.
9. Value of the contribution, including how the value was determined and who made the determination

E. Avoiding Grant Fraud



Recent calls for increased accountability and transparency when it comes to government spending are experienced in the world of federal grants as increased scrutiny to show that the funds are being used appropriately for a public purpose and in compliance with the federal grant regulations.

While most subrecipients would state that they would never knowingly commit grant fraud, it is important to understand the many, various ways that an organization may engage in activities that could be considered fraudulent.

Federal Offices of Inspector Generals (OIGs) conduct audits of grantees and grant processes as well as investigations related to fraud and other inappropriate uses of federal funds. They use the term "grant fraud" to describe a variety of improper actions, the most general being:

Conflict of Interest

Transactions involving undisclosed related parties, purchasing goods or services from a business in which the organization has an ownership interest.

Making materially false statements to the government

Misstatements, false certifications, failure to maintain adequate supporting documentation, misrepresentation of costs, and attempts to charge unallowable costs.

Theft

Fictitious transactions, creative bookkeeping, misuse of a credit card designated for grant funded purchases.

Subrecipients must do everything that they can to prevent grant fraud from taking place. Many organizations will need to review their business policies and procedures to ensure that proper internal controls are in place to ensure protection of the federal grant funds. They will also need to increase their standards for documenting match and expense.

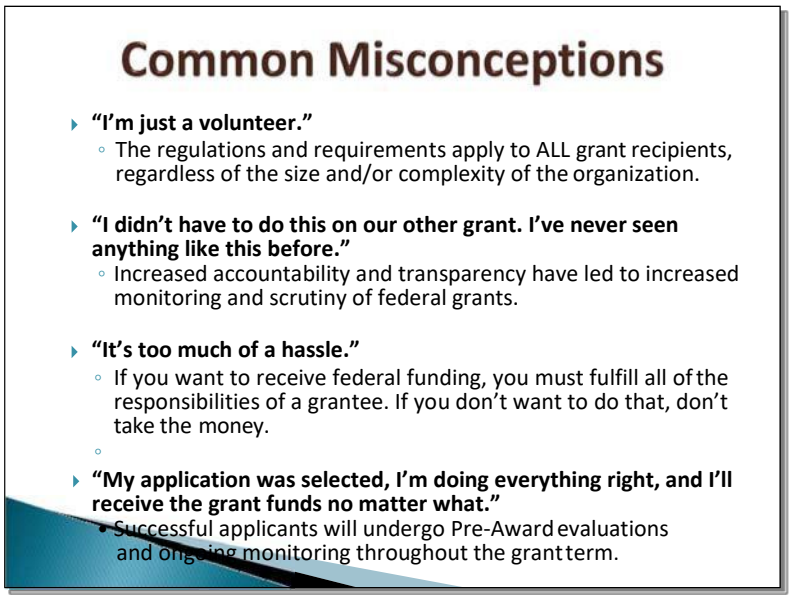
For a full report, search the Internet for "Reducing Grant Fraud Risk: A Framework for Grant Training", a report by Financial Fraud Enforcement Task Force Recovery Act, March 2012.

There are many examples of organizations that have been found to be noncompliant with certain grant requirements. One example involves the national charity which was found to have overpaid consultants, failed to track the grant funds, and failed to keep proper financial records. The charity is now at risk of having to repay the federal funds back to the awarding agency and may lose current and future funding. These results affected not just the national organization, but also the local chapters which received subawards from the national organization. The local subrecipients may also have to repay grant funds and face potential penalties.

Avoiding grant fraud is just another reason why it is of paramount importance that potential grantees understand and prepare their organizations NOW to ensure that they are ready and able to comply with ALL of the requirements associated with receiving federal grant funds.

F. Common Misconceptions

All applicant organizations need to consider whether they are ready to take on the commitment of managing a federal grant. This is especially necessary if the organization is operated solely by volunteers or has a relatively small staff. CFSC encourages participation by volunteer and community organizations, but wants to ensure that all applicants are aware of the requirements *before* accepting the grant. This training is designed to strongly urge every applicant to review and thoroughly understand the expectations of all subrecipients.



You may have experienced less monitoring under a previous grant, but the requirements have been in place for federal grants for many years.

Consider the requirements of the grant and the workload associated with meeting those requirements and deadlines. Design your project and budget to accommodate the documentation and accounting processes that will be required. Make sure you and your organization are prepared to take on the responsibility of managing a project this way.

Subrecipients are also closely monitored during the grant term through quarterly reports, site visits, and desk reviews of grant documentation. If a subrecipient is found to be in noncompliance or fails to meet certain requirements, then awarding agency may withhold pending and future grant payments and/or the termination of your grant based on failure to meet grant requirements or non-performance.

8. FEDERAL GRANT REGULATIONS

Since the grant funds awarded through the Grants Clearinghouse originate from the federal government, all subrecipients are required to comply with the applicable federal regulations. The federal regulations are assigned to each type of organization eligible for federal funding. Penalties for noncompliance may include termination of the grant, disallowance of costs, and repayment of the grant funds (even if they have already been spent).
The federal regulations include a wide variety of topics and provide expectations of the grantee organization. The regulations specify how to properly implement the grant, including detailed information on how to document expenses and match towards the grant.

CFSC strongly recommends that applicants take the time NOW to read the federal regulations applicable to their organizations in 2 CFR 200 in order to familiarize themselves with what will be expected if awarded a grant. The federal grant regulations are contained in the Code of Federal Regulations (CFR). Subrecipients are subject to the OMB guidance in subparts A through F of 2 CFR 200 as adopted and supplemented by the U.S. Department of Agriculture in 2 CFR Part 400.

As a recipient of federal funds, California Fire Safe Council complies with the applicable federal requirements. The entire Grants Clearinghouse process, including the application phase, as well as the requirements passed down to the subrecipients are generated by these regulations.

Grant subrecipients must comply with all applicable federal grant regulations and program requirements.

Uniform Administrative Requirements: These regulations establish consistency and uniformity in the administration of those grants and agreements. Topics found under the administrative requirements include standards for financial management systems, equipment, cost sharing/match, and revision of budget and program plans. The Administrative Requirements can be found in Parts A through D of 2 CFR 200.

Cost Principles: These regulations establish standards for determining what costs are allowable under federal awards carried out through grants, cost reimbursement contracts, and other agreements. Topics include allowability of costs, direct versus indirect costs, and a list of selected items of cost with details on how to properly evaluate and document the cost. The Cost Principles can be found in Part E of 2 CFR 200.

Audit Requirement: Grant recipients are subject to the “single audit” requirements defined in Part F of 2 CFR 200, if the applicant organization or fiscal sponsor spends $750,000 or more in federal funds in its fiscal year. The single audit is an examination by an independent auditor of an

organization's financial records, internal controls and compliance with regulations governing federal awards. An organization that undergoes single audit should provide a copy of the audit report to CFSC during the pre-award phase and annually thereafter.

Many organizations undergo standard (non federal) audits annually to evaluate their procedures, accounting practices and internal controls. Copies of these audits should be provided to CFSC each year during the grant term.

A. Uniform Guidance 2 CFR 200 "Super Circular"

In December 26, 2013, the Uniform Grant Guidance (UGG) was released which combines the eight sets of federal grant regulations (OMB A-21, A-87, A-110, A-122, A-89, A- 102, A-133 and A-50) into one set for all types of grantees & subrecipients. All federal agencies were mandated to design regulations and adopt the guidance as of December 26, 2014. The transition to the UGG included over 60 changes to the existing requirements. The purpose was to emphasize oversight, with heavier responsibility on pass-through entities; stress importance of internal controls; and encourage efficient use of information technology.

Subrecipients should read and become familiar with 2 CFR 200. In particular, the UGG heavily emphasizes the need for established processes and written procedures related to procurement, travel, time-effort reporting and more. Without compliant policies, an organization will not be able to receive federal funding. Additionally, there are changes to dozens of selected items of cost and their allowability.

B. Prepare now

If you are considering applying for a grant, you should ask yourself if you are eligible AND if you are ready. These questions should be answered by the applicant organization AND the fiscal sponsor.
Subrecipients shall review their existing written policies for compliance with the federal regulations. There is even more of an emphasis on established processes and written procedures related to procurement, travel, time-effort reporting and more. Additionally, there are changes to dozens of cost items and their allowability.
Make changes to your organization's policies so that they meet these federal standards. Without compliant policies, your organization will not be able to receive federal funding.

C. Financial Management System

Does your organization have written policies and procedures that meet the federal requirements? Does your organization have adequate business management systems in place that comply with the federal grant regulations? Does your organization have financial and accounting systems in place to ensure proper expenditure and accounting for the grant funds?

D. Project Management Capabilities

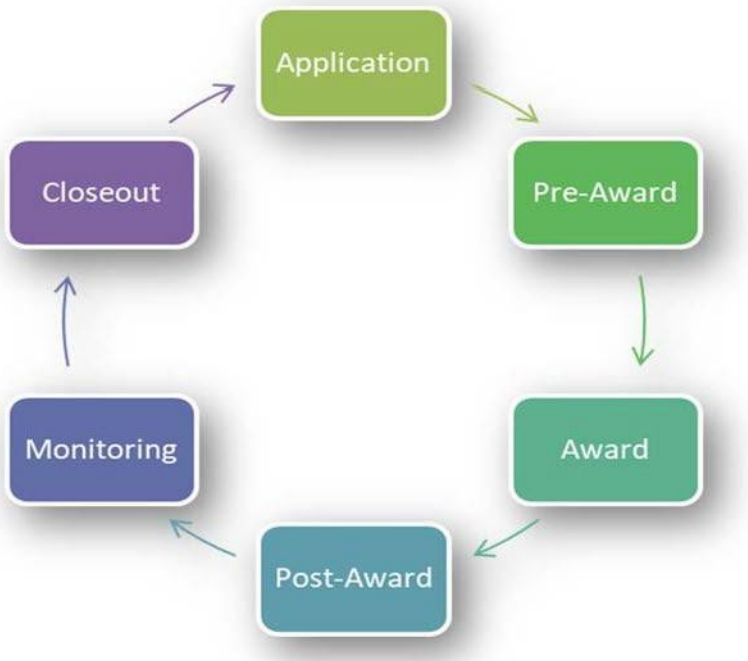
Does your organization have sufficiently trained and knowledgeable staff or volunteers with the technical expertise to plan and implement the project? Does your organization have access to

professionals who can assist in planning and implementing the project? Does your organization have experience in successful project management, including meeting project deadlines, managing the workload, and accomplishing clear objectives?

E. Website links for CFRs

Subject	State, Local, or Tribal Governments, Non-Profits, and Educational Institutions	For-Profits
Uniform Administrative Requirements	2 CFR 200-Subpart D **Website:** http://www.ecfr.gov	2 CFR 200-Subpart D **Website:** http://www.ecfr.gov/
Cost Principles	2 CFR 200-Subpart E **Website:** http://www.ecfr.gov	48 CFR FAR 31.2 **Website:** http://www.ecfr.gov
Audits	2 CFR 200-Subpart F **Website:** http://www.ecfr.gov	2 CFR 200.501(h) (For-Profit recipient Audit thresholds are determined by the awarding agency.)

9. GRANT CYCLE PHASES



Application	Advertisement of grant opportunity Application Preparation and Submission Application Scoring
Pre-Award	Pre-award document completion Risk Assessment Subaward preparation and signing
Award	CFSC prepares and disburses subawards and the recipient reviews the terms and conditions.
Post Award	Environmental Compliance Grant payments Project implementation Financial and accomplishment reporting (quarterly)
Monitoring	The monitoring phase spans the entire grant lifecycle and includes CFSC monitoring of the subgrantee for compliance, adherence to terms and conditions and achievement of performance goals. Desk reviews, site visits and technical assistance occur during this period.
Closeout	Closeout report submitted within 90 days of grant end date Payment of remaining cost incurred during the grant period Document retention period of three years following closeout (3 years from close of master grant for federal subawards).

A. Application Phase

Advertisement of Grant Opportunity

Applications for grants are advertised with accompanying information relating to the source of funding, program description (types of activities that can be funded), important dates, eligibility information, application review criteria, and contacts for further information about the advertised grant opportunity.

Application Preparation, Submission and Scoring

Applicants are presented with an application process, timeline, and deadline, after which the applications are scored by the awarding agency personnel, volunteers, or grant reviewers. In the case of CFSC, grants are reviewed by a volunteer peer panel.

B. Pre-Award Phase

Pre- Award Document Completion

Organizations whose applications are selected for funding must complete additional certifications and provide documentation to establish their eligibility to receive funds. Documentation and certifications relate to the IRS tax status of the organization, insurance, lobbying activities, organization capacity, compliance with documentation standards, policies and procedures, financial reporting, audit history, and additional project details, among others.

Risk Assessment

As required by 2 CFR 200, grant applicants undergo a risk assessment as part of the pre award process. The risk assessment is a standardized evaluation based on items such as financial stability, business systems, performance history, audit reports and findings, and debarment or suspension status.

C. Award Phase

Subaward Agreement Preparation and Signing

The subaward agreement is a legal document that contains details and/or references to all the grant requirements, expectations and terms and conditions including the award amount and matching commitment, terms for reporting, compliance and termination. Applicants that receive final approval during the Pre-Award review process will receive a subaward agreement. This is the legal document binding the applicant, fiscal sponsor (if applicable), and grantor in agreement to the terms of the grant. The subaward agreement must be thoroughly reviewed by all parties participating in the grant and must be signed by a person with decision-making authority within the organization. Upon signing the subaward agreement, the subrecipient, and fiscal sponsor when applicable, are legally committing to meet the terms of the award. The grant is not official until the subaward agreement is signed and returned to the grantor. No grant activities may commence until the signed subaward is

received and the grant term has begun.

National Policy/Environmental Compliance

Compliance with all applicable national policies and administrative management standards including the code of federal regulations for grants is required. Compliance with federal environmental laws that are triggered by the award of funding is an example of this requirement.

D. Post Award Phase

Grant Payments

Throughout the Post-Award Phase, recipients and subrecipients request and draw down grant payments from the grantor. Some types of grants are paid out as a series of advance payments and others are paid as reimbursements for accrued expenses.

Project Management

Recipients are expected to complete all aspects of the project as outlined in the grant application. Projects are scored and funded based on their application and signing the subaward agreement is a commitment to complete those objectives.

Procurement

When selecting contractors and vendors, subrecipients must follow their organization's procurement policies and the grant regulations, documenting the selection process and checking the debarment status of each contractor and its principals (current 2 CFR 200 threshold for this requirement is $25,000).

Reporting

Reporting (quarterly for Clearinghouse Grants) is a federal grant requirement. You will report on the progress of your grant, comparing your actual accomplishments to your projections. You will provide narrative descriptions on the project noting successes, setbacks, and any approved changes. You will also report on the grant budget, providing a complete accounting of all expenditures of grant funds and matching contributions over the course of the grant. You are expected to expend matching contributions regularly throughout the grant, showing increases in the total amount of matching contributions used to date in each quarterly report.

Documentation

Subrecipients are expected to maintain organized, detailed and complete grant files. Files should include all documentation related to the grant, including source documentation for all expenditures and match amounts. Source documentation includes, but is not limited to: invoices, receipts, time sheets, contracts, etc. Grant documents should be organized by quarter.

E. Closeout Phase

Closeout

Closeout procedures include finalizing payments that must be made with grant funds or match, returning surplus federal funds or interest in excess of the allowable threshold (currently interest amounts over $500) and providing closeout report data requested by the

awarding agency. The Closeout Phase begins immediately following the grant term and lasts 90 days. The final progress report is due 30 days after the end of the grant term.

Subrecipients are responsible for providing safe and secure storage for the grant files, such as in a fire safe or other container to protect them from fire, water, pests, and other threats for three years following the close of the master grant under which they were awarded. If there is a change in the contact person for the grant, the awarding agency must be notified immediately.

10. SUBMISSION INSTRUCTIONS

1. Get Help

Because CFSC staff do not select applications for funding, they are available to read your application and provide feedback if time allows. Find contact information for Grant Specialists and the Clearinghouse Manager on our website at https://cafiresafecouncil.org/about-us/staff/. If you request that a CFSC staff member read your application please do the following:

— Have your application as complete as possible.

— Allow enough time for the grant specialist to read and respond to your application.

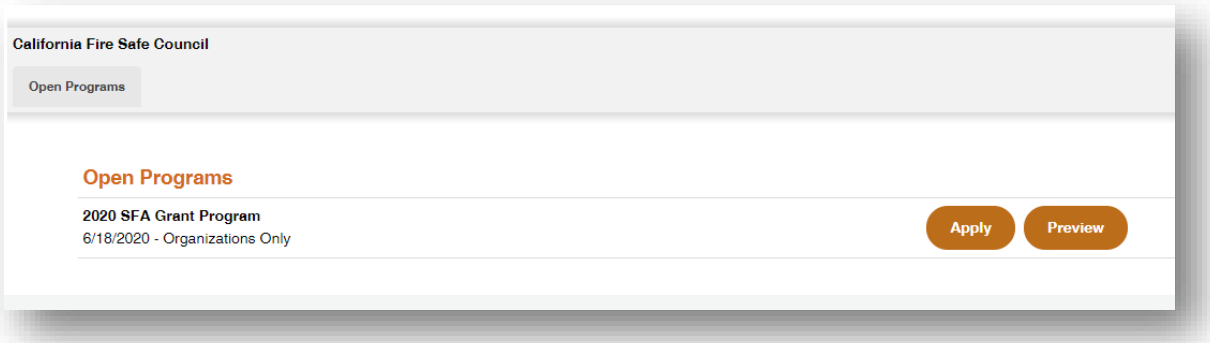
— Remember that having a CFSC staff member read your application does not guarantee that it will be funded.

2. Submission Instructions

1. Create a ZoomGrants Account

All applicants must first register an account with zoomgrants.com. New users to the system will need to create an account FIRST at https://cafiresafecouncil.org/grants-and-funding/apply-for-a-grant/ in the "New ZoomGrants Account" box. You cannot create a new applicant account or find an open grant program on the ZoomGrants.com site. Return users can login at zoomgrants.com or https://cafiresafecouncil.org/grants-and-funding/apply-for-a-grant/. Zoomgrants.com registration requires the entity to create an account, establish authorized collaborators and additional contacts. Registration should take no longer than a few minutes.

After you've created your account, you can create your first application by clicking the Apply button next to the appropriate program (2020 SFA). The page will reload to display your newly created application. First, fill in the application title so that you can quickly identify which application you are working on. If you're going to be completing your application in one sitting, click the grey Refresh Page button in the top right section of the page.



If you are signing up to submit application on behalf of an organization, here are few things to keep in mind as you consider who should eb the account owner:

1. **Each organization account is *owned, accessed,* and *managed* by a single set of login credentials (email address and password).**
    - **If you will have multiple people who need full access to the applications in your account**, we recommend setting the email address associated with the account to either be the person who will be *primarily responsible* for managing your organization's applications or a *general email address*, perhaps even an alias that sends emails to multiple people who will be managing your applications. In either case, you can share your login credentials with any other people and they can log into the main account at any time.
    - **If you need to submit applications on behalf of multiple organizations**, you will need a separate applicant account (under a separate email address) for each organization. Since each account is tied to a specific organization, it is not possible to use a single account to submit applications on behalf of multiple organizations.
2. **Additional users can be added to individual applications within the account.** If you have a colleague who just needs access to one application and someone else who is in charge of submitting the invoices for all of your approved applications, the account owner can give that access to those individuals by adding them as *Collaborators* on the appropriate applications. If you have certain people who should receive email notifications pertaining to a specific application, you can add them as *Additional Contacts* on that application. *Collaborator accounts CANNOT be used to submit applications.
3. **If the account owner leaves your organization, make sure they have shared their latest account credentials before they leave so that you can continue to access the account.** If they have already left and you don't have the account credentials, submit a support request to CFSC so that we can help you transfer the account to someone else and set up a new password.

When you select the ZoomGrants login option on the CFSC website, you can "preview" the grant program announcement and create a new account. You must create an account before you begin a grant application.

The ZoomGrants Technical Support team is available 8 a.m. to 5 p.m. Mountain Time Monday through Friday Toll Free at 866-323-5404. A new user slideshow can be found here: http://ZoomGrants.com/welcome/applicantslideshow.pdf.

The two views available in your account will be your account profile and your applications. Please complete your account profile before working on applications. If you are using a fiscal sponsor, the application may be submitted through your own ZoomGrants account or through the fiscal sponsor's account. *Please Note: You can make the view larger (on a PC) by holding ctrl [+].*

3. ZoomGrants Dashboard

Grant Program Overview Tabs - These are at the top of your screen

— Show Description: This section provides an overview of the grant program, eligibility requirements and grant criteria.

— Additional Online Resources: This section provides helpful online links that may assist you in applying for a grant.

— Restrictions: Grant program restrictions will be listed in this section.

— Library: Useful documents, such as How to Calculate Biomass Volume, are posted here.

— Contact Admin: Send an email directly to CFSC Clearinghouse Manager.

— Announcements: Updates about the grant program.

4. Complete the Application Online

The 2020 Grant Application is divided into 5 parts or tabs - All five parts must be completed to successfully submit an application.

TAB 1: Application Summary

— Project Name

— Amount Requested $

— Match Amount $

— Organizational Contact Information

— EIN, DUNS # and CAGE Code.

— Collaborators

— Additional Contacts

TAB 2: Organization/Fiscal Sponsor Information

— Organizational Info and Capacity Questions

TAB 3: Project Information

— Project description questions

— Fuels Treatment project questions

TAB 4: Tables

— Workplan

— Detailed Budget

— Deliverables

— Match Amount by All Organizations

TAB 5: Document Uploads

Letters of Commitment and Letters of Commitment Cover Letter

— Map (If Applicable)

— Fiscal Sponsor Agreement (If Applicable)

--- Indirect Cost Rate Agreement (if using indirect rate approved by Cognizant Agency)

5. Uploading Documents to ZoomGrants

The following section describes in detail the documents that must be uploaded and submitted with the grant application via ZoomGrants in order for the application to be considered complete and eligible

Use the file upload option only. Do not use a link to an external location.

Please Note: There is a 4MB size limit for uploading documents to ZoomGrants. Please scan at the lowest resolution and/or decrease the size by saving multiple-page documents as one or two pages.

a) Letters of Commitment (LOCs)

LOC's are required from all contributors of cash or in-kind match including applicant and/or third party organizations

— Must be uploaded with your grant application on ZoomGrants. CFSC will not accept faxed, mailed, or emailed LOCs.
— Must be on organizational letterhead or as an email with organizational identification (such as a logo)
— A cover letter from the applicant organization must be included that lists all contributing organizations and the value of the contribution from each.

Individual LOCs Must Include:

- A description and dollar value of the match provided and how it relates to the project
- Contributor contact information
- Timing of match provided
- Type of match (cash or in-kind)
- Signature of an appropriate organization representative

b) Fiscal Sponsor Agreement (if applicable)

If your organization is applying with a fiscal sponsor, attach a copy of the fiscal sponsor agreement signed by all parties. This is part of the grant application. See the section on fiscal sponsors in the Program and Eligibility section for details.

Fiscal Sponsor Agreement:

A fiscal sponsor agreement must be in place between the organizations applying, and a copy of the agreement must be uploaded with the grant application online. The fiscal sponsor agreement must include these items:

- Recognition of the fiscal sponsor's responsibility to manage the grant funds
- The communication process between the fiscal sponsor and applicant
- The process for reimbursement or direct payment of grant expenses
- The role each organizations will have in managing the project
- How grant documentation will be collected and stored
- Who will complete grant related reports

c) Project Vicinity Map

- A project location map is required for all projects.
- Provide the organization name, project title and identifying markers to show the county or regional area of the project.
- For projects with disbursed locations such as homeowner chipping or regional focus such as those for planning or education, a map that identifies the region of the activities is adequate.
- For vegetation treatment projects with specific locations such as fuel breaks, the map can either show a pin point or a boundary of the treatment area and must contain enough specific information that a grant reviewer can locate the project.

A simple map can be made by copying an existing map of the area where you will be working, such as from an atlas or road map, and drawing an "x" on the project location or circling the project area(s).

Please note: Additional detailed maps will be required for selected applications during the pre-award phase.

d) Indirect Cost Rate Agreement (If Applicable)

If your organization has been given a negotiated Federal Indirect Cost Rate Agreement (NICRA) with a federal agency, a copy of your NICRA must be uploaded to ZoomGrants and you must use this rate on all federally funded projects.

Indirect Costs

If your organization has a federally approved indirect cost rate, this rate must be included as a federal cost in your grant application budget. If you have an approved rate but do not intend to charge that rate as a federal cost to your grant, you must use the rate as match.

If you choose to use a federally negotiated indirect cost rate as a cost or match, documentation of the approved rate must be uploaded to ZoomGrants as part of your grant application.

De minimis rate of 10% of modified total direct costs (MTDC) Organizations that have **never** had a federally approved indirect cost rate may opt to use what is referred to as the "de minimis" rate of 10% of Modified Total Direct Costs. See the following description to determine your organization's MTDC. Use the example included following this section as a model for documenting your Modified Total Direct Costs and allowable indirect costs.

2 CFR 200.414 Subpart E Cost Principles:

Any non-Federal entity that has never received a negotiated indirect cost rate, except for those non-Federal entities described in Appendix VII to Part 200—States and Local Government and Indian Tribe Indirect Cost Proposals, paragraph D.1.b, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate for a rate, which the non-Federal entity may apply to do at any time.

The following are eligible to use the de minimis rate of 10% of MTDC:

— Non-federal entities which have **never** held a negotiated rate are eligible to elect the de minimis rate of 10% of modified total direct costs (MTDC)

The following are ineligible to use the de minimis rate of 10% MTDC:

— State or Local Governments and Indian Tribes.— Non-federal entities who have **now, or have had in the past**, a negotiated indirect cost rate or approved cost allocation plan.

If you meet the eligibility criteria and elect to use the de minimis rate of 10% of MTDC described above, include this amount in your grant application budget.

To calculate the MTDC for your project:

1. Total all costs included under allowed budget costs as outlined in the below table. *These costs are project specific and based on the direct costs associated with the proposed budget submitted with this CFSC grant application.*
2. Now calculate 10% of the total calculated in step 1 (which is the MTDC).
3. This is your de minimis rate of 10% of MTDC for this sub-award.

Allowed in MTDC Calculation	**Excluded from MTDC Calculation**
Salaries and wages	Matching contributions
Fringe benefits	Portion of each contract in excess of $25,000
Materials and supplies	
Travel	
Contract (First $25,000 of each contract)	

Important Considerations if you elect us use the de minimis rate:

— Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both.

— This methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate for a rate, which the non-Federal entity may apply to do at any time.

Sample de minimis rate calculation in a grant budget table:

Expense Category	Direct Cost	Modified Total Direct Cost	Allowable Indirect is 10%
PERSONNEL			
Employee #1	$15,000.00	$15,000.00	$1,500.00
Employee #2	$12,000.00	$12,000.00	$1,200.00
Total Personnel	**$27,000.00**	**$27,000.00**	**$2,700.00**
FRINGE			
Employee #1	$2,250.00	$2,250.00	$225.00
Employee #2	$1,800.00	$1,800.00	$180.00
Total Fringe	**$4,050.00**	**$4,050.00**	**$405.00**
TRAVEL			
Travel expense #1	$550.00	$550.00	$55.00
Travel expense #2	$130.00	$130.00	$13.00
Total Travel	**$680.00**	**$680.00**	**$68.00**
EQUIPMENT			
chipper	$11,000.00	(Not part of MTDC)	
Total Equipment	$11,000.00	(Not part of MTDC)	
SUPPLIES			
Supply expense #1	$1,400.00	$1,400.00	$140.00
Supply expense #2	$675.00	$675.00	$67.50
Total Supplies	**$2,075.00**	**$2,075.00**	**$207.50**
CONTRACTUAL			
Contract #1	$18,000.00	$18,000.00	$1,800.00
Contract #2	$30,000.00	$25,000.00	$2,500.00
Contract #3	$55,000.00	$25,000.00	$2,500.00
Total Contractual	**$103,000.00**	**$68,000.00**	**$6,800.00**
OTHER			
Other expense #1	$64.00	$64.00	$6.40
Other expense #2	$328.00	$328.00	$32.80
Total Other	**$392.00**	**$392.00**	**$39.20**

Total Direct Costs	**$148,197.00**		
Modified Total Direct Costs		**$102,197.00**	
Indirect			**$10,219.70**
Total Costs	**$158,416.70**		

6. Application Submission

Once you have completed the necessary preparation, you will submit your grant application along with the accompanying documents. Once you have selected submit, ZoomGrants will perform an automatic check to see that a response has been given for each question and that items have been uploaded to the required document section. The error check does not verify whether answers are complete or if the documents submitted contain the necessary information. You will be prompted to complete any incomplete items. Once the error check is complete, you'll need to enter your initials verifying submission of the application and click the "Submit Now" button. You will receive a confirmation message. There will also be a timestamp of the date and time the application was submitted where the "Submit Now" button was.

Application Status

If you have an application in progress, select the "Incomplete" tab to continue work. Your incomplete applications will be shown by application ID number until they are given a name. If you have submitted an application and want to review it, select the "Submitted" tab. On the account "Home Page" you have the option to "Print" or "Archive" applications.

Things You Can Do To Submit Successfully:

- Determine what you need to do and make a schedule
- Make sure cooperators understand their roles
- Identify match sources and obtain Letters of Commitment
- Check to see that the application responses are consistent
- Ask others to proofread your application
- Have a grant specialist read your application (CFSC staff can review drafts but it must be well before the deadline)
- Evaluate your application based on the scoring criteria
- Make sure the application is complete and is submitted on time

11. APPLICATION REVIEW

1. Initial Screening

There will be an initial screening of your application by CFSC staff to determine its eligibility and completeness before it is scored by the Review Committee. Eligible applications that meet the screening criteria are scored by a panel of volunteers who have expertise in reviewing grants and in wildland fire protection issues.

The following items are included in the initial screening:

- The applicant/fiscal sponsor organization is eligible
- Application responses are complete
- Letters of commitment are complete and consistent with the application
- A fiscal sponsor letter is included if applicable
- An indirect cost rate verification is included if applicable
- A map is included

2. Application Scoring and Review Process

Eligible applications that meet the screening criteria are scored by a panel of volunteers who have expertise in reviewing grants, and in wildland fire protection issues. In addition to the numerical score of the application, applications are ranked based on how well they achieve a geographical spread of funding throughout the state or relative to population.

3. Scoring Criteria

Scoring Criteria	
1 The applicant/fiscal sponsor has a history of successful completion of similar projects and has shown there is reasonable likelihood of success. The applicant/fiscal sponsor can feasibly add and complete an additional project without overtaxing its resources and workload.	5
2 The application appropriately addresses the wildland fire risk through fuels hazard mitigation, prevention education or planning within the project area.	5
3 The application demonstrates specific, planning for long-term sustainability of the project deliverables following the conclusion of the grant period.	5
4 The project will create or is linked to an interagency Community Wildfire Protection Plan (CWPP), collaborative community fire plan or an equivalent plan.	5
5 The project will improve wildfire survivability in a community appearing on the current California Fire Alliance "communities at-risk" list.	5
6 The project is within the wildland urban interface (WUI) as defined by the relevant planning document and is within an area designated by CAL FIRE as a "Very High Severity Zone".	5
7 The application goals and objectives are consistent with the National Cohesive Wildland Fire Management Strategy goals.	5
8 The application clearly describes how the project supports the goal of "Reducing Community Wildfire Risk" as expressed in Chapter 11 of **"California's Forests and Rangelands: 2017 Assessment".** ***(http://frap.fire.ca.gov/assessment2017)***	5
9 The detailed project description is realistic, clearly written and easy to understand. It demonstrates involvement of key partners in terms of matching funds and technical assistance. "Key partners" can be relevant federal agency staff, local fire and/or other government agencies, and/or other sources of significant resources for the proposed project.	5
10 Costs are reasonable in proportion to the proposed deliverables. The total amount requested is appropriate for the scope of the project. Staff costs (personnel/contractors/benefits) should be considered direct project expense.	5
Maximum number of points	50

12. NEXT STEPS FOR SELECTED APPLICATIONS

1. Pre-Award Phase

Project Review, eligibility and document completion

Organizations whose applications are selected for funding must complete additional certifications and provide documentation to establish their eligibility to receive funds.

Here is a list of documents that you will be asked to submit as part of the pre-award process. *Additional documentation and/or information may be required per grant requirements.*

- □ Completed and signed Pre-Award Report
- □ IRS determination letter for all IRS-designated "501" organizations (e.g. nonprofit organizations, homeowner's associations, etc.)
- □ Insurance certificate (or self-insurance letter) for all forms of insurance (except employee benefits)
- □ Last two years' independent audits and all forms of management letters from CPA (if available)
- □ Last two years' IRS Form 990 or 990EZ
- □ Audit reports prepared as a result of a visit by a federal agency
- □ Organization's by-laws (for nonprofit organizations and HOAs)
- □ Board of Directors roster (include names, addresses, phone numbers)
- □ Conflict of Interest Policy
- □ Certification that your organization has written Policies and Procedures for accounting, personnel, procurement, travel, and property management
- □ Approved Federal Indirect Cost Rate agreement (for applicants claiming indirect expenses greater than 10%)
- □ Map(s) of the area(s) to be covered by the proposed project
- □ Organization's Drug-Free Workplace Statement (for applicants with employees)
- □ Organization's National Incident Management System (NIMS) adoption (for fire protection agencies)
- □ Certification of Debarment Status on Form AD 1048, and copies of searches performed
- □ Salary Certification Letter (for applicants with employees)
- □ Financial Statements covering the six-month period preceding the Pre-Award stage (whether prepared monthly or quarterly)
- □ Various Federal Assurances and Certifications as required

We strongly recommend that applicants and fiscal sponsors check that their organization-related documents included in the list above can be easily located to prepare for potential funding. It is also important to check that organizational policies and internal controls meet the federal standards listed in 2 CFR 200.

2. Organizational Capacity and Risk Assessment

If your project is preliminarily selected to move on to the Risk Assessment is phase, you will be contacted by a representative from CFSC. As the grantor, CFSC must review the risks associated with each applicant organization and/or fiscal sponsor prior to awarding them a grant. CFSC staff will conduct phone interviews with each organization and/or fiscal sponsor to review its capacity to manage grants in accordance with the federal grant regulations. The assessment interview will include questions about the organization's financial and accounting systems, purchasing procedures, documentation standards, and other processes that demonstrate whether the organization can successfully manage grant- funded projects. A grant will not be awarded unless your organization can demonstrate adequate capacity to manage the grant funds and implement the grant project.

3. Grant Award

Subaward Agreement

Applicants that receive final approval during the Pre-Award review process will receive a subaward agreement. This is the legal document binding the applicant, fiscal sponsor (if applicable), and CFSC to the grant requirements, terms and conditions, funding and matching amounts, and project activities and deliverables listed in the grant application.

The subaward agreement must be thoroughly reviewed by all parties participating in the grant and must be signed by a person with decision-making authority within the organization.

The grant is not official until the subaward agreement is signed and returned to CFSC**.**
No grant activities may commence until the signed subaward is received by CFSC and the grant term has begun.

Project Implementation

Payments, project activities, and reporting all occur during the designated grant period in the sub award agreement. Federal grant funds may be used to cover costs incurred during this period and the value of matching costs and in-kind activities can be applied to the reported grant budget.

Payments

Throughout the Post-Award Phase, incremental grant payments may be requested from CFSC using the Grantee Payment Request Form. You must identify the work plan activities that will be paid for with the requested funds, and provide a reasonable estimate of the matching contributions that will be associated with the activities covered by the payment request. It is the grantee's responsibility to ensure that their insurance coverage and System for Award Management (SAM) registration are current at the time of the request. Quarterly progress reports must also be current and complete at the time of the request.

CFSC does not have funds on hand to cover payment requests. We regularly place consolidated requests for funds based on the payment requests we receive from individual grantees. Payments to your organization depend upon our receipt of those funds from the federal awarding agency.

Procurement

When selecting contractors and vendors, you must follow your organization's own procurement policies and the grant regulations. Be sure to document the vendor selection process. Also be sure to check the current debarment status of each contractor and its principals.

Follow Your Work Plan

Remember that your project was funded based on your application, and your agreement to complete those objectives when you signed the subaward agreement. Refer to your application throughout project implementation to ensure that you are following the work plan and meeting the goals.

Changes and Extensions

If you need to make any changes to your original grant project, you must contact your Grant Specialist for approval.

Reporting

Quarterly reporting is a requirement of the grant and a reporting period schedule will be included in your subaward agreement. Each quarter you will report on the progress of your grant, comparing your actual accomplishments to your projections. You will provide narrative descriptions on the project noting successes, setbacks, and any changes approved by CFSC. You will also report on the grant budget, providing a complete accounting of all expenditures of grant funds and matching contributions, with source documentation for each expenditure, over the course of the grant. You are expected to expend matching contributions

regularly throughout the grant, showing increases in the total amount of matching contributions generated to date in each quarterly report.

As part of the reporting requirement your organization will be required to provide source documentation for all costs and matching contributions, including timekeeping records for all employees working on the grant. This source documentation must support the costs being charged to the grant and show proof of payment of those costs. For organizations with direct employees, timekeeping records for those employees working on the grant must be kept which document 100% of the employee's time, not just time spent on the grant-fundedproject.

All data reported must be true and accurate. CFSC uses your data to compile periodic reports to the federal funding agency. Be sure to check, then double-check, your accounting!

Grantees are expected to maintain organized, detailed and complete grant files. Files should include all documentation related to the grant, including source documentation for all expenditures and matching contribution amounts. Source documentation includes, but is not limited to invoices, receipts, time sheets, contracts, etc. Grant documents should be organized by quarter.

All reports must be complete and submitted to CFSC by the quarterly progress report deadline. Failure to meet the reporting requirements may result in withholding of pending and future grant payments and/or the termination of your grant based on failure to meet grant requirements or non-performance.

Closeout Phase

The Closeout Phase begins immediately following the grant term. All grants must be properly closed out with CFSC in accordance with the grant requirements.

The Closeout process includes the following:

- A final Progress Report (30 days following the grant end date)
- A mandatory Grant Close-Out Report and an optional Confidential Questionnaire
- Photos from photo-monitoring work
- One original and one copy of each education and outreach products (brochures, handouts, flyers, news articles, etc.) created with grant funds
- Any unused grant funds must be returned.
- Interest in excess of $500 must be returned

— Documentation regarding disposition of property, if applicable

The final Progress Report is due 30 days after the end of the grant term. The Closeout Report and supplemental information are due 90 days after the end of the grant term.

All grant files should be properly stored until 3 years ***after the close of CFSC's master grant*** with the federal funding agency. (*This may be several years past the date your grant ended. Therefore, the CFSC will notify you when you can dispose of your grant files).* You are responsible to provide safe and secure storage for the grant files, such as in a fire safe or other container to protect them from fire, water, pests, and other threats. If there is a change in the contact person for the grant, you must notify CFSC.

Suggestions for Subrecipient Insurance

Insurance for employees, equipment, liability, and the safeguarding of funds is a critical part of a grant project and should be considered when planning the grant application budget. Insurance coverage that is required is reasonable and necessary to completing the grant is an allowable grant expense.

Federal Grant Regulations require that grant recipients provide insurance coverage equivalent to that which is typically carried for equipment acquired with federal grant funds. At a minimum, you will be required to show proof of General Liability and Directors and Officers Insurance.

All employers are required by state law to provide Worker's Compensation Insurance for their employees. Additionally, grantees must maintain effective control over and accountability for all grant funds.

Also, during the course of normal business, officers, employees, and volunteers make decisions and take action on behalf of the organization. Sometimes these decisions may affect people outside the organization, either positively or negatively, and sometimes errors are made. Sometimes officers, employees, and volunteers exercise poor judgment and act inappropriately or illegally. In all of these situations, the organization, its officers, employees, and volunteers must be protected, and insurance may offer some degree of protection.

The following are several types of insurance policies that grantee organizations should consider to protect not only federal grant funds and equipment, but also the people and assets of the organization. Other types of insurance policies are available.

- Directors and Officers Insurance for Board of Directors and Staff (required)
- Liability insurance covering the organization (required)
- Fidelity Bond Insurance to cover all Federal grant funds.
- Insurance to cover replacement cost of any equipment items bought with grant funds. (Actual Cash Value insurance will be based on the age and condition of the equipment and may not be enough to replace it.)
- Workers comp insurance for all employees and volunteers.
- Property Insurance (in the event buildings or other property is owned).
- Automobile Insurance, should grantees own vehicles.

This should not be considered a complete list of types of Insurance a subrecipient may need. Subrecipient's should discuss coverage limits and policy types with their insurance agent. He/she can make recommendations based on the types of activities the grantee will be undertaking in the performance of work related to the grant project.

When providing proof of insurance to California Fire Safe Council, we need a copy of your "Certificate of Insurance" or "cover page". The document provided will need to confirm; the effective and expiration date of the policy, coverage type(s) and limits.

Letters of Commitment (LOCs) Samples

Sample Fire Safe Council
PO Box 123
Sample, CA 99999
Phone #: (555) 555-5550
Fax #: (555) 555-5551

(date)

California Fire Safe Council
5834 Price Avenue, #101
McClellan CA 95652

RE: Sample West Side Fuel Break Application
Letter of Commitment

Dear California Fire Safe Council:

In support of the Sample West Side Fuel Beak project the Sample Fire Safe Council will be providing in-kind Personnel time valued at 13,560 and supplies with a value of $1,100.

We will also provide a cash matching contribution of $6,560 to cover the cost of Contractual services financial management services to be provided by the City of Sample.

Sincerely,

Primary Contact Signature

Organization Primary Contact

SAMPLE

Design-a-Sign
1111 Along Way
Carbonaceous, CA 99999
Phone #: (555) 555-5533
Fax #: (555) 555-5544

Sample Fire Safe Council
PO Box 123
Sample, CA 99999

(date)

RE: Project Name: Sample West Side Fuel Break
Letter of Commitment

Dear *(Sample Contact Person):*

The Design-a-Sign company will provide printing and installation of 2 interpretive signs marking the fuel reduction that has been created for the Sample West Side Fuelbreak project. The signs will be installed on Flame Heights Drive at each end of the project area. The cost of design and installation is $750 and will be donated by the Design-a-Sign company.

Sincerely,

Bill Board
Bill Board
Design-a-Sign

SAMPLE

Mapdot Fire Safe Council
PO Box 123
Wherzat, CA 99999
Phone #: (555) 555-5550; Fax #: (555) 555-5551

California Fire Safe Council
Grant Manager
Address

(date)

RE: Project Name: Sample West Side Fuel Break
Cover Letter and Summary of Letters of Commitment

Dear California Fire Safe Council:

Attached are two Letters of Commitment to this grant. The total value of matching funds and in-kind services to be provided by these organizations is comprised of the following:

ORGANIZATION or INDIVIDUAL	MATCHING FUNDS	IN-KIND GOODS AND/OR SERVICES	TOTAL
APPLICANT: Sample FSC	$6,560	$14660	$21,220
Design-A-Sign	$0	$750	$750
TOTALS	**$6,560**	**$15410**	**$21,970**

Please contact me if you have any questions about these in-kind and cash matching contributions.

Sincerely,

Primary Contact Signature

Organization Primary Contact

SAMPLE

Sample Agreement between Fiscal Sponsor and Applicant Organization for Federally-Funded Grants Awarded by the California Fire Safe Council

This agreement is made the_____day of____,____2019 between the_____(Fiscal Sponsor) and_____(Applicant Organization).

The purpose of this agreement is to establish a fiscal sponsor relationship between the two organizations for the fiscal management and/or project management needs of _____(Applicant Organization), an unincorporated group that may receive a grant from California Fire Safe Council (CFSC). CFSC provides grants that are federally funded and subject to the federal regulations. The proposed project_____if funding will be subject to the federal regulations applicable to the Fiscal Sponsor's type of organization.

The sponsoring organization will be referred to as "Fiscal Sponsor" and the unincorporated group shall be referred to as "Grantee" in this document. Both parties are equally responsible for abiding by all of the terms and regulations cited in the CFSC grant agreement. The Fiscal Sponsor and the Grantee are considered "co applicants" for this grant.

1. The Fiscal Sponsor agrees to assume administrative and financial responsibilities for the purposes of the above CFSC grant.
    a. They will provide these services at no charge, but will provide required documentation of these free services for use as in kind match for the grantee.
    OR
    b. They will provide these services for a sum of_____to be paid on the following terms_____.
2. The Fiscal Sponsor also agrees to assume project management for the Grantee, following the outline and work plan in the application for project_____. (USE IF APPLICABLE)
    a. They will provide these services at no charge, but will provide required documentation of these free services for use as in kind match for the grantee.
    OR
    b. They will provide these services for a sum of_____to be paid on the following terms_____.
3. The Fiscal Sponsor also agrees to ensure that all progress reports, special reports, and final closeout documents are prepared and submitted for the grant as part of this agreement.
4. The Fiscal Sponsor and the Grantee understand that the Grantee shall not be a signer on the bank accounts related to this grant and administered by the Fiscal Sponsor, nor shall any representative of the Grantee organization have access to a debt card connected to the Fiscal Sponsor's grant bank account.
5. The Fiscal Sponsor understands that all accounting and funds related to this grant shall be kept separate from the Fiscal Sponsor's other funds through a process of "fund accounting", by which the income and expenditures of the grant funds can be accurately and clearly distinguished. The Fiscal Sponsor shall clearly document the process by which the funds will be separately handled and avoid any comingling or the appearance of comingling of the funds.

SAMPLE

6. Since the grant funds will be received by the Fiscal Sponsor, the Fiscal Sponsor will include the grant funds in its organizational accounting system, IRS 990 filings and audits. The Fiscal Sponsor is fiscally liable for the proper use of the funds and for providing accurate and complete accounting records.
7. The Fiscal Sponsor also understands that since these grant funds are part of their overall financial management, they may be subject to an A-133 audit, if they meet the federal threshold on expenses that would require such an audit. The Fiscal Sponsor
shall review the potential impact of an A-133 audit on their organization and determine that should such a situation occur what additional costs, if any, would be imposed on the Grantee for their share in such an audit. This estimate of cost shall be included in the overall charges to the Grantee for the services of the Fiscal Sponsor at the time this agreement is signed. It is understood by both parties that this is an estimated cost that may or may not be incurred, but should be budgeted.
8. The Grantee and the Fiscal Sponsor shall each designate a single person from their organization to be the single point of contact for one another and for CFSC.
9. It is expected that the grantee will need to incur expenses on behalf of the project. The Fiscal Sponsor and the Grantee will agree upon a specific procedure for requests for petty cash, advances and/or reimbursements necessary to accomplish the objectives of the project as budgeted.
10. The Fiscal Sponsor agrees to communicate with CFSC and the Grantee when necessary, and shall provide their point of contact and all relevant grant materials whenever a site visit is required by the funding entity, CFSC.
11. Both the Fiscal Sponsor and the Grantee understand and agree that they will safely store all documents related to the CFSC grant until CFSC notifies them in writing that the documents are no longer subject to audit by them or the Forest Service or other governmental agency.
12. The term of this Fiscal Sponsor agreement shall be the same term as the grant agreement with CFSC, which includes the "after grant term" period of 90 days for final grant closeout.
13. Should there be a dispute between the Fiscal Sponsor and the Grantee, CFSC shall be notified immediately and attempts to resolve the situation in a positive manner should be taken.

In witness, whereof, the parties hereto have executed this agreement on the day and year first written above.	
Accepted for the Fiscal Sponsor:	
Authorized Signer (sign and print):	**Date:**
Accepted for the Grantee:	
Authorized Signer (sign and print):	**Date:**

SAMPLE

Use of Cal Fire "Fire Prevention Grant Program" Funds as Matching Contributions for California Fire Safe Council Grant Projects

California Fire Safe Council, rev. April 21, 2020

Cal Fire's "Fire Prevention Grant Programs" are funded by proceeds from the state's "California Climate Initiative" (CCI) greenhouse gas cap-and-trade auctions.

On October 17, 2018 Cal Fire issued a "Fire Prevention Grant Program Procedural Guide 2018-2019". That guide contains the policies and procedures that Cal Fire will use in administering the grant program. On page 2 is a statement that *"Funded activities include hazardous fuel reduction, fire planning, and fire prevention education…"*

These same activities are also eligible for funding by the CFSC's federally funded grant programs.

Also on page 2 of the Fire Prevention Grants Program Procedural Guide is a statement that *"In order to be most effective, multiple funding sources should be leveraged from each of the partners involved in projects, and priority will be given to projects that contain matching funds and leverage other financial resources."*

These same statements appear on page 2 of the "Fire Prevention Grant Program Procedural Guide 2019-2020", issued September 25, 2019.

A Cal Fire grantee in either of these programs can use their Cal Fire grant funds as matching contributions for a California Fire Safe Council grant **if** the Cal Fire grant will be used to fund additional allowable activities within the scope and boundaries of the CFSC-funded project.

In many cases these Cal Fire grants were awarded prior to the opening of the CFSC grant application period. Therefore, the CFSC applicants were able to plan their projects to include areas and/or activities that would be funded by qualifying matching contributions from their Cal Fire grant.

Applicants for the CFSC 2020 grant program who have applied for 2019-20 Cal Fire grants may be able include the value of some or all of their Cal Fire project work as a matching contribution to their CFSC project. These applicants should contact a CFSC Grant Specialist to determine if these matching contributions will be allowable.

Documentation of Payment of Cal Fire Grant Funds

Cal Fire matching contributions to projects that are also funded by a CFSC grant will *all* result from cash payment of costs by Cal Fire. That payment process is described on pages 17 - 21 of the Cal Fire "Fire Prevention Grant Program Procedural Guide 2019- 2020".

Such matching contributions of services, products, supplies, etc. that are paid for with Cal Fire grant funds cannot be claimed by the CFSC grantee as Matching Contributions on their CFSC quarterly progress report **until** the grantee:

1) has been invoiced by vendors for the services, products, supplies etc., and
2) has then invoiced Cal Fire for those goods and services; and
3) has been reimbursed by the State upon approval of the invoice.

At that point those costs *can be shown* as a Cal Fire matching contribution to the CFSC project on the CFSC Quarterly Progress Report, and the quarterly Match/Cost Sharing Report.

CFSC and Cal Fire Grant Project Progress Reports and Final Report

Both the CFSC grant and the Cal Fire grant require quarterly progress reports and a project Final Report. However, since the two grants have different start and end dates, only the Cal Fire matching contributions that occurred within the term of the CFSC grant may be reported as matching contributions for that grant.

Since the Cal Fire grant quarters and the CFSC grant quarters are different, it is important for grantees to track expenses and matching contributions by date so they can be reported in the correct quarter for both grants.

The Cal Fire reporting requirements and a link to the associated forms are shown on page 9 of the Cal Fire "2019-2020 Fire Prevention Grants Program Procedural Guide"..

Use of California Department of Forestry and Fire Protection (CAL FIRE) Conservation Camp Crews on Grant-Funded Projects

(rev. April 22, 2020)

NOTE: *At this time Cal Fire has not yet provided the California Fire Safe Council (CFSC) with samples of the documents they will use to record the participation of their engine company, dozer company, or individual company officers and chiefs in fire prevention and protection projects undertaken by local government and non-profit organizations.*

CONSERVATION CAMP CREWS: The California Department of Forestry and Fire Protection (CAL FIRE) is currently authorized to operate 39 Conservation Camps statewide that house more than 4,300 inmates and wards. These camps are operated in conjunction with the California Department of Corrections and Rehabilitation (CDCR) and the Division of Juvenile Justice.
Through these cooperative efforts CAL FIRE is authorized to operate 196 fire crews year-round. These crews, also referred to as "hand crews", are available to respond to all types of emergencies including wildfires, floods, search and rescue. Fire crews perform more than 3 million hours of emergency response work each year.

When not assigned to emergency response or pre-fire project work, crews conduct labor-intensive project work on public and private lands. These fire crews conduct critical hazard fuels reduction projects in support of state and federal fire plans. Additionally, fire crew projects include repair and maintenance of levees for flood prevention; maintenance of local, state, and federal park infrastructures; clearing debris from streams; removing roadside litter; building hiking trails; and providing many other important community services.

A typical Cal Fire crew consists of an experienced Cal Fire captain and from 13 to 17 firefighters. They travel to and from project work sites in an Emergency Crew Transport vehicle equipped with firefighting tools and other items needed for emergency and project work assignments.

Crew Work Projects

Cal Fire crews can be an important source of assistance for state and local government agencies and non-profit organizations engaged in wildland fire prevention and protection work.

One of the most common types of project work performed by Cal Fire crews is hazardous fuel reduction, including fuel break construction and chipping work.

There is a high demand for work by conservation camp fire crews, so we encourage applicants to contact their local conservation camp staff early in their project planning process to see if the crews will be able to do the project. And even if the camp staff agrees to do the project, their ability to perform the work as scheduled is affected by weather, the availability of qualified crew members, and firefighting activity.

Costs

The FY 2019-20 daily charge for crew work is $200 per day, plus an Indirect Cost Rate charge of 12.29% for state and local agencies and non-profit organizations, for a ***total daily charge of***
$224.58.

Direct payments to Cal Fire can be adjusted if the project sponsor provides goods and services that will assist Cal Fire in their recovery of operating costs for the project. Such goods and services could include fuel, tires, chainsaw parts and accessories, and similar items related to performing project work. This arrangement should be spelled out in the project "Letter of Understanding" (FC-31) described below.

If your project involves chipping, they may also be able to assist with that, but project sponsors must provide the chipper and any related items.

Matching Contribution Value

For FY 19/20 the in-kind Matching Contribution Value of work by a Cal Fire crew is **$2,038.73 per day**.

Project Work Agreement Documents

To learn more about whether a Cal Fire conservation camp can assist you with accomplishing your project, contact the Cal Fire conservation camp staff and ask to meet with them to discuss your project. A list of Cal Fire conservation camps can be found on the Internet at: https://www.cdcr.ca.gov/Conservation_Camps/Camps/index.html

If the conservation camp staff feels they might be able to assist you with the project they will ask you submit a "Conservation Camp Program – Project Request" (FC-32).

After reviewing the Project Request and visiting the project site they should be able to provide you with an estimate of the cost and matching contribution value of their work on your project. **You can then use this information in developing your grant project budget.**

If the camp staff decides to do your project, they will ask you to complete a "Conservation Camp Program – Letter of Understanding" (FC-31).

Billings for the Daily Crew Work Charge will be sent to you on a "Projects Order Form" (FC-80). The FC-80 will show the number of crew days worked during that billing period and the cost to your organization.

You will then be able to calculate and report the Matching Contribution Value of the crew work performed during that billing period. This is done by multiplying the number of days billed by the Daily Crew Work Value shown above. Example: 8 days billed X **$2,038.73 per day =**
$16,309.84 Matching Contribution Value.

MAP INSTRUCTIONS FOR THE GRANT APPLICATION

1. *No maps are required* for proposed projects that do not involve "ground-disturbing work". Examples would be a countywide fire prevention education program, or defensible space education program, or Community Wildfire Protection Planning project, or similar activity.

2. Project Vicinity Map: A Project Vicinity Map is required for proposed projects that DO involve the potential for "ground-disturbing work", including local or countywide chipping projects.
Mark the center of the project location with an "**X**". Circle the individual communities or areas where the work will take place. Be sure that communities and major roads are clearly labeled.

3. Project Boundary Map: A Project Boundary Map is required for all proposed projects that DO involve hazardous fuel reduction work. These maps must show the planned boundaries of the areas to be treated. Create enough 8 ½" x 11" map pages to show the entire project area.

4. General

a. **All maps** must be submitted in 8 ½" x 11" format and uploaded to ZoomGrants.

b. Project maps must be US Geological Survey (USGS) quadrangle maps, or maps with a comparable level of detail. If USGS maps are used, **clearly identify the name of quadrangle used.** Landmarks, roads, and other features that help clarify the project area should be legible. Color maps are preferred but not necessary.

c. If you are not using mapping software, you can download and print topographic maps from the USGS. While map accuracy is required, the project boundary can be hand drawn or digitally entered, but it must be clearly legible. Be sure to show the official name of the USGS quadrangle map you are using on each page of the map.

1/4

2017 Northstar/Truckee Fire Neighboring Fuels Reduction Project
2017 CFSC Grant Cycle
Project Vicinity Map
USGS TRUCKEE 100k QUAD

1:100,000

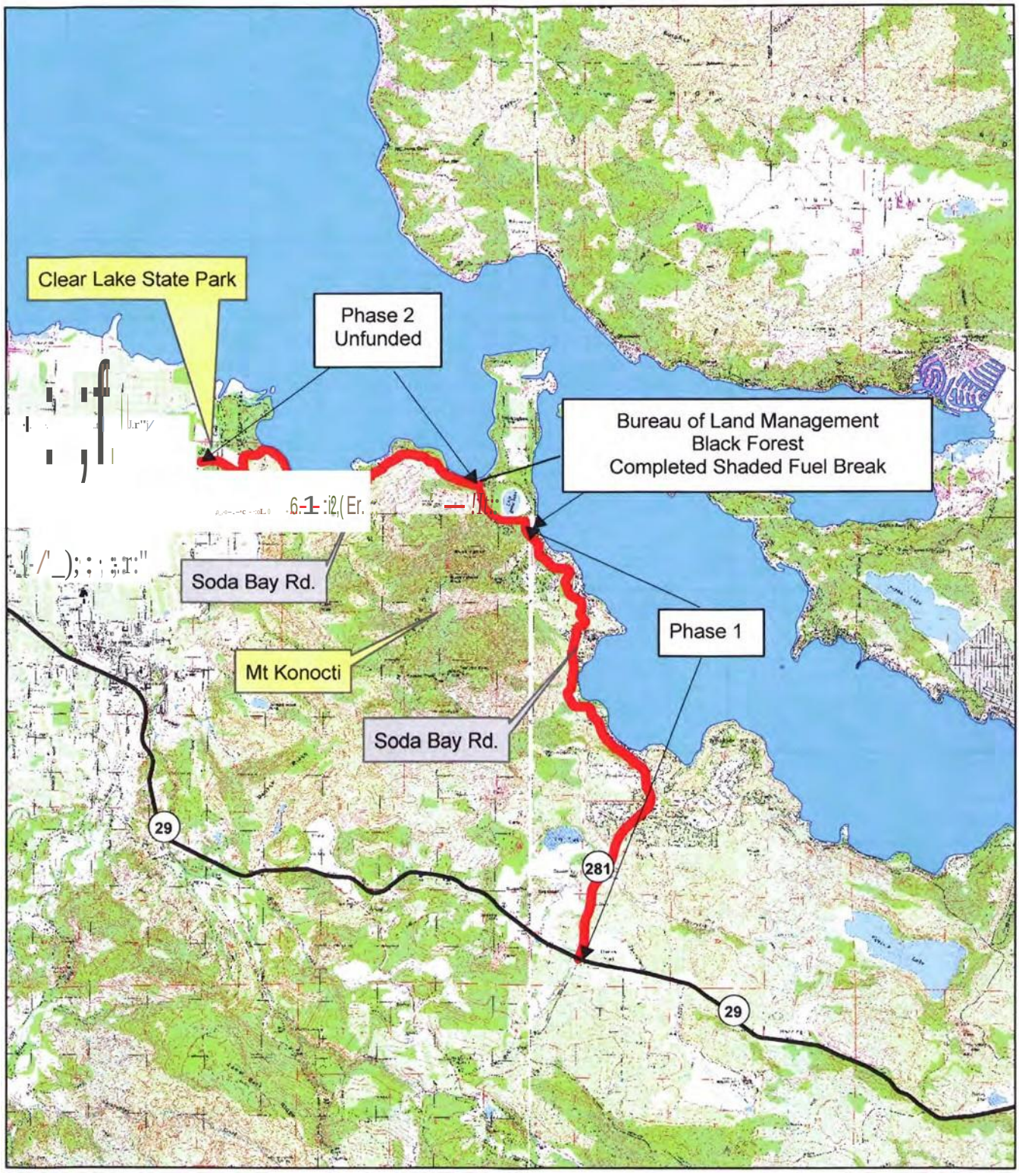
0 2 4
Miles

May, 2017

DocumentPath:P:\GIS\STORE\Projects\FireForester\2017_Treatment\2017_NFD_CFSC_Project_Vicinity_Map_05-11-2017.mxd

Soda Bay Shaded Fuelbreak Project

Project Vicinity Map



Legend

- Project Area
- Landmark
- Clear Lake

Clearlake Oaks Quad
Clearlake Highlands Quad
Kelseyville Quad
Lucerne Quad
1:100,000

Created 6/15/2010

Soda Bay Road Shaded Fuel Break
Project Boundary Map# 1

Clearlake Highlands Quad
Clearlake Highlands & Kelseyville Quads
1:24,000

Legend

- Project Area
- D Parcel Boundary
- D Clear Lake

DUNS Number, SAM Registration, & CAGE Code Information

Per the ARRA (American Recovery and Reinvestment Act) and the FFATA (Federal Funding Accountability and Transparency Act) federal regulations, all subrecipients or subcontractors receiving federal grant awards or contracts must have a DUNS (Data Universal Numbering System) Number and be registered with the SAM (System for Award Management). This includes all subrecipients receiving funds from the California Fire Safe Council (CFSC).

All grants, subawards, and contracts funded in whole or in part with federal funds will contain DUNS and SAM/CAGE requirements, and no payments will be issued until the subrecipient or subcontractor has provided a valid DUNS number and certifies their registration with SAM to their granting/contracting agency.

The organization name should be exactly the same on both the DUNS and the SAM registration to avoid complications. This exact name should be used on the grant application.

Who needs a DUNS number?

All organizations receiving direct federal awards or indirect federal awards that pass through another agency (such as the CFSC) must have a DUNS number. This includes state and local government agencies, special districts, universities, and registered non-profit and for-profit corporations. If any of these types of subrecipients utilizes the services of a Fiscal Sponsor, then both the subrecipient and the Fiscal Sponsor must have a DUNS number.

(However, if the subrecipient does not fall into one of these categories, such as a non-profit organization that is not registered with the IRS, they will not be able to complete the SAM registration process. In that case they will have to use a "Fiscal Sponsor" organization that is a "legal entity", which will be the actual subrecipient identified by name in the sub award agreement. The Fiscal Sponsor must then have a DUNS number and be registered with the SAM

How do I find out if my organization already has a DUNS number?

Your chief fiscal officer, treasurer, business manager, executive director, or accountant is likely to be able to provide your organization's DUNS number if you already have one. Many larger organizations such as state and local government agencies, special districts, universities, non-profits, and for-profit corporations are likely to already have a DUNS number. If you don't know if you have one, you can search the Dun & Bradstreet website at: http://fedgov.dnb.com/webform/CCRSearch.do.

I've received federal grants/contracts for several years without a DUNS number. Why do I need one now?

Although these requirements have existed for a number of years for direct recipients of federal grants, this is a fairly new and developing requirement for subrecipients and subcontractors.

How do I get a DUNS number?

DUNS numbers are provided by Dun & Bradstreet (D&B). You can obtain a DUNS number by phone or through D&B's website. If you need your DUNS number immediately, you might consider making your request by phone where you will be assigned a DUNS number during the call.

An authorizing official of the organization, such as an Executive Director, Chief Financial Officer, etc. not a Project Director, should request a DUNS number. The following is a list of the information you will need in order to obtain it:

- Name of organization
- Organization address
- Name of the CEO/organization owner
- Legal structure of the organization (non-profit organization, for-profit corporation, etc.)
- Year the organization started
- Primary type of business
- Total number of employees (full and part time)

Contact Dun & Bradstreet

Phone: **866-705-5711**
Website: http://fedgov.dnb.com/webform/displayHomePage.do

Note: As a result of obtaining a DUNS number you have the option to be included on D&B's marketing list that is sold to other companies. If you do not want your name/organization included on this marketing list, request to be de-listed from D&B's marketing file when you are speaking with a D&B representative during your DUNS number telephone application.

How much will it cost to get a DUNS number?

Obtaining a DUNS number is absolutely FREE for all federal grant and contract applicants. Contact Dun & Bradstreet directly using the contact options listed above and you will quickly and easily obtain a DUNS number at no charge. There are companies who may offer to help you obtain a DUNS number for a fee, but this service is not necessary.

Dun & Bradstreet may also offer to sell their products to you for a fee, but purchase is not required to obtain a DUNS number.

My organization has more than one DUNS number. How do I know which one to use?

Organizations may have multiple DUNS numbers because they are issued by D&B by physical location. For consistency, the California Fire Safe Council will issue all subawards to the primary DUNS number of the organization. Contact D&B to identify which DUNS number is the primary one. You should also be sure that the DUNS number you use on your grant/contract is the same as the DUNS number used during registration with SAM as described below.

US General Services Administration "System for Award Management" (SAM) and Commercial and Government Entity (CAGE) Codes.

What is SAM?

The System for Award Management (SAM) is an official website of the U.S. government. There is no cost to use SAM. You can use this site for FREE to:

- Register to do business with the U.S. government
- Update or renew your entity registration
- Check status of an entity registration
- Search for entity registration and exclusion records

Creating a User Account in the GSA "System for Award Management (SAM)

2. In order to apply for a grant from the California Fire Safe Council you must first be registered and have a user account with the federal General Services Administration's "System for Award Management" (SAM) www.sam.gov

3. You must first create a "Login.gov" account. (If you already have a SAM account but have not updated it recently use the same email address you used when you registered with SAM, and your Login.com account will automatically be linked to your existing SAM.gov profile.)

4. Once you have established a Login.gov account you will then be able to create or update your SAM.gov account.

What is a CAGE code, and how are CAGE Codes assigned?

The Commercial and Government Entity (CAGE) Code is a five-character ID number used extensively within the federal government, assigned by the Department of Defense's Defense Logistics Agency (DLA). The CAGE code is used to support a variety of mechanized systems throughout the government and provides a standardized method of identifying a given facility at a specific location. The code may be used for a facility clearance, or a pre-award survey. You do not need to have a CAGE code prior to SAM registration, as one will be automatically assigned to you as a part of your entity's registration in SAM.

Search Records

All exclusion records from the Excluded Parties Listing System have been moved to SAM.

Frequently Asked Questions for DUNS Number and SAM Registration

From www.sam.gov

What is SAM?	SAM is the System for Award Management. This site, developed by the government will eventually combine eight federal procurement systems and the Catalog of Federal Domestic Assistance into one new system. Phase one of SAM will combine CCR, ORCA, EPLS and FedReg. As a result, CCR, ORCA, EPLS and FedReg no longer exist since July 29, 2012. For more information visit https://www.sam.gov/sam/
Will I still need a DUNS number to enter SAM?	Yes, all activities related to D&B and the DUNS number will remain the same. The DUNS will be needed to begin your registration and any updates to your company name or address need to be made at D&B prior to entering SAM.
What is D&B Government iUpdate?	Government iUpdate is D&B's internet-based service that allows business owners, officers and mangers the ability to request a DUNS or view, print and request updates to their existing company information.
Can every company use Government iUpdate?	No. Only those companies located in the continental US, Puerto Rico and US Virgin Islands can use Government iUpdate. Companies outside of these locations, as well as public companies, are unable to make changes to their company information via Government iUpdate.
Is D&B Government iUpdate Secure?	Government iUpdate is password protected and encrypted with Secure Socket Layer (SSL) Protocol. In addition, any changes made to your company information get processed through our internal system, which has over 800 validation checks.
Why were my requested changes rejected or not made?	To maintain accuracy of significant business information, D&B data update policies require certain change requests to be verified by a third party prior to entry. If verification cannot be confirmed, the change request will be denied. This policy is to assist in protecting you and your company from possible identity theft.
Why are you verifying my identity?	To help safe guard your company's data, D&B must first verify your personal identity and your affiliation with the selected company. To read about how we collect, manage, share and protect information, please review our Privacy Policy.
What are D&B's Data and Privacy Policies?	D&B's privacy policy can be found at http://www.dnb.com/US/home/privacy_policy/index.html.
How do you verify my identity?	D&B uses commercially available identity matching technology create a short series of challenge questions based on geographical and demographic data. This is only used to validate your

	information. we do not store this personal information. To read about how we collect, manage, share and protect information, please review our Privacy Policy.
Do I answer the challenge questions every time I enter Government iUpdate?	No, once successfully authenticated, you will establish an ID and Password.
What if I don't find my company in your database?	You may request a new DUNS number using Government iUpdate.
What if I answer the challenge questions wrong?	In order to maintain the proper security, you will be allowed two attempts to successfully complete the authentication exam. If the second attempt results in a failure, you will be asked to complete a D&B Government iUpdate Personal/Business Identification Certification before moving forward. This form requires backup documentation and notarization.
Has the website changed?	No. The website is still http://fedgov.dnb.com/webform.
This is my first time making a DUNS request on the Government iUpdate, should I call into the helpdesk or go to the website?	We recommend that you go directly to http://fedgov.dnb.com/webform because submitting online allows you to easily view and answer the personally derived questions and multiple choice answers the authentication exam.
How do I change my password for Government iUpdate?	Registered users can modify their Password or User ID through the User Profile option within Government iUpdate.
I forgot my password, can I still get access?	Yes, select the "forgot password" link on the main login screen. You will be required to answer your security questions created during registration. Once verified, your password will be e-mailed to you.
Can I use this web site if I have my popup blocker enabled?	Certain features and functionality within this web site are launched in popup windows. If you are experiencing any problems in using these features, D&B recommends you disable any popup blockers you have on your system.
What is a DUNS number and how are they assigned?	A DUNS number is a unique, non-indicative 9-digit identifier issued and maintained by D&B that verifies the existence of a business entity globally. D&B assigns DUNS numbers for each physical location of a business.
Who is eligible for a D&B D-U-N-S® Number?	Commercial, non-profit or government entities Self-employed individuals (only individuals such as; physicians, lawyers, contractors, etc. who are engaged in a specific commercial business

	activity). All secondary locations including Branches and Divisions .
Is there a charge for U.S. Government contractors?	Obtaining a DUNS number is absolutely free for all entities doing business with the Federal government. This includes current and perspective Contractors, Grantees, and Loan recipients. Under normal circumstances the DUNS is issued within 1-2 business days when using the D&B online process.
Are D&B D-U-N-S® Number re-used?	Once assigned, a D&B D-U-N-S® Number is not reused or reissued to another business entity.
How do I know if D&B has assigned my entity a new D-U-N-S Number?	A D&B Representative has confirmed that your entity has a new D-U-N-S Number. It is always best to confirm the correct D-U-N-S Number for your entity with D&B going online at http://fedgov.dnb.com/webform or by calling 1-866-705-5711 (US Only). International registrants can confirm by sending an e-mail to ccrhelp@dnb.com, including Company Name, D-U-N-S Number, and Physical Address, and Country.
Can I have more than one D-U-N-S Number at the same physical location?	Yes, more than one D-U-N-S Number can be issued at the same physical location if they are (1) separate legal entities (ie; LLC, Inc., Corp) or (2) companies that have the same legal business name but different DBA's and/or a different line of business that is specific to the nature of operations. An example of (2) is when a HQ and brand or division (see definitions below) are co-located, like a warehouse on the premises of the HQ. Definition: Headquarters is a business that has branches or divisions reporting to it and is financially responsible for them. Branch is a secondary location of the HQ. It is not a separate corporation and has no legal responsibilities for its debt. It can be located at the same address as the HQ, if a unique trade style is used. Division, like a branch, is a secondary location of a business. However, a division carries out specific business operations related to the headquarters under a divisional name.
How do I Register at SAM?	To register with SAM, go to www.SAM.gov, create a User ID and Password to begin, or enter your existing User ID and Password.
My Corporate Linkage information listed in SAM is incorrect.	Please send an email to govt@dnb.com including your DUNS number and contact information. In the email confirm what should be listed for the HQ/Parent, Domestic Ultimate and Global Ultimate. You will then be contacted by a D&B associate.
What is DUNS+4?	The +4 extension to a DUNS number is created by registrants in SAM when there is a need for more than one bank/Electronic Funds Transfer (EFT) account for a location. D&B does not create or maintain the +4 number.
How do I check my SAM Registration Status?	Go to www.SAM.gov and click "Search Records" located at the top of the page. Search by entering your DUNS number or business name. If found, your registration status will be displayed.

What is TIN Matching?	The TIN matching process is conducted between SAM and the IRS. Be sure to your Taxpayer Name is on the SAM IRS Consent Page as this may be different from your Legal Business Name. If your IRS Consent validation fails, please contact the IRS.
What if my DUNS Number is not recognized at grants.gov?	A DUNS number is accepted at grants.gov after you are registered at SAM. To get to the SAM site, use the link at grants.gov or go directly to www.SAM.gov.

Environmental Considerations for Grants Clearinghouse Projects

This document provides environmental evaluation information and protection considerations for grants funded by California Fire Safe Council (CFSC). Some fuel reduction and other projects funded through the Grants Clearinghouse may not be subject to the California Environmental Quality Act (CEQA)[1] or the National Environmental Policy Act (NEPA). This document highlights certain resource areas of concern related to potential grant-funded activities and how to evaluate and address impacts to those areas.

CFSC recommends that grantee projects include the use of appropriate, qualified natural resources professionals. Fuel reduction projects involve manipulating vegetation that can have complex environmental effects. Qualified professionals including Registered Professional Foresters (RPFs), biologists, and archeologists may be necessary experts for project design and permitting needs as well as implementation oversight to ensure projects meet goals, avoid unnecessary adverse environmental impacts, and comply with state and federal laws for protection of natural resources. Further, California Public Resources Code[2] requires use of an RPF "when making evaluations and determinations of the appropriate overall combinations of impact from forestry activities necessary to protect all forest resources."

Below is a list of the primary natural resources areas associated with fuel hazard reduction projects that should be considered during project design to ensure avoiding of significant adverse environmental impacts. Further information on environmental protection and the CEQA review process can be found on the CAL FIRE website at www.fire.ca.gov.

Aesthetics

Grant-funded activities could cause a significant impact to aesthetics. This could occur by: (1) changing a scenic vista; (2) degrading the visual quality of the site; or (3) damaging scenic resources associated with a state scenic highway.

Assessing impacts to a scenic vista or the visual quality of the site should be simple. Consider the potential effect of project activities (especially vegetation modification and ground disturbance) on existing visual resources and the number of people that could see it. If very little vegetation modification or ground disturbance would occur or if the project area would quickly re-vegetate, then there might not be a significant effect. If the area is remote and few people would see it, then there might not be a significant effect. If there are no scenic vistas that overlook the project area, it should not have to be considered. However, if project activities could adversely change a scenic vista or substantially degrade the existing visual quality of the area where a substantial number of people could see it, then consider modifying project activities to lessen or avoid such impacts. This could be done by treating vegetation less intensively and limiting ground-disturbing activities immediately adjacent to well-used roads or residential areas. Areas that are farther away could be treated more intensively.

Assessing impacts to a scenic highway will depend on whether it could be associated with the project area. If such a highway is found, then consider the potential effects of project activities on the scenic corridor, which would be the band of land generally adjacent to the highway right-of-way. Significant impacts to a scenic highway could occur by damaging trees, rock outcroppings, and historic buildings within the scenic corridor. If project activities could adversely damage scenic resources associated with a state scenic highway, then consider modifying project activities to lessen or avoid such impacts. As with scenic vistas and the site's visual quality, this could be done by treating vegetation less intensively or limiting ground-disturbing activities within the scenic corridor.

Air Quality

Grant-funded activities could cause a significant impact to air quality and could cause public health impacts associated with poor air quality. This could occur by: (1) failing to comply with local air quality standards; or (2) subjecting local residents to smoke or fugitive dust.

Local air districts primarily enforce air pollution control laws in California. The Air Resource Board maintains a list of local air districts (http://www.arb.ca.gov/capcoa/roster.htm). If burning is proposed as part of grant-funded activities, then the local air district should be contacted about applicable rules. Depending on the size of the burn and the amount of expected emissions, an air district-approved smoke management and burn plans and an open burning permit from CAL FIRE may be needed. Burning is generally restricted to "burn days," which would be designated by the local air district. Usually, adherence to the smoke management and burn plans and restricting burning to designate burn days would be sufficient to prevent significant impacts associated with smoke. Each air district has specific local regulations and requirements. Restriction on the size of the burn project, timing of burning operations, permit requirement, fugitive dust abatement and smoke fees are determined at the local level. Coordinate with the local air district to determine compliance with laws, ordinances, regulations and standards related to air quality.

---

[1]Non-profits are not subject to the requirements of CEQA because the definition of a "Project" includes activities directly undertaken, supported or approved by any public agency, and since non-profits are not public agencies, CEQA does not apply (PRC §§ 21063 and 21065, 14 CCR §§ 15002(b), 15378 and 15379).

[2]PRC 750-783

[3]The State Scenic Highway System includes a list of highways that are either eligible for designation as scenic highways or have been officially designated (http://www.dot.ca.gov/hg/LandArch/scenic/cahisys.htm). County highways that have outstanding scenic qualities are considered eligible. There is a map of California's officially designated scenic highways (http://www.dot.ca.gov/hg/LandArch/scenic_highways/index.htm).

Some local air districts could regulate fugitive dust, which is solid airborne matter emitted from any non- combustion source. It is also regulated per the Health and Safety Code (§41700). If grant-funded activities would generate dust in amounts that would violate local air quality laws, the Health and Safety Code, or create some other nuisance, then some level of treatment should be applied. Dust could be reduced by minimizing the surface area disturbed, limiting dust-generating work on windy days, and applying dust suppression measures. Dust suppression measures could include applying water or other stabilizing products. The California Air Resources Board has a good handbook on control of fugitive dust (http://www.arb.ca.gov/pm/fugitivedust large.pdf).

Biological Resources

Grant-funded activities could cause a significant impact to biological resources. This could include but is not limited to: (1) harassing or harming state or federally listed species; (2) modifying riparian or other sensitive plant community; (3) interfering with species movement; (4) conflicting with a local tree ordinance; or (5) conflicting with a Habitat Conservation Plan or Natural Community Conservation Plan.

Relevant State and federal laws that protect biological resources include the following:

- FGC § 3503, and 3503.5 - Protection of birds' nests
  (http://www.leginfo.ca.gov/cgi-bin/displaycode?section=fgc&group=03001-04000&file=3500-3516)
- FGC § 3511 - Fully Protected Birds
- FGC § 3513 - Non-game Migratory Birds
- FGC § 4700- Fully Protected Mammals
  (http://www.leginfo.ca.gov/cgi-bin/displaycode?section=fqc&qroup=04001-05000&file=4700)
- FGC § 5050 - Fully Protected Reptiles and Amphibians
  (http://www.leginfo.ca.gov/cqi-bin/displaycode?section=fqc&group=05001-06000&file=5050)
- FGC § 5515- Fully Protected Fish
  (http://www.leginfo.ca.gov/cgi-bin/displaycode?section=fgc&group=05001-06000&file=5500-5522)
- California Endangered Species Act
  (http://www.leqinfo.ca.gov/cgi-bin/displaycode?section=fqc&group=02001-03000&file=2050-2069)
- Federal Endangered Species Act
  (http://www.fws.gov/endanqered/laws-policies/)
- Migratory Bird Treaty Act
  (http://www.fws.gov/laws/lawsdigestlmigtrea.html)

Assessing whether project activities could harass or harm listed species or modify riparian or another sensitive plant community would require determining what species and habitats could be present on the project area and assessing how the proposed activities could affect them. The first step would be to determine what wildlife, plant or sensitive plant community could be present.

The California Wildlife Habitat Relationships System (CWHR) (https://www.dfg.ca.gov/biogeodata/cwhr/) provides a predictive database to classify habitat and identify possible terrestrial vertebrate species that could occur on a project area. A Guide to the Wildlife Habitats of California (https://www.dfg.ca.gov/biogeodata/cwhr/wildlife habitats.asp) provides guidance on how to classify wildlife habitats using this system. Once the project area has been classified into habitat types, develop a list of terrestrial vertebrate species that could be found there.

CWHR Life History Accounts and Range Maps (https://www.dfg.ca.gov/biogeodata/cwhr/cawildlife.aspx) contain species life history accounts and range maps, which could be used to determine species potentially present on the project area. The California Natural diversity Database (CNDDB) (http://www.dfg.ca.gov/biogeodata/cnddb/) provides additional information on plant and animal species and sensitive plant communities of concern that could occur within the project area. Species and plant communities identified through CWHR and CNDDB queries that also could appear on one of the following lists are of particular interest to the project proponent:

- Special Vascular Plants, Bryophytes, and Lichens List (http://www.dfg.ca.gov/biogeodata/cnddb/pdfs/SPPiants.pdf)
- Endangered, Threatened and Rare Plants List (http://www.dfg.ca.gov/biogeodata/cnddb/pdfs/TEPiants.pdf)
- Endangered and Threatened Animals List (http://www.dfq.ca.gov/biogeodata/cnddb/pdfs/TEAnimals.pdf)
- Fully Protected Animals List (http://www.dfg.ca.gov/wildlife/nongame/t_e_spp/fully_pro.html)
- List of Migratory Bird Species Protected by the Migratory Bird Treaty Act (http://www.fws.qov/migratorvbirds/RequlationsPolicies/mbta/MBTANDX.HTML)

Plants or animals on the above lists that are state listed endangered, state listed threatened, state listed rare, state candidate for listing, fully protected animals, federally listed endangered, federally listed threatened, or Rare Plant Rank 1A, 1B or 2, or on the list of migratory bird species, and potentially located on the project area, should be included on the potential project species list. The project species and sensitive plant community list should be further refined concerning presence and possible impact from project activities by considering habitat variables such as soil type, species distribution, elevation range occupied and other variables. In addition to the CWHR and CNDDB queries, the following are examples of web sites that provide additional data pertinent to development of a finalized species and plant community list for assessment:

Plants: http://www.calflora.org/species/index.html
http://ucjeps.berkeley.edu/jepson_flora_project.html

Invertebrates:
http://www.dfg.ca.gov/biogeodata/cnddb/invertebrates.asp

Fish:
http://www.calfish.org/

Reptiles and Amphibians:
http://www.californiaherps.com/index.html

Once the species and sensitive habitats list has been compiled, it can be used to determine which species could be significantly affected by project activities. This is done by comparing the location and timing of project activities with the various species life histories and habitat requirements. If, for instance, project activities would fall trees used by nesting birds, but project activities would occur outside of the nesting season, then there likely would not be a significant impact. If species habitat is present, but species presence is unknown, and the project cannot be easily modified to avoid or reduce significant impacts, then surveys may be necessary to establish species presence or absence. The Department of Fish and Wildlife provides information about species surveys (https://www.dfg.ca.gov/wildlife/nongame/survey_monitor.html).

The Department of Fish and Wildlife's BIOS webpage (http://www.dfg.ca.gov/biogeodata/bios/) contains excellent information about the location of sensitive species and habitat connectivity. This information can be used to determine the project's potential effect on species movement.

Assessing whether project activities could conflict with a local tree ordinance depends on which county or city the project would be located. Information on local tree ordinances can often be found on county or city websites.

Determining whether project activities could conflict with a Habitat Conservation Plan or Natural Community Conservation Plan would involve determining if such a plan is in effect over the project area.

- The U.S. Fish and Wildlife Service provide information about existing Habitat Conservation Plans
- (http://ecos.fws.gov/conserv_plans/PlanReportSelect?region=9&type=HCP)
- The Department of Fish and Wildlife provides information about existing Natural Community Conservation Plans (https://www.dfq.ca.gov/habcon/nccp/status/)

Cultural Resources

Grant-funded activities could cause a significant impact to cultural resources. This could occur by: (1) damaging a historical or archaeological resource; (2) damaging a paleontological resource or site or unique geologic feature; or (3) disturbing human remains.

In order to avoid damaging a historical, archaeological or paleontological resource or a unique geologic feature it must first be identified and then avoided. In the case of historical, archaeological or paleontological resources, this would require gathering information about what could be present on the project area and surveying to ascertain what is there. Gathering information could include contacting local Native Americans about known resources in the area, querying the California Historical Information System (http://ohp.parks.ca.gov/?page_id=1068), researching available historical information about the area, and speaking to knowledgeable local people. This information would then be used to focus survey efforts. The survey would be used to confirm whether historical, archaeological or paleontological resources are present on the project area. It could also identify unique geologic features. Complete survey results would allow development of protection measures for any identified cultural resources. This work should be performed by a qualified professional. CAL FIRE provides some training in cultural resource protection (http://calfire.ca.gov/resource_mgt/archaeology-training.php). Many Registered Professional Foresters have completed archeological training provided by CAL FIRE and can be helpful in preliminary surveys. .

A list of certified archeological surveyors is found at: http://www.fire.ca.gov/resource_mgt/archaeology/downloads/Certified_Arch_Surveyors.pdf.

Geology and Soils

Grant-funded activities could cause a significant impact to geological and soil resources. This could occur by: (1) causing substantial soil erosion; or (2) compromising the stability of an already unstable area.

Soil erosion could be caused by exposing erosive soils to hydraulic action. Eroded soil could lead to the loss of topsoil or sedimentation of watercourses. The intensity of erosion is influenced by the amount of ground cover, steepness of the slope, and erosiveness of the soil. Protection against erosion can be done by avoiding steep slopes, avoiding erosive soils, treating exposed areas with an erosion-resistant material, and timing project activities to avoid the wet season. A method of evaluating the erosiveness of a soil is found in Appendix I of the Forest Practice Rules (http://calfire.ca.gov/resource_mgt/downloads/2014_FP_Rulebook_w_TRA_No.1.pdf). This work should be done by a qualified professional.

Avoiding compromising an already unstable area should be done by identifying such areas prior to commencing the project and avoiding them or proposing activities thereon that would not cause additional instability. Identifying unstable areas could be done through field review and review of geologic maps.

Landslide maps by the California Geological Survey are good resources for locating unstable areas (http://www.guake.ca.gov/gmaps/WH/landslidemaps.htm). Also, Division of Mines and Geology Note 50, Factors Affecting Landslides in Forested Terrain may assist in assessing unstable terrain (http://www.consrv.ca.gov/cgs/information/publications/cgs_notes/note_50/Document

s/note50.pdf). Once geologic and field review has identified unstable areas on the project, appropriate activities could be prescribed, or such areas could be excluded from the project. As with other resource areas, this should be done by a qualified professional. The California Licensed Foresters Association has prepared a document providing guidance on how to determine if a professional geologist should be called upon in preparation of a timber harvesting plan, which could provide valuable information (http://www.clfa.org/wp- content/uploads/2012/09/GeologyGuide_v10_12pt1.pdf).

Hazards and Hazardous Materials

Grant-funded activities could cause a significant impact to the public or the environment from the hazards and hazardous materials. This could occur by: (1) transporting, using, or disposing of hazardous materials; (2) releasing hazardous materials; (3) using hazardous material near schools or airports; or (4) being located on a hazardous materials site.

Transporting, using or disposing of hazardous materials in California should occur per the limitations of a permit from an entity such as the county agricultural commissioner. The permit would stipulate the manner for materials transport, use and disposal. Generally, as long as actions taken are as prescribed in the permit, there should be no significant impacts associated with use of hazardous materials.

In order to ensure there are no significant impacts associated with the accidental release of hazardous materials (fuel, herbicides, etc.), there should be an emergency spill response plan. The specifics of the plan would depend on what, if any, hazardous materials are used in performing the project. The Department of Pesticide Regulation provides licenses and certificates for the use of pesticides including herbicide. Agricultural Pest Control Adviser Licensees (PCA), Qualified Applicator Licensees (QAL), Qualified Applicator Certificate Holders (QAC), and Private Applicator Certificate Holders (PAC) are regulated by the Department of Pesticide Regulation. The use for PCA and QAL may be required to apply herbicide. The County Agricultural Commissioner should be consulted if the use of pesticides is proposed in the project.

Whether there could be significant impacts associated with the use of hazardous materials near schools or airports would depend on the materials proposed for use and the project's proximity to schools and airports. The Department of Toxic Substances Control provides a list of hazardous waste sites (http://www.envirostor.dtsc.ca.gov/public/search.asp?cmd=search&reporttype=CORTESE&site_type=CSITES%2COPEN%2CFUDS%2CCLOSE&status=ACT%2CBKLG%2CCOM&reporttitle=HAZARDOUS%20WASTE%20AND%20SU BSTANCES%20SITE%20LIST). Refer to this list to see if the proposed project could be located on a hazardous waste site.

Hydrology and Water Quality

Grant-funded activities could cause a significant impact to the water quality. This could occur by: (1) violating water quality standards or waste discharge requirements; or (2) degrading water quality.

Water quality standards and waste discharge requirements are established by the Regional Water Quality Control Boards (http://www.waterboards.ca.gov/waterboards map.shtml) and are described in each's Basin Plan (http://www.waterboards.ca.gov/plans policies/). These differ with region. One should contact the local Regional Water Quality Control Board to determine the applicable water quality standards and waste discharge requirements given the project activities.
Disturbing one acre or more of soil may require a National Pollutant Discharge Elimination System permit issued by the local Regional Water Quality Control Board. If the project proposes operating in the streambed, bank or channel of a watercourse a 1600 permit may be require from the California Department of Fish and Wildlife.

Ground-disturbing activities, equipment use, fueling, vehicle and equipment maintenance and herbicide use near watercourses, lakes, ditches, and ponds could degrade water quality. Avoiding such impacts should consist of identifying all waterbodies on or near to the project area and avoiding them or restricting nearby activities. One could also prescribe treatments to lessen impacts. Identifying waterbodies should be done through map and field review. The decision to avoid, restrict nearby activities or prescribe treatments should be done based on an assessment of the waterbody's sensitivity to project activities and the benefit it could provide. For example, a fish-bearing watercourse could be more sensitive to sediment inputs and would provide more benefits (fish) than a non-fish-bearing
watercourse. Thus, the fish-bearing watercourse would receive a greater level of protection than the non-fish-bearing watercourse. Avoiding or lessening impacts could occur by treating disturbed soil near waterbodies with erosion-resistant material, excluding waterbodies from the project, providing buffers between project activities and the waterbody, or restricting certain activities near the waterbody. The California Forest Practice Rules provide a system by which one could classify waterbodies (see
14 CCR §916 et seq. at http://calfire.ca.gov/resource_mgt/downloads/2014_FP_Rulebook_w_TRA_No.1.pdf).

Noise
Grant-funded activities could cause a significant impact to the public from noise. This could occur by: (1) exposing persons to noise levels in excess of standards established in a general plan, noise ordinance, or other applicable local, state, or federal standards; or
(2) creating a substantial temporary increase in ambient noise levels in the project vicinity above existing levels.

Most grant-funded activities should occur in rural or semi-rural areas away from municipalities that could have noise ordinances. This could preclude any violations of standards established in a general plan, noise ordinance, or other applicable standards. However, there could be noise generated from chipping and other heavy equipment use that would have the potential to temporarily increase ambient noise levels in the project vicinity above existing levels. In order that such an increase should not cause a significant impact, project proponents could restrict the daily hours of operation and could prohibit operation on the weekends.

Section 106 National Historic Preservation Act Compliance

The National Historic Preservation Act of 1966 (16 U.S.C. 470 *et seq*.) (NHPA) established federal policy that guides many federal agency programs in historic preservation and the management of cultural resources. The Advisory Council on Historic Preservation (ACHP) is the major policy advisor to the Government for historic preservation, along with State Historic Preservation Officers (SHPO) (16 U.S.C. 470a(b)(1)(A)) who administer historic preservation programs and represent the interests of states when assisting agencies in meeting their obligations.

Section 106 of the NHPA requires federal agencies take into account the effect of their programs and activities on historic properties prior to expending any funds. ACHP's regulations (*Protection of Historic Properties*) (36 CFR Part 800) prescribe how federal agencies are to identify, evaluate, and assess the effects of their *undertakings* on historic properties. An *"undertaking" (36 CFR 800.16(y)) means a project, activity, or program funded in whole or in part under the direct or indirect jurisdiction of a Federal agency, including those carried out by or on behalf of the agency; those carried out with Federal financial assistance; and those requiring a Federal permit, license, or approval.*

Federal funds dispensed by the California Fire Safe Council through grants to reduce hazardous fuels may have to comply with Section 106 NHPA regulations, particularly where activities involve ground disturbance. Public information and education program components of these grants are not undertakings under 36 CFR 800 and need not comply with the Section 106 NHPA regulations.

What Do I Need for Section 106 NHPA Compliance?

It is recommended that you contact the lead Federal Agency to identify any Section 106 NHPA compliance requirements and documentation needed to receive the federal agency's approval of projects that are an undertaking under 36 CFR 800. This is recommended before you undertake any studies to avoid duplication or unnecessary work. The principal steps in the Section 106 process are to: identify historic properties potentially affected by the undertaking; assess the undertaking's effects on historic properties; and seek ways to avoid, minimize or mitigate any adverse effects on historic properties. The identification step includes a records search for previously identified archaeological or historical sites within the project area and a field survey conducted by a qualified archaeologist. A record search can be obtained via a qualified archaeologist contacting the California Historical Resources Information System's (http://ohp.parks.ca.gov) regional information center for your county. Once that is completed, an archaeological survey of the affected land can be done. A report is then completed documenting the results of the survey and recommended measures to protect any identified historic properties (archaeological or historical sites). This report, produced by a qualified archaeologist provides the documentation for federal agency approval

that Section 106 NHPA compliance requirements have been met.

A qualified archaeologist is an individual with a minimum of a graduate degree in archaeology, anthropology, or closely related field. This individual will possess at least one year of full-time professional experience or specialized training in archaeological research, administration, or management, as well as, a minimum of four months of supervised field and analytic experience in general North American archaeology.

What If an Environmental Assessment or Archaeological Survey Has Already Been Completed?

Contact the lead Federal Agency to determine if existing documentation meets Section 106 NHPA compliance requirements. Provide previous documentation if requested. If an archaeological survey has been done by someone other than an archaeologist, it may not meet Section 106 requirements and another survey may be needed. In some cases other requirements may be a condition of Section 106 approval (e.g., monitoring).

How Do I Obtain Section 106 NHPA Approval?

Contact the lead Federal Agency and provide a copy of the grant and a description of the activities that may be an undertaking under 36 CFR 800. Provide a copy of the archaeological survey report,
including the results of the records search by the regional information center. Upon receipt of adequate information, the lead Federal Agency can approve most undertakings under the agency's programmatic agreement with the State Historic Preservation Officer and Advisory Council on Historic Preservation. Obtain a copy of this written approval for your records. More complex projects (i.e., those that do not protect historic properties) will require lead Federal Agency consultation with the State Historic Preservation Officer for Section 106 NHPA compliance. This consultation process takes more time and additional studies or project modifications may be required before Section 106 compliance is obtained.

Your organization may receive a partial release of project funding from California Fire Safe Council to allow you to complete environmental and cultural resource compliance. Below is an explanation of how the funds should be used to satisfy CULTURAL RESOURCE COMPLIANCE. Please note that the funds may also be used for environmental compliance, which is not discussed here.

- Projects that involve ground-disturbing activity-such as certain off-road heavy machinery, creating access roads, pile burning, mastication, skidding, and in some cases, browsing-require an archaeological survey. By law, under the National Historic Preservation Act (NHPA), all federally-funded undertakings must be evaluated to determine their potential effects on cultural resources. This provides mitigation measures to be included during project implementation so as to not affect these resources. Mitigation measures typically involve flagging off archaeological sites during project implementation. The survey process is to be completed by professionals trained in archaeology, to ensure both accuracy and confidentiality.

    - For example, a multi-acre prescribed burn area may include a historical log cabin unknown to the contractor. Without the survey and protection measures, the cabin could be adversely affected, unknowingly. By completing an archaeological survey, this cabin can be flagged off and appropriate protection measures can be implemented, and the cabin avoided during project implementation.

    - In some cases, the use of herbicide during a project also triggers this type of review to make sure that tribal traditional plant gathering is not affected.

Using a Registered Professional Forester for Grants Clearinghouse Projects

The Benefits of Obtaining the Services of a Registered Professional Forester (RPF) to Assist With Planning and Managing Grants Clearinghouse Projects:

- California Fire Safe Council Grant Clearinghouse projects must comply with local, state and federal environmental laws in order to qualify for and obtain grant funding.
- Vegetation treatment projects usually change or remove plant and wildlife habitat and potentially can affect cultural resources.
- In some areas, Habitat Conservation Plans, Sensitive Ecological Habitat Areas, local environmental compliance ordinances, etc. have been established.
- Researching and understanding environmental requirements can be time-consuming, especially for applicants without a resource management background. Grant applicants may not be aware of what the pertinent environmental regulations are or how to comply with them.
- The applicant may have only a limited understanding of the terms used in the grant application, such as Fire Regime, Condition Class, Vegetation Type, Vegetation Management Treatments, ground disturbance. Applicants may lack knowledge about fire hazard mitigation, project prioritization, sustainability, roads impacts, stream alteration, biomass products, appropriate equipment needs, proper project timing, the presence of endangered biological species and cultural (archaeological) resources, etc.

The Role of a Registered Professional Forester (RPF):

The California Public Resources Code and Forest Practice Rules set forth the requirements to become a Registered Professional Forester. They state that a "Registered Professional Forester" is a person who holds a valid license as a professional forester. A Registered Professional Forester is licensed by the State of California to perform professional services that require the application of forestry principles and techniques to the management of forested landscapes and natural resources. In addition to being licensed, a RPF must:

- Be an individual of good moral character who also possesses a good reputation for honesty and integrity. No firm, company, partnership, or corporation can obtain a professional foresters license. Only individuals can obtain one.
- Have seven years of experience in forestry work. A person may substitute a Bachelor of Science in Forestry for four years of work experience.
- Pass a comprehensive examination administered by the Professional Foresters Examining Committee with a score of 75% or greater.
- RPFs can be employed by a government agency, private industry, or they can be independent consultants.

- RPFs must have an understanding of forest growth, development, and regeneration, timber harvesting operations, forest road design, soils, geology, hydrology, wildlife habitat, fisheries biology, and other natural resource management practices.
- RPFs are also trained in fire management and the application of the various fire hazard reduction methods.
- They prepare forest and land management plans, monitor and assess forest health, develop management strategies for protecting the forest from insects, disease, and wildfire, prepare and maintain inventories of forest resources, measure standing timber volume and appraise its market value, and assist in marketing forest products. They can also prepare plans to rehabilitate forests damaged by wildfire, windstorms, and other destructive natural forces.
- RPFs prepare Timber Harvesting Plans (THPs). In California, under current law, if trees are to be harvested for commercial purposes, a RPF must prepare a THP for review and approval by state agencies. Section 757.0 of the Public Resources Code provides for a landowner exemption, which allows a landowner who is a natural person to perform forestry activities on their own property without being licensed. Landowners should decide for themselves whether or not this exemption applies to them in a given situation. However, except for Conversion THPs, the Department of Forestry and Fire Protection may not accept a THP or Conversion Exemption for filing unless it has been prepared by a Registered Professional Forester.
- A RPF is authorized by the State to obtain and provide the Biological and Cultural Resource Record Searches needed to facilitate the environmental compliance process. A RPF must hold a State Archaeological Surveyor Certification.
- RPF professional expertise can expedite the environmental review process. Many RPFs conduct environmental assessments and obtain permits from a variety of state and federal agencies. They also have the advantage of being able to communicate with enforcement agencies on a professional Resource Manager-to-Resource Manager level.
- During project planning A RPF can investigate similar projects in the area, project resources available in the area, project implementation timing, etc.
- RPF can serve as the Project Manager of a grant-funded project ensuring the proper implementation of the environmental compliance mitigations and project goals and the most efficient use of grant funds. They can do on-site monitoring of contractor work to ensure that fuel treatment prescriptions are followed.
- RPFs can also assist the applicant/grantee with educating project cooperators, landowners, other stakeholders, and the general public about the project, its impacts, and its benefits.

All of this means that a California Registered Professional Forester has the knowledge and experience to assist grant applicants in planning and executing hazardous fuel reduction projects in a way that complies with federal, state, and local natural and cultural resource protection laws and regulations, and in a way that accomplishes project objectives in the most cost-effective manner. The California Fire Safe Council urges all grant applicants to consider engaging a RPF to provide professional resource management expertise to their hazardous fuel reduction efforts.

- # Sample Environmental Compliance Pre-Award Form

Organization Name:	Amador Resource Conservation District
Project Name:	Amador Community Chipping Program
Project Contact:	Amanda Watson
Phone Number:	916-612-5163
Email Address:	Amanda@AmadorRCD.org
Total acreage of project footprint:	The project will do work throughout Amador County; vegetation will be treated by landowners on approximately 585 acres of private property (defensible space around homes).
1. What is the approximate acreage of the project's surface disturbance?	Landowners will be executing handwork on their properties to create piles of vegetation placed by roadways/driveways on their properties. The area treated by landowners is estimated to be 585 acres. The ARCD chipping contractor will not be doing work that would cause ground disturbance.
2. What type of equipment (chainsaws, tracked chippers, etc.) will be used?	Equipment to be used will include chainsaws and chippers (chippers will be utilized on paved surfaces).
3. Is the project located on an existing road (rocked, seasonal or paved) or off-road? *What is the distance of off-road travel required, or of existing seasonal road travel?*	There will be no off-road travel. Travel will occur on paved roads only.
4. Will new or temporary roads be developed?	No
5. What is the distance (in feet) from live stream, wetlands, and other special site characteristics? Please describe.	There are no streams, wetlands, or special site characteristics within or adjacent to the project area.
6. Have biological or archaeological aspects been addressed? And if so, how were they addressed?	Biological and archaeological aspects have not been addressed.
7. Identify any seasonal constraints, such as prescribed fire season, nesting periods, weather, etc.	Chipping work will only be completed outside of fire season and when the ground is dry, and not saturated. Handwork (i.e. chainsaw use) will only be utilized outside of the fire season.
8. Name the months of the year in which you would like to perform the treatment.	October-May (depending on fire season and wet weather)
9. Name the time of day during which you would like to perform the treatment.	6am-6pm

Sample Grants Clearinghouse Environmental Compliance Letter

March 13, 2014

Mr. Project Manager
456 Capable Street
Strong Town, CA 91234

Dear Mr. Manager:

The proposed project action of grant # 14USFS-SFA0000 has been reviewed for compliance with federal environmental laws, including Endangered Species Act (Section 7), Migratory Bird Treaty Act, Bald and Golden Eagle Protection Act, and National Historic Preservation Act (Section 106).

Enclosed is the document which states the applicable mitigation measures and additional requirements that must be followed based on the review of your project. As you proceed with the project activity, you must abide by all mitigation measures and additional requirements to be compliant with federal environmental laws.

This determination is based on the activity proposed in your approved application. If there is any change in the proposed action for the project, the project will need to be re-reviewed and this compliance determination may be no longer valid. Contact your Grant Manager immediately if you are considering changes to the approved project.

Environmental compliance completed by a federal agency for a Grants Clearinghouse projects covers only relevant federal laws. It is your responsibility as the grantee to have the project reviewed for compliance with any relevant state laws and/or local ordinances. Consult with your CAL FIRE Unit Forester, or local county Forester, to ensure compliance with all applicable state and local laws and ordinances. Please note that it is also your responsibility to adhere to any additional mitigation measures required for compliance with state laws and/or local ordinances.

Please print both this email and the attached document for your records. Refer to the both documents regularly as your proceed with your project.

SAMPLE

Thank you for your patience as we do realize that the federal environmental compliance review is not a speedy process. Nevertheless, we believe it is important to safeguard the environment as well as the wellbeing of your organizations by waiting to release funds for your project until we receive the proper documentation from trained personnel. Please note payment of funds to you is dependent upon the California Fire Safe Council's receipt of funds from the USFS.

Best wishes for success on your project!

Fire Safe Council Grant Environmental Compliance
Name of Grant: Brushy Bash 2012
Grant Number: 14USFS-SFAXXXX
Organization Name: Ember Falls Homeowners Association
Location of Grant: Within the community of Ember Falls, Shasta County. (38.75365 N, -120.64028 W)
Size of Treatment Area: approximately 200 acres

Proposed Action: The fuel reduction portion will be performed on 12 acres below the Ember Falls community. A forester will be hired to prepare a fire hazard exemption and a prescription for thinning of trees within the project, and a tree faller will be hired to remove those trees. The wood produced will be sold as firewood to create program income for the grant. The residents will remove and stack the brush, and a chipping contractor will be hired to complete the brush chipping. The chips will be distributed over the ground to protect it from erosion. Any remaining large sticks or root balls will be piled and burned during the wet season.

Listed Species within potential to occur within treatment area: A CNDDB search of the proposed treatment area shows the following species as occurring within the vicinity of the treatment area:

Chinook salmon (Oncorhynchus tshawytscha). Threatened. This species is known to occur near the project area. Since project activities will not affect aquatic features, no impacts to this species are anticipated.

Northern spotted owl (Strix occidentalis caurina). Threatened. There are several recorded occurrence of this species in the vicinity of the project area. While a majority of the project area does not appear to contain suitable habitat for this species, portions of the project are within or near areas that may provide habitat.

Fisher (Martes pennanti). Candidate. Requires coniferous or mixed forests with complex stand structure. Portions of the project area may contain suitable habitat for this species, with the nearest recorded occurrence located immediately adjacent to the proposed treatment area. While altering the forest structure, the removal of some woody vegetation would not result in such a loss of forest structure as to render it unsuitable for fisher, provided some level of complexity remains.

SAMPLE

All environmental compliance completed by a federal agency for a National Fire Plan grant only covers relevant federal laws. It is the responsibility of the grantee to ensure that they comply with any relevant state laws or local ordinances.

Mitigation Measures:

Northern spotted owl: It has been determined that the project area falls within potential habitat for the Northern Spotted Owl (NSO), but due to the type of activities that will be implemented immediately adjacent to private homes, there should be no effects to NSO.

If treatments are implemented beyond 1000 feet of existing structures, then effects will need to be reassessed.

- Survey of all areas beyond 1000 feet of existing structures to determine:
- If suitable habitat for NSO existing within the project area
- If suitable habitat is available, if it is occupied by NSO
- If suitable habitat is available and occupied, then all treatment activities within ¼ mile of occupied habitat will be limited to a period of September 1 through January 31

Fisher: It is requested that you work closely with a biologist familiar with the species and its habitat requirements to determine if portions of the project are in fact suitable habitat and then retain all vegetative characteristics necessary to maintain the habitat.

ESA/MBTA Additional Requirements:

It is the responsibility of the grantee to ensure that all personnel working on the project can identify the species listed in this clearance. The following additional requirements will be implemented by the grantee:

- If any federally threatened of endangered species are detected in the project area that may be impacted by project activities, stop all work and immediately contact the BLM.
- Any detection of federally threatened or endangered species shall be documented using the California Department of Fish and Game California Native Species Field Survey Form (http://www.dfg.ca.gov/biogeodata/cnddb/pdfs/CNDDB_FieldSurveyForm.pdf). A copy will be submitted to the California Natural Diversity Database and the USFWS.

If one or more of the stated mitigation measures are not implemented, a new determination of effects will have to be conducted to determine if the project will continue to not affect federally listed species. If it is determined that the project may affect federally listed species, a Biological Assessment will be prepared by the Action Agency. The Action Agency will then determine if formal consultation with the US Fish and Wildlife service and/or NOAA Fisheries will be required.

Migratory Bird Treaty Act Species (MBTA)

The following avoidance measures must be implemented if any vegetation will be disturbed, pruned, or cut down that contains active nests used by species protected under the MBTA. Refer to http://www.fws.gov/migratorybirds/RegulationsPolicies/mbta/mbtandx.html for the list of species protected under the MBTA.

SAMPLE

Field personnel performing activities that will disturb vegetation where nests may be present shall be instructed in the identification of any MBTA species and their nests that may occur within your project area. If MBTA species or any active nest is detected during pre-activity surveys or during project implementation:

- The species will not be killed, harmed or harassed
- The active nest will not be adversely disturbed or destroyed
- No activities will occur within 100 feet of an active nest during the breeding season for the MBTA species determined to be actively using the nest
- Disturbance or removal of a MBTA species' nest can occur before or after the breeding season when the nest is not being actively used unless it is not allowed by state law or county/city ordinance. Contact your local California Fish and Game office or City/County Planning office for further information.

If a survey is conducted and it is determined that either there are no MBTA species present within the project area or that the project activities will have no effect on MBTA species, the above avoidance measures do not have to be followed. A copy of the survey data and rationale shall be provided to the USFS prior to not implementing the avoidance measures.

The following general guidelines regarding breeding and nesting seasons of MBTA species is provided to give you basic information on when project activities may have the most potential for impacts. These dates are not definite and may vary by species and specific project location. In general, for bird species, the safest time of year to complete vegetation disturbing work is from September through December.

Geographic Area	**Elevation**	**Breeding-Fledge Season**
Northern Sierra Nevada	Above 3000 ft.	May-August
Northern Sierra Nevada	Below 3000 ft.	March-August
Southern Sierra Nevada	Above 5000 ft.	May-August
Southern Sierra Nevada	Below 5000 ft.	March-August
Valley/Coast	All Elevations	March-August

National Historic Preservation Act Determination (Cultural Resources)

We have determined that your project does not have potential to effect cultural resources under the National Historic Preservation Act. Project work associated with this grant is considered exempt from cultural resource inventory and evaluation.

However, removal of dense vegetation within the project area may reveal previously undiscovered historical resources. The discovery of any trash dumps, structures, prehistoric sites, or other significant resources shall require additional work by a qualified archaeologist. Please review the following guidance regarding inadvertent discovery of cultural resources:

1) If previously unidentified cultural resources are discovered during project implementation, the site will be flagged for avoidance and project activity will cease within

SAMPLE

100 feet of the discovery. The project director and local archaeologist will be contacted and work will not resume within the area until further contact from the archaeologist.

2) If human remains are encountered, project work must stop and the County Coroner notified within 48 hours.
Project lead will inform the funding federal agency. There shall be no further disturbance to the area where the remains are found (Health and Safety Code Section 7050.5 (b)-(c)). If the remains are Native American, the
Coroner must notify the Native American Heritage Commission within 24 hours. The NAHC will immediately notify the Most Likely Descendant (Public Resources Code 5097.98).

--OR--

National Historic Preservation Act Determination (Cultural Resources)

The cultural resources report generated for this project satisfies the requirements for protection of cultural resources under Section 106 of the National Historic Preservation Act (NHPA) and the CA-BLM State Protocol Agreement and Secretary of the Interior Standards.

We have determined that your project does not have potential to effect cultural resources under the National Historic Preservation Act.

However, please review the following guidance regarding inadvertent discovery of cultural resources:

1) If previously unidentified cultural resources are discovered during project implementation, the site will be flagged for avoidance and project activity will cease within 100 feet of the discovery. The project director and local archaeologist will be contacted and work will not resume within the area until further contact from the archaeologist.

2) If human remains are encountered, project work must stop and the County Coroner notified within 48 hours.
There shall be no further disturbance to the area where the remains are found. If the remains are Native American, the coroner must notify the Native American Heritage Commission within 24 hours. The NAHC will immediately notify the Most Likely Descendant (Public Resources Code 5097.98).

SAMPLE

2019 SFA California Fire Safe Council Grants
Multiple Project Biological Compliance Form

Endangered Species Act/Migratory Bird Treaty Act/California Endangered Species Act Determination (Biological Resources)

The grants propose to chip vegetation already removed from their private property, and involves fire safe education and outreach activities. There will be no impact to any state or federally listed species or protected migratory bird species as a result of these proposed actions. The following project is cleared for environmental compliance as of 11/25/2019. **No further review is required and project funding may be released in support of this grant.** If there is a change in the proposed action for this project, this clearance will no longer be valid and a new review will be required.

Grant Name	Grant Number	Organization Name
Amador Community Chipping Program	19-SFA-143745	Amador Resource Conservation District

Completed by Ben Cohoon, RPF #2821 11/25/2019

It is the responsibility of the grantee to ensure that they comply with any relevant state or federal laws, or county or local ordinances.

Multiple Project NHPA Compliance Form

The above listed grants have been reviewed for their potential to affect cultural resources, as per the National Historic Preservation Act, for Section 7 Endangered Species Act, and for California Endangered Species Act issues based on the type of proposed action.

National Historic Preservation Act Compliance Review (NHPA) (Cultural Resources)

The grant proposes chipping of vegetation already removed from private property and involves fire safe education and outreach activities. It has been determined there will be no potential to affect cultural resources as a result of these proposed actions. **No further review is required and project funding may be released in support of these grants.** If there is a change in the proposed action for these projects this clearance is no longer valid and additional review will be required.

Ben C. Cohoon

Signature

11/25/2019

Date

Frequently Asked Questions

Who should my organization hire to complete the required archaeological survey?
All survey work must be done by a qualified professional archaeological consultant.

My organization already has an archaeological survey report on file for a previous project. Can we use this report for the current project?
The previous project footprint and survey footprint must match exactly. If portions of the proposed project area have been surveyed within the last 5 years, they typically do not need to be surveyed again. If cultural sites are located within the survey footprint, they may need to be relocated and protected from proposed project activity. Send any previous cultural survey documentation to be reviewed for adequacy for proposed project activity.

Where should the completed survey report be sent? Should the CFSC have a copy?
The survey report should be sent directly to the California Fire Safe Council's contracted Registered Professional Forester (RPF) who will consult with the appropriate agency representative for approval. The report includes confidential information that should only be accessible to a professional archaeologist. Reports should be mailed or emailed, not faxed.

My organization's project area is extremely large and the partial funding will not be enough to complete the survey work. What should I do?
Contact your CFSC Grant Specialist with questions on project funding strategies.

Some or all of my organization's project area is located on private property. Is it necessary to complete an archaeological survey?
Yes, because the project is federally funded. Private property owners must give permission for survey to take place. *If a property owner does not give permission to conduct the survey, federal funds cannot be used to treat the owner's parcel.* *****It is the responsibility of the project manager to determine ownership status between private, state, county and/or federally managed lands*****

My organization's project involves <u>defensible space only</u>. Why have we not received a categorical exemption?
This can happen, but further clarification may be needed before funding can be released. For example, the project map may need clarification and/or the area to be treated appears to fall outside of the defensible space zone. Your organization will be contacted for this clarification.

My organization's project involves <u>handwork only</u>. Why have we not received a categorical exemption?
Usually this happens when further clarification involving the grant application and/or the project map is needed. In certain circumstances, the treatment being considered might not qualify as handwork. Your organization will be contacted for this clarification.

Most of my organization's project involves hand treatments, but there is a small parcel that will be masticated. Must we survey the entire project area?

No. It will only be necessary to survey areas planned for ground - disturbing treatments.

<u>Helpful hints:</u>

- ***Think ahead regarding future fuels projects. If future ground disturbing activity within the project area is a possibility, it is recommended that the entire project footprint be surveyed for future fuels treatment.***

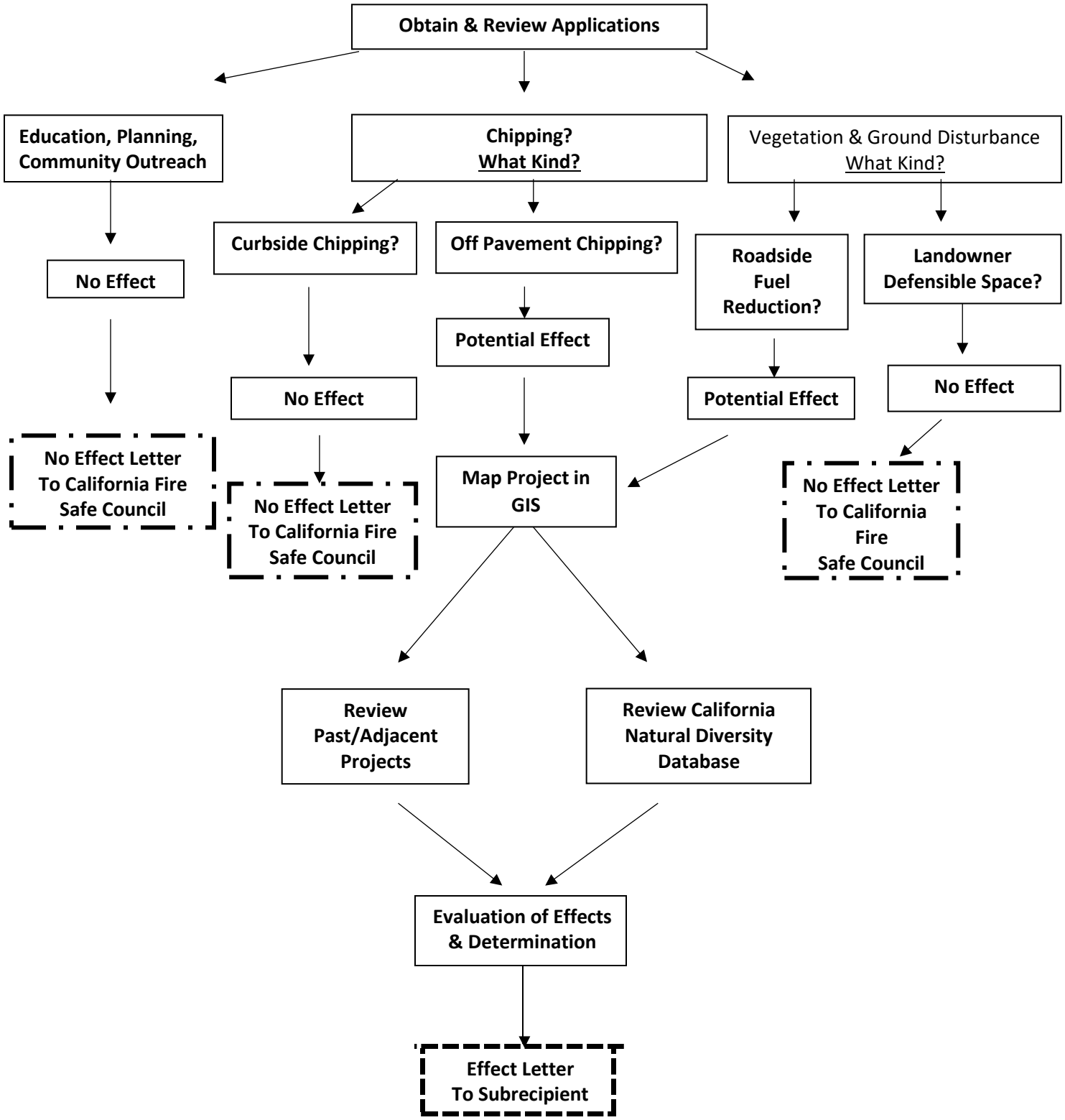
- ***Be certain to budget appropriate funds for environmental compliance into your proposal.***

- ***If submitting supporting documentation to the reviewer (RPF), whether for environmental or cultural compliance, provide the most recent documents (no older than 5 years).***

For questions concerning National Historic Preservation Act compliance process, contact the Office of Historic Preservation.

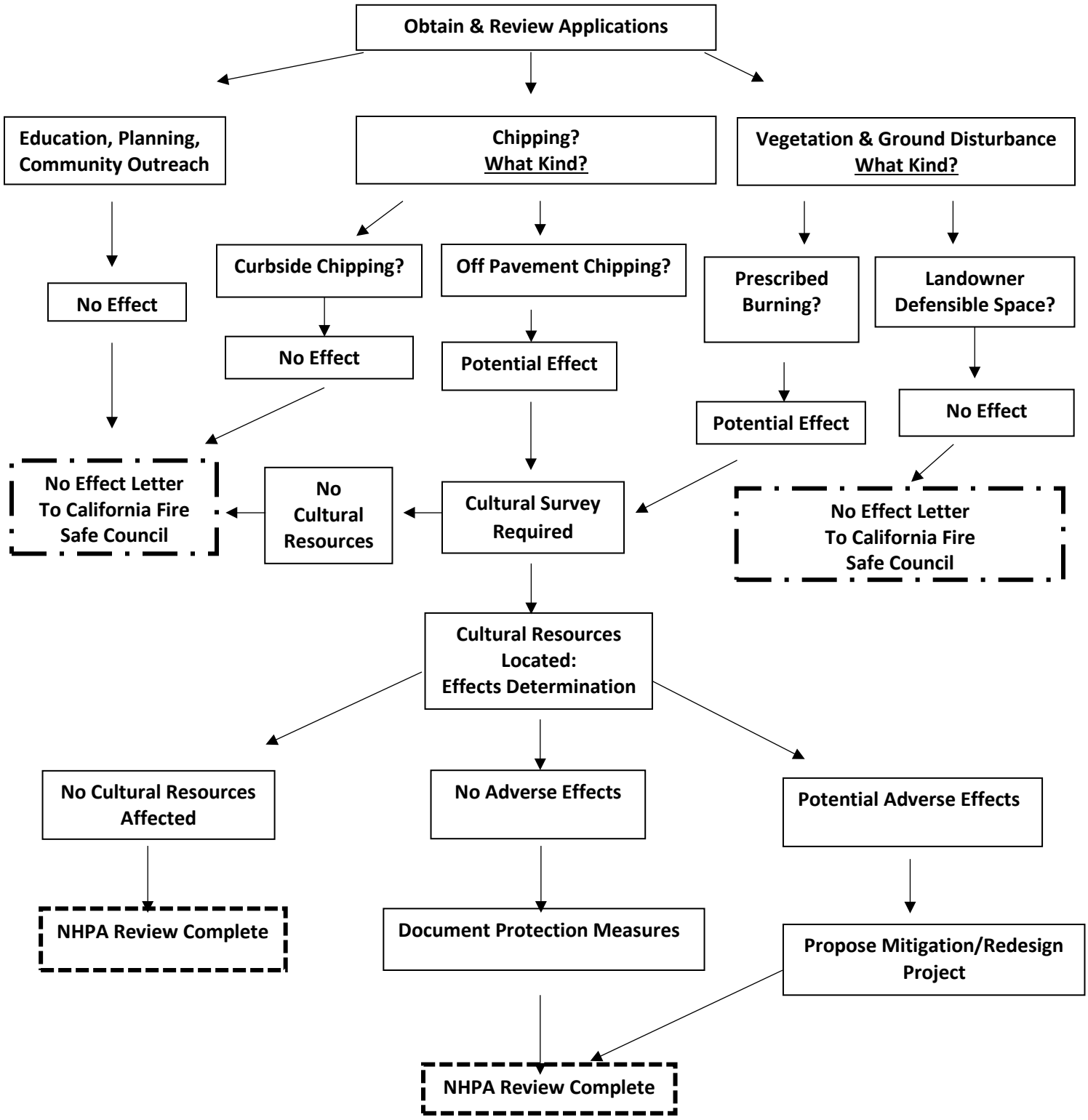
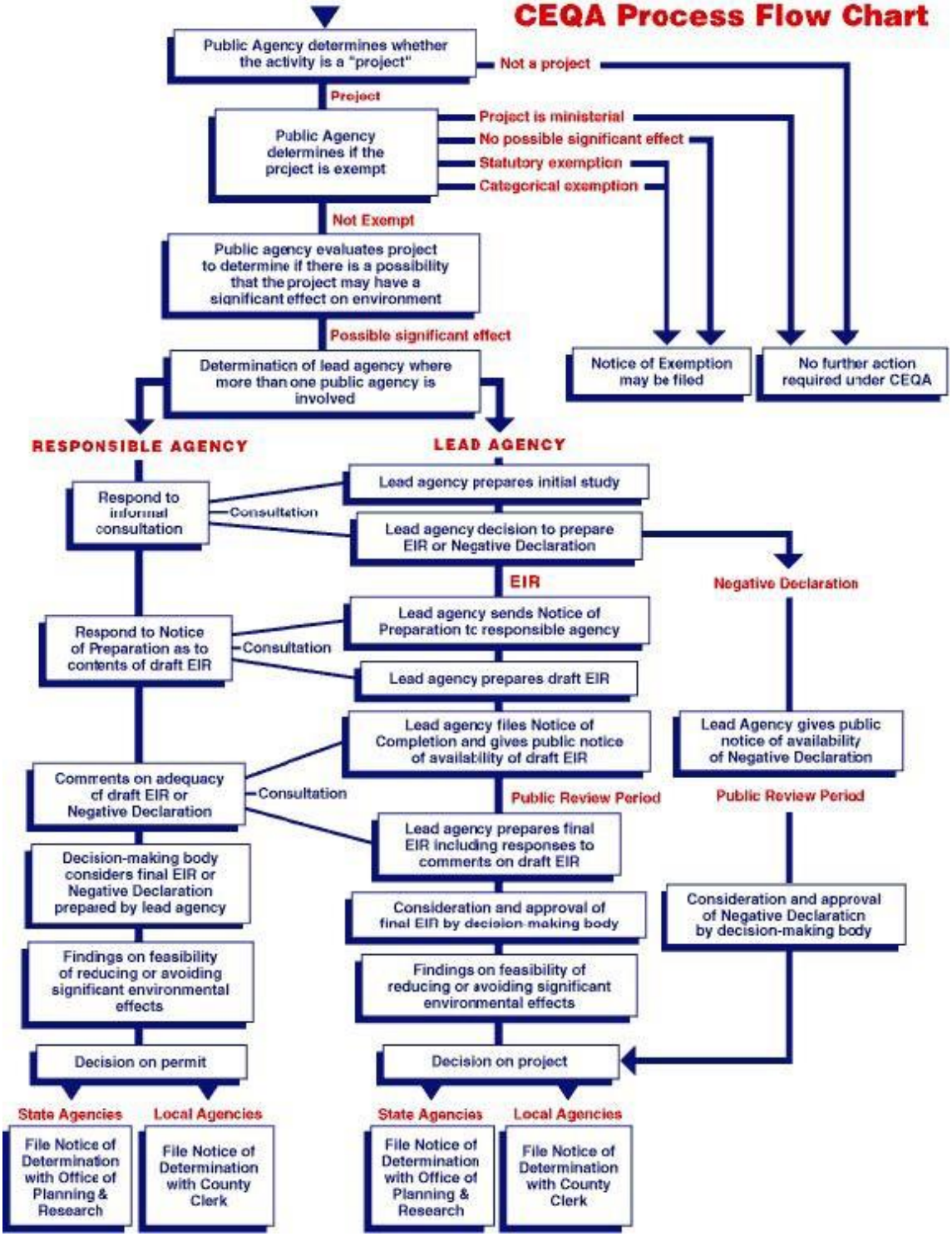
Environmental Compliance For Biological Resources
Review of Grants Clearinghouse Projects

rev. 4/1/20



Compliance Process For Cultural Resources
Review of Grants Clearinghouse Projects

rev. 4/1/20



CEQA Process Flow Chart