Approval Authority Meeting
Thursday, August 13, 2015
10:00 a.m.

LOCATION
Alameda County Sheriff's Office OES
4985 Broder Blvd., Dublin, CA 94568
OES Assembly Room

AGENDA

1. CALL TO ORDER
ROLL CALL

UASI Chair	Anne Kronenberg, City and County of San Francisco
UASI Vice-Chair	Rich Lucia, County of Alameda
Member	Raymond Guzman, City and County of San Francisco
Member	Cathey Eide, City of Oakland
Member	Ryan Broughton, City of San Jose
Member	Ken Kehmna, County of Santa Clara
Member	Mike Casten, County of Contra Costa
Member	Bob Doyle, County of Marin
Member	Sherrie L. Collins, County of Monterey
Member	Carlos Bolanos, County of San Mateo
Member	Al Terrell, County of Sonoma
General Manager	Craig Dziedzic

2. APPROVAL OF THE MINUTES (Discussion, Possible Action)
Discussion and possible action to approve the draft minutes from the July 9, 2015 regular meeting or take any other action related to the matter. *(Document for this item includes draft minutes from July 9, 2015.)* 5 mins

3. GENERAL MANAGER'S REPORT (Discussion, Possible Action)
General Manager Craig Dziedzic will present the General Manager's Report:

a) Management Team Update
b) Coalition of California UASIs Update
c) Advisory Working Group Update
d) Management Team Tracking Tool and Future Agenda Items

(*Documents for this item are a report and the Tracking Tool from Craig Dziedzic.)* 5 mins

4. **RISK & GAP REPORT** (Discussion)
   Assistant General Manager Catherine Spaulding will provide an update regarding the Bay Area UASI's Risk and Gap Report. (*Document for this item is a report from Catherine Spaulding.) 5* mins

5. **FY13 UNSPENT FUNDS** (Discussion, Possible Action)
   Assistant General Manager Catherine Spaulding will provide an update regarding the Bay Area UASI's unspent funds for fiscal year 2013. (*Document for this item is a report from Catherine Spaulding.) 5* mins

6. **BAY AREA HOMELAND SECURITY GOALS & OBJECTIVES** (Discussion, Possible Action)
   Assistant General Manager Catherine Spaulding will provide an update regarding the homeland security goals and objectives for the Bay Area. (*Documents for this item are a report and an appendix from Catherine Spaulding.) 5* mins

7. **FY16 UASI PROPOSAL GUIDANCE** (Discussion, Possible Action)
   Assistant General Manager Catherine Spaulding will introduce the FY16 UASI Proposal Guidance. (*Documents for this item are a report and an appendix from Catherine Spaulding.) 10* mins

8. **URBAN SHIELD 2015 UPDATE** (Discussion)
   Project Managers Tom Wright and Corinne Bartshire will provide an update regarding the 2015 Urban Shield and Yellow Command Exercise. *(Documents for this item are a report and a PowerPoint from Tom Wright and Corinne Bartshire.)* 10 mins

9. **SUPER BOWL 50 REGIONAL PREPARATION** (Discussion)
   Project Manager Corinne Bartshire will provide an update regarding the Super Bowl 50 regional preparation efforts. *(Documents for this item are a report, an appendix, and a PowerPoint from Corinne Bartshire.)* 5 mins

10. **EMERGENCY AGREEMENTS ANALYSIS** (Discussion)
    Project Manager Corinne Bartshire will provide an update regarding the Bay Area Emergency Agreements Analysis project. *(Documents for this item are a report, an appendix, and a PowerPoint from Corinne Bartshire.)* 5 mins

11. **FY14 UASI SPENDING REPORT** (Discussion)
    Chief Financial Officer Tristan Levardo will present an update on the Bay Area UASI's FY14 spending report. *(Document for this item is a report from Tristan Levardo.)* 5 mins

12. **ANNOUNCEMENTS-GOOD OF THE ORDER**

13. **GENERAL PUBLIC COMMENT**
    Members of the Public may address the Approval Authority for up to three minutes on items within the jurisdiction of the Bay Area UASI Approval Authority.

14. **ADJOURNMENT**

If any materials related to an item on this agenda have been distributed to the Approval Authority members after distribution of the agenda packet, those materials are available for public inspection at the Bay Area UASI Management Office located at 711 Van Ness Avenue, Suite 420, San Francisco, CA 94102 during normal office hours, 8:00 a.m. - 5:00 p.m.

Public Participation:

It is the policy of the Approval Authority to encourage and permit public participation and comment on matters within the Approval Authority's jurisdiction, as follows.

- *Public Comment on Agenda Items*. The Approval Authority will take public comment on each item on the agenda. The Approval Authority will take public comment on an action item before the Approval Authority takes action on that item. Persons addressing the Approval Authority on an agenda item shall confine their remarks to the particular agenda item. For each agenda item, each member of the public may address the Approval Authority once, for up to three minutes. The Chair may limit the public comment on an agenda item to less than three minutes per speaker, based on the nature of the agenda item, the number of anticipated speakers for that item, and the number and anticipated duration of other agenda items.
- *General Public Comment*. The Approval Authority shall include general public *comment* as an agenda item at each meeting of the Approval Authority. During general public comment, each member of the public may address the Approval Authority on matters within the Approval Authority's jurisdiction. Issues discussed during general public comment must not appear elsewhere on the agenda for that meeting. Each member of the public may address the Approval Authority once during general public comment, for up to three minutes. The Chair may limit the total general public comment to 30 minutes and may limit the time allocated to each speaker depending on the number of speakers during general public comment and the number and anticipated duration of agenda items.
- *Speaker Identification*. Individuals making public comment may be requested, but not required, to identify themselves and whom they represent.
- *Designated Public Comment Area*. Members of the public wishing to address the Approval Authority must speak from the public comment area.
- *Comment, Not Debate*. During public comment, speakers shall address their remarks to the Approval Authority as a whole and not to individual Approval Authority representatives, the General Manager or Management Team members, or the audience. Approval Authority Representatives and other persons are not required to respond to questions from a speaker. Approval Authority Representatives shall not enter into debate or discussion with speakers during public comment, although Approval Authority Representatives may question speakers to obtain clarification. Approval Authority Representatives may ask the General Manager to investigate an

issue raised during public comment and later report to the Approval Authority. The lack of a response by the Approval Authority to public comment does not necessarily constitute agreement with or support of comments made during public comment.

- *Speaker Conduct.* The Approval Authority will not tolerate disruptive conduct by individuals making public comment. Speakers who use profanity or engage in yelling, screaming, or other disruptive behavior will be directed to cease that conduct and may be asked to leave the meeting room.

Disability Access

The UASI Approval Authority will hold its meeting at the Alameda County Sheriff's Office OES located at 4985 Broder Blvd. in Dublin, CA 94568.

In compliance with the Americans with Disabilities Act, those requiring accommodations for this meeting should notify the UASI administrative assistant, at least 24 hours prior to the meeting at (415) 353-5223.

Bay Area UASI Program
Approval Authority Meeting
Thursday, July 9, 2015
10:00 AM

LOCATION
Alameda County Sheriff's Office OES
4985 Broder Blvd., Dublin, CA 94568
OES Assembly Room

REGULAR MEETING MINUTES
DRAFT

1. Roll Call

UASI Chair Anne Kronenberg called the meeting to order at 10:03 AM and General Manager Craig Dziedzic subsequently took the roll. Vice-Chair Rich Lucia and Members Raymond Guzman, Cathey Eide, Sherrie Collins, Ryan Broughton, Al Terrell, and Mike Casten were present. Members Ken Kehmna and Bob Doyle were absent, but their alternates, respectively Dana Reed and Dave Augustus, were present. Member Carlos Bolanos was not present and neither was his alternate.

2. Approval of the Minutes

Chair Kronenberg asked for any comments or questions concerning the minutes from the May 14, 2015 meeting. Seeing none, she requested a motion to approve the minutes.

Motion: Approve the minutes from the May 14, 2015 Approval Authority Meeting

Moved: Vice-Chair Lucia **Seconded:** Member Casten

Vote: The motion was passed unanimously.

3. General Manager's Report

(a) 2015 National Homeland Security Conference

General Manager Craig Dziedzic reported on the 2015 National Homeland Security Conference held June 9-11 in San Antonio, Texas. Keynote speakers included: Lieutenant General Perry L Wiggins, Commander U.S. Army North (Fifth Army), Chief W. Nim Kidd, TX Division of Emergency Management, and Pierre-Edouard Colliex, Police Attache, Embassy of France.

The Management Team participated in panel discussions that highlighted various projects, including ongoing community resiliency efforts that lead to guides for public/private partnerships; logistics planning and stockpile operations; and the sustainment of grant funding through collaboration and adaptability.

(b) Cyber Security End User Training

Mr. Dziedzic announced that the NCRIC's Cyber Unit will provide assessments and strategic analysis of cyber threats to the region and will conduct end user training to the NCRIC's regional partners. Cyber Analyst Elizabeth McCracken will be leading these training sessions in each of the four Hub areas.

(c) Grant Monitoring Process

Mr. Dziedzic announced that fiscal monitoring for the FY 14-15 grant will begin in July. The monitoring of FY 14 UASI grant projects includes equipment inspections, regional procurement, and a review of policies and procedures. Eighteen agencies have been selected for monitoring, three of which will receive an onsite visit for the first time.

Last year's monitoring targeted FY 11, 12, and 13 projects and focused on Asset Tracking and Management and procurement. This monitoring resulted in 40 collective recommendations from 19 jurisdictions, with 3 jurisdictions not having any findings.

(d) California Public Information Sharing Environment Council Meeting

Mr. Dziedzic reported on the June 22nd meeting of the California Public Information Sharing Environment Council hosted at Cal OES. Mr. Dziedzic attended the meeting on behalf of the members of the Coalition of California UASIs. Also in attendance were Cal OES Director Mark Ghilaraducci, his staff, and representatives from other state agencies.

The meeting was held to discuss the role of Cal OES as the coordinator of an information sharing environment with common protocols and standards to build and refine a public safety ecosystem. The agreed next step is to establish a Cal ISE Technical Advisory Committee composed of public safety and technical experts who could research, develop and propose solutions to the Cal ISE Council for consideration and approval.

(e) Management Team Update

Srijesh Thapa, the Whole Community and Communications project manager, no longer works for the Management Team. The position has been posted on the website for the Dept. of Human Resources for the City and County of San Francisco (www.sfdhr.org). The Management Team will be reaching out to Approval Authority members who wish to participate on the hiring panel.

4. 2015 THIRA Process

Assistant General Manager Catherine Spaulding presented an update on the 2015 Threat and Hazard Identification and Risk Assessment (THIRA) process. The THIRA is a four step risk assessment process that helps stakeholders to understand risks and estimate capability requirements. FEMA requires all states, UASIs and tribal nations to complete a THIRA on an annual basis.

The Management Team is planning a refresh of the 2014 THIRA for purposes of the 2015 submission requirement. There are two significant changes anticipated, which include the addition of a radiological/nuclear scenario and an expansion of FEMAs requirements for completing the resource estimation section.

Jason Carroll, Haystax Technology Project Manager, provided a background briefing on the THIRA and its requirements. Haystax is contracted by Cal OES to support the preparation of all California UASI THIRAs.

5. FY 15-16 Asset Risk Update

Project Manager Dave Frazer presented an update on the FY 15-16 asset risk component of the Bay Area UASI's Risk Management Program.

The asset catalogue increased from 16,017 to 16,445, with 3 asset priority assessments, 11 VHEMP assessments, and 16 field assessments completed. Additionally, 9 operational areas completed capability assessments which were entered into the Cal COP assessment tool to provide a gap analysis.

6. Catastrophic Plan Just In Time EOC Training Videos

Project Manager Corinne Bartshire presented an update on the development of just-in-time training videos for Emergency Operations Centers (EOCs) based on the Regional Catastrophic Earthquake Plans. There are eight videos available on the UASI website and a USB drive containing all videos will be provided to each of the UASI jurisdictions.

7. WebGrants Grants Management System

Emergency Services Coordinator Ethan Baker provided an update regarding the Bay Area UASI's development of an online grants management system (WebGrants). Full deployment of the tool will occur for the FY16 project proposal process and a training webinar for subrecipients has been scheduled for August 24, 2015.

Highlights of the system include the ability to accept grant applications, MOU development, milestone development and automated reminders, project change requests, workflow routing, reimbursements, and viewing budgets.

8. BayRICS JPA Quarterly Report

BayRICS General Manager Barry Fraser presented the BayRICS JPA Quarterly Report for the period of March 2015 to May 2015. Highlights of the report include BayRICS' involvement in the FirstNET draft RFP, a consultation meeting between the California First Responders Network and FirstNET, and exploring plans for future voice and data convergence.

9. FY2013 UASI Spending Report

On behalf of Chief Financial Officer Tristan Levardo, Contracts Analyst Mikyung Kim-Molina presented the FY13 UASI spending report. The Bay Area UASI received an extension of the FY13 UASI grant performance period to July 31, 2015 to allow the close out of the information sharing and cyber security projects. Final unspent funds from the jurisdictions are reallocated and used for regional procurement.

10. Tracking Tool – Future Agenda Items

There were no additions to the tracking tool. Members decided that, in the future, this item will be rolled into the General Manager's report. The change will take place at the next Approval Authority meeting occurring on August 13, 2015.

11. Announcements – Good of the Order

There were no announcements.

12. General Public Comment

One member of the public questioned whether the Approval Authority has a connection to the issue of police brutality. Additionally, the person expressed concern over the purchase of predictive policing software.

13. Adjournment

The meeting adjourned at 11:05 AM.

To: Bay Area UASI Approval Authority

From: Craig Dziedzic, General Manager

Date: August 13, 2015

Re: Item 3: General Manager's Report

Staff Recommendation:

None

Action or Discussion Items:

(a) Management Team Update (Discussion Only)
(b) Coalition of CA UASIs Update (Discussion Only)
(c) Advisory Working Group Update (Discussion Only)
(d) Management Team Tracking Tool (Discussion Only)

Discussion:

(a) Management Team Update

Grants Accountant

Lovely Lindsley has been selected as the Grants Accountant for the BAUASI Management Team.

As the Grants Accountant, Ms. Lindsley reports to Tristan Levardo and is responsible for implementing all fiscal and accounting policies, including internal control procedures for financial and grants management for our UASI program.

Ms. Lindsley has more than eight years of accounting experience with the City and County of San Francisco where she worked for the Office of Treasurer/Tax Collector and the Public Library. Ms. Lindsley holds a Bachelor's Degree in Commerce with a major in accounting.

CA Statewide Program Manager

David Frazer, the BAUASI Risk Management Program Manager, has agreed to serve as the interim project manager for the CCU (CA Coalition of UASIs).

On July 10, 2015, Caroline Thomas Jacobs, the previous CCU program manager, informed the CCU members that she accepted a position with Cal OES and will no longer be working on the statewide CA UASI programs such as Cal COP, Cyber Security, and Risk Management.

Understanding the importance of having a statewide project manager to develop the state's overall risk management projects and collaborate with the fusion centers and other agencies, David Frazer agreed to fill the position. David will assist the City of San Diego with the execution of the statewide master contract with Haystax and report to the CCU members on the development and implementation of statewide programs.

(b) Coalition of CA UASIs Update

On August 3, 2015, the CCU members met with Nancy Ward, Chief Deputy Director at CalOES, and her grants and fiscal staff to discuss the UASI FY 2015 grant guidance and CalOES' support for statewide CCU projects.

At the meeting, Ms. Ward mentioned that Director Ghilarducci intends to implement a Homeland Security Advisory Committee to discuss and advise on statewide strategy and priorities. The members would be multi-discipline, including representation from the CCU. Additionally, during the last two weeks in August, CalOES will be conducting six to eight workshops throughout the state to discuss the UASI 2015 grants guidance, including the OMB circular and the EHP process.

Ms. Ward agreed to have quarterly meetings with the CCU members to develop a better working relationship with the urban areas. She expressed support for the statewide risk management program.

(c) Advisory Working Group Update

On July 23, 2015, the Advisory Group met to review and discuss the 2015 Bay Area UASI Homeland Security Goals and Objectives, the FY16 Risk and Gap Report, and the FY16 Priority Capability Objectives. Assistant General Manager Catherine Spaulding provided drafts of these documents, explained their purpose, and invited feedback and questions. There were approximately 30 attendees from the region, including those who attended via teleconference. Ms. Spaulding will present all three of these documents to the Approval Authority for review and approval at today's meeting.

(d) Management Team Tracking Tool

The next Approval Authority Meeting will occur on October 8, 2015.

Future agenda items are listed in the tracking tool attached as Appendix A.

UASI Approval Authority and Management Team Tracking Tool

August 13, 2015 Approval Authority Meeting

#	Name	Who	Date Assigned	Due Date	Status / Comments
1	American Red Cross Update	Tracey McBroom, ARC	6/3/15	10/8/15	
2	Training and Exercise Multi-year Plan	Tom Wright	5/19/2015	10/8/15	
3	Regional Public Health and Medical Report Out	Eric Shanks	4/14/15	10/8/15	
4	Resource Inventory Project Update	Mikyung Kim	6/15/15	10/8/15	
5	Website Redesign & WebGrants Demonstration	Ethan Baker	7/14/15	10/8/15	
6	Brown Act Update	Robin Donoghue of Meyers-Nave	7/27/15	11/12/15	
7	THIRA	Jason Carroll	5/19/15	11/12/15	
8	Cyber Focus Group Report Out	Dave Frazer	5/19/15	11/12/15	
9	Briefing on Upcoming Hub Meetings	Janell Myhre	7/1/15	11/12/15	
10	Super Bowl Project Update	Corinne Bartshire	7/14/15	11/12/15	
11	Proposed Regional FY16 Projects	TBD	5/19/15	1/14/16	
12	FY16 Risk Management Cycle	Dave Frazer	7/14/15	1/14/16	
13	Urban Shield After Action Report	Tom Wright	7/14/15	1/14/16	
14	Update on FY11, 12, and 13 Unspent Funds Allocated to Regional Projects	Janell Myhre	6/17/15	2/11/16	
15	Update on State-Federal catastrophic earthquake planning	Janell Myhre	7/24/15	2/11/16	
16	UASI FY16 Allocations	Catherine Spaulding	5/19/15	4/14/16	
17	Super Bowl Project Close Out	Janell Myhre	7/14/15	4/14/16	
18	FEMA IX Medical Counter Measures planning update	Dr. Erica Pan (TBC)	6/17/15	11/10/16	

19					
18					
Reoccurring agenda items are below					

Regular Items/Assignments						
#	**Name**	**Deliverable**	**Who**	**Date Assigned**	**Due Date**	**Status / Comments**
A	UASI Financial Reports	Report	Tristan Levardo		10/8/15 11/12/15 1/14/16	UASI Travel Expenditures Reallocation of Grant Funds FY15 UASI Spending Report
B	BayRICS JPA Quarterly Report	Report	Barry Fraser		10/8/15 1/14/16 4/14/16 10/13/16	BayRICS JPA Report
C	Election of UASI Officers	Discussion & Action Item	Chair		1/14/16 (Annually)	
D	Reallocation of Grant Funds	Report	Tristan Levardo		11/12/15 (Biannually)	

To: **Bay Area UASI Approval Authority**

From: **Catherine Spaulding, Assistant General Manager**

Date: **August 13, 2015**

Re: **Item 4: FY16 Risk and Gap Analysis**

Staff Recommendations:

None

Action or Discussion Items:

Discussion

Discussion:

The Management Team is pleased to present the updated FY16 Risk and Gap Analysis. This document shows us where gaps are greatest and risk level the highest by core capability in the Bay Area region.

The Management Team produces the Risk and Gap Analysis on an annual basis. Approval Authority Bylaws specify that the Approval Authority must use a risk and capability-based methodology to apply for and allocate grant funds. This is consistent with guidance from DHS that states that all levels of government must establish a foundation to justify and guide preparedness activities and investments.

The full Risk and Gap Analysis can be found on page three of this report (Table 2). On the next page you will find a table (Table 1) with our five highest risk and gap areas and what the Management Team is planning to discuss with regional subject matter experts in order to better address them. We look forward to these further discussions and reporting back to the Approval Authority.

Table 1: FY16 Top Five Core Capabilities in Terms of Risk and Gap for the Bay Area Region

Risk and Gap	Core Capability	FEMA Core Capability Description	Bay Area Regional Responses
1	Supply Chain Security and Integrity	Strengthen the security and resilience of the supply chain. **Mission Area: Protection**	• Planning, POD equipment, and exercising in Urban Shield/Yellow Command • Access and credentialing plan to allow emergency access to private sector repair services
2	Infrastructure Systems	Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community. **Mission Area: Response, Recovery**	Implement recommendations in the Emergency Agreements Analysis, such as recognizing overlapping agreements, documenting fuel and water resources and capabilities, and identifying and addressing restoration gaps.
3	Cyber Security	Protect against damage to, the unauthorized use of, and/or the exploitation of electronic communications systems and services (and the information contained therein). **Mission Area**: **Protection**	Continued evolution of cyber security investment with the NCRIC and cyber security training
4	Screening, Search, and Detection	Identify, discover, or locate threats and/or hazards through active and passive surveillance and search procedures. This may include the use of systematic examinations and assessments, sensor technologies, or physical investigation and intelligence. **Mission Areas: Prevention, Protection**	Continued evolution of the Radiological/Nuclear Detection Program
5	Public Information and Warning	Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard, as well as the actions being taken and the assistance being made available. **Mission areas: Protection, Prevention, Mitigation, Response, Recovery**	• Additional training • Urban Shield Yellow Command JIC-JIS exercise

Table 2: FY16 Risk and Gap Analysis

Risk and Gap	Core Capability	Risk Relevance	Level of Ability	Gap Analysis
1	Supply Chain Security and Integrity	12	Low	Needs Extra Attention
2	Infrastructure Systems	3	Low	Needs Extra Attention
3	Cyber Security	1	Medium Low	Needs Extra Attention
4	Screening, Search, and Detection	11	Medium Low	Needs Attention
5	Public Information and Warning	9	Medium Low	Needs Attention
6	Critical Transportation	19	Medium Low	Needs Attention
7	Operational Communications	8	Medium Low	Needs Attention
8	Forensics and Attribution	2	Medium High	Needs Attention
9	Intelligence and Information Sharing	4	Medium High	Needs Attention
10	Interdiction and Disruption	5	Medium High	Needs Attention
11	Mass Care Services	18	Medium Low	Needs Attention
12	Physical Protective Measures	17	Medium Low	Needs Attention
13	Access Control and Identity Verification	21	Medium Low	Needs Attention
14	Mass Search and Rescue	6	High	Sustain
15	Threat and Hazard Identification	13	High	Sustain
16	Risk Mngmnt for Protection Programs & Activities	14	High	Sustain
17	On-Scene Security and Protection	7	High	Sustain
18	Risk and Disaster Resilience Assessment	10	High	Sustain
19	Planning	15	Medium High	Sustain
20	Community Resilience	16	Medium High	Sustain
21	Natural and Cultural Resources	28	Low	Sustain
22	Environmental Response, Health and Safety	20	Medium High	Sustain
23	Situational Assessment	22	Medium High	Sustain
24	Long-Term Vulnerability Reduction	29	Medium Low	Sustain
25	Fatality Management Services	23	Medium High	Sustain
26	Economic and Community Recovery	27	Medium Low	Sustain
27	Health and Social Services	31	Medium Low	Sustain
28	Housing	25	Medium Low	Sustain
29	Public and Private Services and Resources	26	Medium High	Sustain
30	Public Health and Medical Services	24	Medium High	Sustain
31	Operational Coordination	30	Medium High	Sustain

Changes from Last Year:

There are a number of changes in the risk and gap list from last year. These changes are primarily driven by the expansion of our critical asset and key resources catalogue in Haystax as well as the evolving nature of the risks that we face in the Bay Area. To a lesser degree, changes in the risk and gap list are a result of the level of ability rating provided by Bay Area subject matter experts during the regional capability workshop.

Methodology:

The Risk and Gap Analysis is created by analyzing asset risk, the threats we face in the Bay Area, and our level of ability to address these threats. The Haystax software determines a "risk relevance" ranking for each core capability based on asset and threat information within the system. The risk relevance ranking information is then combined with the Bay Area's own, self-assessed level of ability gathered in regional workshops of subject matter experts on a biennial basis. While the risk assessment is driven by terrorism risk, most, if not all of the capabilities involved in the assessment can be used to address natural hazards as well. This "dual use" concept is one the Bay Area has used for years and will continue to use to help drive investments and strategic planning across the region.

Specific data from the Bay Area Compendium of Core Capabilities, the Threat and Hazard Identification and Risk Assessment (THIRA), as well as outreach to subject matter experts helped the Management Team to determine the "Bay Area Regional Responses" column in the table on page 2.

To: **Bay Area UASI Approval Authority**

From: **Catherine Spaulding, Assistant General Manager**

Date: **August 13, 2015**

Re: **Item 5: FY13 Unspent Funds**

Staff Recommendations:

1. Approve reallocation of $400,000 to FY15 hub-selected projects that can be completed by the end of calendar year 2015

2. Approve reallocation of $400,000 to address regional high risk and gap areas

Action or Discussion Items:

Action

Discussion:

The Management Team presents two recommendations concerning how to reallocate $800,000 remaining from UASI FY13: (1) reallocate half of the available funds to FY15 hub-selected projects; and (2) reallocate the other half to address priority regional gaps. These recommendations are consistent with our past practices of reallocation when savings have been identified.

I. Background:

There is currently an $800,000 unspent balance in UASI FY13 grant funds. This money is available as a result of a return of funds from jurisdictions after January 2015 when the regional procurement was triggered to redistribute funding to the region. Returned allocations are also available from the Management Team due to savings on salaries and rental costs. These funds must be spent by December 31, 2015.

II. Recommendation #1 – Reallocate $400,000 to FY15 hub-selected projects

The Management Team recommends that $400,000 of the $800,000 available be distributed to the hubs based on the 2015 risk allocation formula to support projects identified by the hubs as part of the FY15 cycle. Projects would be funded in order of priority (as identified by the hubs) provided that the projects can be successfully completed by December 31, 2015 and do not include positions.

With Approval Authority approval of this recommendation, the Management Team will confirm project selections with project leads and hub members for each hub. Given the tight timeframe, the Management Team would commence this work immediately and would seek confirmation of projects from stakeholders and hub representatives within one week.

A $400,000 allocation to the hubs would break out as follows:

Table 1: Proposed Hub Allocations

Hub	Risk Allocation (2015)	Amount
East	24.16%	$96,800
North	8.34%	$33,200
South	25.20%	$100,800
West	42.29%	$169,200
TOTAL	**100%**	**$400,000**

III. Recommendation #2 – Reallocate $400,000 to address priority capability gaps

The Management Team recommends that the remaining $400,000 of the FY13 unspent funds be used to address core capabilities that rank highest in our risk and gap analysis as well as address regional priorities such as Super Bowl 50 preparation. Please see next page for a summary table.

With Approval Authority approval, the Management Team will conduct further needs analysis and consultation to verify operational need and interest and determine the specifics of spending. The Management Team will report back to the Approval Authority on progress in February 2016.

Table 2: Proposed Regional Project Allocations

Project Name	Amount	Core Capability	Risk and Gap Rank	Details
Cal COP/Web EOC Connection Pilot	$50,000	Intelligence and Information Sharing, Situational Assessment	9, 23	Based on the WebEOC Assessment Project presented to the Approval Authority in May 2015, WebEOC and Cal COP should be linked to improve information sharing and situational awareness. This project would link three local instances of WebEOC to Cal COP and would be completed in time for Urban Shield in September and the Super Bowl in February. Additional funding for other jurisdictions to connect will be requested based on the results of the pilot.
Training	$150,000	Cyber, Public Information and Warning	3, 5	This funding would augment the Regional Training Program with funds for PIO courses in high demand as well as cyber training to be identified in partnership with the NCRIC based on results of their initial awareness training and penetration testing.
Planning and POD Equipment	$200,000	Supply Chain Security	1	This project will provide funds for POD security equipment recommended by the Regional Logistics Catastrophic Plan. Management Team staff will also support local law enforcement security planning and test capabilities in Urban Shield/Yellow Command 2016.
TOTAL	**$400,000**			

To: **Bay Area UASI Approval Authority**

From: **Catherine Spaulding, Assistant General Manager**

Date: **August 13, 2015**

Re: **Item 6: Homeland Security Goals and Objectives**

Staff Recommendation:

Approve the 2015 Bay Area UASI Homeland Security Goals and Objectives document

Action or Discussion Items:

Action

Discussion:

The Bay Area UASI Homeland Security Goals and Objectives updates the 2013 Bay Area Homeland Security Strategy. DHS/FEMA no longer requires homeland security strategies. However, the Bay Area UASI still needs an outline of goals, objectives, and desired outcomes in order to organize regional efforts and allocate and track grant funds in a manner consistent with risk management results and FEMA's core capability framework.

The purpose of the Bay Area UASI Homeland Security Goals and Objectives is to guide prevention, protection, mitigation, response, and recovery from threats and acts of terrorism and other catastrophes. It aligns with the National Preparedness Goal and the California State Homeland Security Strategy. The document has also incorporated the capability outcomes identified in the 2015 Bay Area UASI Compendium of Core Capabilities as well as those specified in the 2014 Bay Area UASI THIRA (Threat and Hazard Identification and Risk Assessment).

Each year, the Bay Area UASI Management Team will apply updated risk management results to the Bay Area UASI Homeland Security Goals and Objectives to identify the subset of objectives which will be featured as "priority capability objectives" for the grant year. Priority capability objectives identify the highest risk and gap areas based on asset risk, threat information, and subject matter expert capability assessments. All funding proposals and subsequent allocations must be consistent with priority capability objectives.

The Homeland Security Goals and Objectives document retains essentially the same eight goal structure that has been featured in prior iterations of the Homeland Security Strategy:

1. Risk Management and Planning
2. Information Analysis and Infrastructure Protection
3. Communications
4. CBRNE Detection, Response, and Decontamination
5. Medical and Public Health Preparedness
6. Emergency Planning and Community Preparedness
7. Recovery
8. Management Team

Table 1 below outlines key changes in the 2015 Bay Area Homeland Security Goals and Objectives document compared to the prior 2013 Bay Area Homeland Security Strategy.

Table 1: Key Changes, 2015 Goals and Objectives vs. 2013 Strategy

	2015 Bay Area Homeland Security Goals and Objectives	2013 Bay Area Homeland Security Strategy
Preparation	Management Team	Filler Security Strategies (consultant)
Level of detail	Summary – goals, objectives, and outcomes only	Lengthy and comprehensive strategic document
Objective descriptions	One precise sentence	Short paragraph; broader descriptions
Linkage of core capabilities to objectives	All core capabilities are included, recent NPG updates are included, and all core capabilities are clearly aligned to objectives	Not all core capabilities included; lack of clarity alignment between core capabilities and objectives
THIRA incorporation	THIRA outcomes are clearly linked to objectives	No THIRA incorporation
Goal 8 – Management Team	An internal Management Team goal which includes the training and exercise program, governance, grants management, and fostering best practices	Focus on training and exercise only; no outcomes specified for other Management Team functions

Please see page three of the attached 2015 Bay Area UASI Homeland Security Goals and Objectives document for as summary table of all goals and objectives. This document has been vetted with Bay Area UASI work groups and the Advisory Group.

The Management Team will update and present the Bay Area UASI Homeland Security Goals and Objectives to the Approval Authority for approval every three years. The outcomes section of this document will be modified annually to incorporate any changes in the Bay Area UASI THIRA.

Bay Area UASI

Homeland Security Goals and Objectives

July 2015

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I. Introduction

About the Bay Area UASI

The Bay Area Urban Areas Security Initiative (Bay Area UASI) sustains and improves regional capacity to prevent, protect against, respond to, and recover from terrorist incidents and catastrophic events. The Bay Area UASI achieves its vision through partnership and collaboration with stakeholders at the federal, tribal, state, and local levels, and faith-based and private sector organizations. For more information, please visit www.bayareauasi.org.

Purpose of the Bay Area UASI Homeland Security Goals and Objectives

The purpose of the Bay Area UASI Homeland Security Goals and Objectives is to guide prevention, protection, mitigation, response, and recovery from threats and acts of terrorism and other man-made or natural catastrophes. The articulated goals, objectives, and outcomes in this document will assist safety, health, and other agencies in the use of resources to promote homeland security and strengthen capabilities in the Bay Area.

This document aligns with the National Preparedness Goal, including the updates recently made in 2015[1], as well as the California State Homeland Security Strategy. This document has also incorporated the capability outcomes identified in the 2015 Bay Area UASI Compendium of Core Capabilities as well as those specified in the 2014 Bay Area UASI THIRA (Threat and Hazard Identification and Risk Assessment). THIRA outcomes are noted as such in the body of the text below with "(THIRA)."

This document does not alter the statutory or regulatory authority or responsibility of any agency, nor does it impose any affirmative duty for any jurisdiction or entity to take any action or inaction.

Implementing a Risk and Capability-based Allocation Methodology

Each year, the Bay Area UASI Management Team will apply updated risk management results to the Bay Area UASI Homeland Security Goals and Objectives to identify the subset of objectives which will be featured as "priority capability objectives" for the grant year. Priority capability objectives identify the highest risk and gap areas based on asset risk, threat information, and subject matter expert capability assessments. All funding proposals and subsequent allocations must be consistent with priority capability objectives. It is in this way that the Bay Area UASI ensures its regional grant investments are aligned with risk management results.

[1] These updates are currently still in draft form and are expected to be finalized by the end of calendar year 2015. The Bay Area Homeland Security Goals and Objectives document will be updated as needed with any subsequent changes.

Priority capability objectives are featured in the Management Team's annual proposal guidance which is presented to the Approval Authority for review and approval at the beginning of the grant cycle. The Bay Area UASI's risk management program is required by DHS/FEMA and the Bay Area UASI Approval Authority Bylaws. It helps ensures the region has the right capabilities in place to manage those threats and hazards that pose the greatest risk to the Bay Area, its people, and its critical infrastructure and key resources.

Document History and Updates

The Bay Area UASI Homeland Security Goals and Objectives updates the 2013 Bay Area Homeland Security Strategy. As of 2015, DHS/FEMA no longer requires homeland security strategies. However, the Bay Area UASI still needs an outline of goals, objectives, and desired outcomes in order to organize regional efforts and allocate and track grant funds in a manner consistent with risk management results and FEMA's core capability framework. Given this ongoing need, the Bay Area UASI Management Team produced the Bay Area UASI Homeland Security Goals and Objectives document for the first time in 2015.

The Management Team will update and present the Bay Area UASI Homeland Security Goals and Objectives to the Approval Authority for approval every three years. The outcomes section of this document will be modified annually as needed to incorporate any changes in the Bay Area UASI THIRA.

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II. Summary Table

Goal 1 - Risk Management and Planning
Objective 1.1 Planning, Threat and Hazard Identification, and Risk Management: Assess threats and hazards, prioritize investments in response, monitor the outcomes of allocation decisions, and take corrective and sustainment actions.
Goal 2 - Information Analysis and Infrastructure Protection
Objective 2.1 Intelligence Collection, Analysis and Sharing: Collect, analyze and share information and intelligence to achieve awareness, prevention, protection, mitigation, and response concerning a terrorist attack or other emergency.
Objective 2.2 Terrorism Attribution, Interdiction and Disruption: Conduct forensic analysis; attribute terrorist threats; and identify, deter, detect, disrupt, investigate, and apprehend suspects involved in terrorist activities.
Objective 2.3 Infrastructure Protection: Assess risk to the region's physical and cyber critical infrastructure and key resource, enhance protection, and reduce risk from all hazards.
Goal 3 - Communications
Objective 3.1 Operational Communications: Provide voice and data information among multi-jurisdictional and multidisciplinary responders, command posts, agencies, and officials during an emergency response.
Objective 3.2 Emergency Public Information and Warning: Provide public information and warning to affected members of the community in order to save lives and property.
Goal 4 - CBRNE Detection, Response, and Decontamination
Objective 4.1 Screening Search and Detection: Detect, locate and identify CBRNE materials and communicate relevant information to appropriate entities at the state and federal level.
Objective 4.2 On-Scene Security and Protection: Secure an incident scene and maintain law and order following an incident or emergency.
Objective 4.3 Mass Search and Rescue: Conduct search and rescue operations to rescue persons in distress and initiate community-based support operations.
Objective 4.4 Environmental Response/Health and Safety: Conduct assessments and disseminate resources to support immediate environmental health and safety operations.
Objective 4.5 Critical Resource Logistics: Secure supply nodes and provide emergency power, fuel support for responders, access to community staples, and fire and other first response services.

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Goal 5 - Medical and Public Health Preparedness

Objective 5.1 Public Health and Medical Services: Provide lifesaving medical treatment and public health and medical support to people in need within areas affected by emergencies.

Objective 5.2 Fatality Management: Recover, handle, identify, transport, track, store, and dispose of human remains and personal effects; certify the cause of death; and facilitate needed access to behavioral health services.

Goal 6 - Emergency Planning and Community Preparedness

Objective 6.1 Operational Coordination: Manage major incidents effectively through an integrated response system.

Objective 6.2 Critical Transportation: Evacuate people and animals as well as deliver response personnel, equipment, and services in order to save lives and assist survivors.

Objective 6.3 Mass Care: Provide sheltering, feeding, family reunification, and bulk distribution for populations impacted by emergency incidents.

Objective 6.4 Community Resiliency: Collaborate with the whole community to prevent, protect, mitigate, prepare for, respond to and recover from all threats and hazards.

Goal 7 - Recovery

Objective 7.1 Infrastructure Systems: Restore critical lifelines through providing assessments and getting personnel and equipment to disaster scenes.

Objective 7.2 Economic and Social Recovery: Implement housing solutions, restore health and social services, and promote business activities to recover from all threats and hazards.

Objective 7.3 Natural and Cultural Resources: Conserve, rehabilitate, and restore natural and cultural resources and historic properties in response to all threats and hazards.

Goal 8 – Management Team

Objective 8.1 Training and Exercise: The Bay Area UASI's Management Team delivers a regional training and exercise program through the Alameda County Sheriff's Office.

Objective 8.2 Governance, Grants Management, and Best Practices: The Bay Area UASI's Management Team supports Approval Authority decision-making, provides grants management, and fosters regional tools and best practices.

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III. Goals, Objectives, and Outcomes

Goal 1 - Risk Management and Planning

Objective 1.1 Planning, Threat and Hazard Identification, and Risk Management: Assess threats and hazards, prioritize investments in response, monitor the outcomes of allocation decisions, and take corrective and sustainment actions.

Core Capabilities: Threat and Hazard Identification, Risk and Disaster Resilience Assessment, Planning

Mission Areas: All

Primary Audience: Emergency management planners, hazard mitigation planners, risk analysts

Outcomes:

a) Identify and estimate the frequency and magnitude of threats and hazards for incorporation into a planning process.

b) Assess risk and resilience on at least a two year basis so that the whole community can take informed action to reduce risk and increase resilience to all hazards.

c) Conduct planning using the Bay Area Regional Catastrophic Earthquake Plan Scenario along the San Andreas Fault that would affect the entire Bay Area (THIRA).

d) Test effective strategic and operational plans for all hazards.

e) Prioritize annual investments for prevention, protection, mitigation, response, and recovery activities based upon capabilities most needed to address threats and hazards.

f) Monitor the outcomes of resource allocation decisions and undertake corrective and sustainment planning based upon training, exercise and incident evaluation results.

g) Maintain the San Francisco Bay Area Earthquake Readiness Response: Concept of Operations Plan, the Regional Emergency Coordination Plan (RECP) Base Plan and its applicable subsidiary plans, Regional Catastrophic Plan Annexes, and the 12 Bay Area counties and 3 major metropolitan cities' emergency operations plans (THIRA).

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Goal 2 - Information Analysis and Infrastructure Protection

Objective 2.1 Intelligence Collection, Analysis and Sharing: Collect, analyze and share information and intelligence to achieve awareness, prevention, protection, mitigation, and response concerning a terrorist attack or other emergency.

Core Capability: *Intelligence and Information Sharing*

Mission Areas: *Prevention, Protection*

Primary Audience: *Law enforcement counter terrorism and criminal intelligence investigators and analysts*

Outcomes:

a) Ensure policies, procedures and systems are in place to routinely collect, analyze and share actionable information, and intelligence in order to detect, prevent and protect against acts of terrorism and other major crimes from occurring.

b) Build the region's intelligence fusion center (Northern California Regional Intelligence Center – NCRIC) to report suspicious activities associated with potential terrorist or criminal planning.

c) Coordinate with the FBI to receive classified and unclassified information on attacks and declassify and share information with key stakeholders (THIRA).

Goal 2 - Information Analysis and Infrastructure Protection

Objective 2.2 Terrorism Attribution, Interdiction and Disruption: Conduct forensic analysis; attribute terrorist threats; and identify, deter, detect, disrupt, investigate, and apprehend suspects involved in terrorist activities.

Core Capabilities: *Forensics and Attribution, Interdiction and Disruption*

Mission Areas: *Prevention and Protection*

Primary Audience: *Law enforcement investigators, tactical team members, and analysts; fire department arson investigators*

Outcomes:

a) Identify terrorist groups and their intentions for future attacks and in order to find and convict perpetrators; coordinate with the FBI; and identify and process field intelligence collected from the scenes (THIRA).

b) Prevent terrorism financial/material support from reaching its target, and prevent terrorist acquisition of and the transfer of Chemical, Biological, Radiological, Nuclear, Explosive (CBRNE) materials, precursors, and related technology.

c) Coordinate operations by site security personnel, bomb teams, local law enforcement operations, and FBI; set up rapid command and control, interdict attackers, and intercept additional attacks (THIRA).

Goal 2 - Information Analysis and Infrastructure Protection

Objective 2.3 Infrastructure Protection: Assess risk to the region's physical and cyber critical infrastructure and key resource, enhance protection, and reduce risk from all hazards.

Core Capabilities: *Physical Protective Measures, Access Control and Identity Verification, Risk Management for Protection Programs and Activities, Long-term Vulnerability Reduction, Cyber Security*

Mission Areas: *Protection and Mitigation*

Primary Audience: *Chief security officers, information technology personnel, law enforcement involved in Critical Infrastructure and Key Resources (CIKR) protection and cyber-crimes, risk analysts, emergency managers and planners, and building and code enforcement personnel*

Outcomes:

a) Maintain active site access and vehicle screening at public assembly sites and ensure that drivers have proper identification and authorization (THIRA).

b) Maintain tools for identifying, assessing, cataloging, and prioritizing physical and cyber assets in the region.

c) Assess the risk to 100% of its County owned and operated Critical Infrastructure and Key Resources (CIKR) and prioritize risks to inform protection activities and investments for all hazards.

d) Harden high priority CIKR rated as having very high or high vulnerability to earthquake or Vehicle-Borne Improvised Explosive Device (VBIED) attack (THIRA).

e) Decrease the long-term vulnerability of communities and CIKR by implementing mitigation activities stated in hazard mitigation plans.

f) County cyber security programs meet the Federal Information Processing Standards 200 - Minimum Security Requirements for Federal Information and Information Systems.

g) Detect malicious cyber activity, conduct technical counter-measures against existing and emerging cyber-based threats, and quickly recover from cyber-attacks.

h) Work with owners and operators to ensure network security of critical facilities is maintained despite a disaster (THIRA).

Goal 3 - Communications

Objective 3.1 Operational Communications: Provide voice and data information among multi-jurisdictional and multidisciplinary responders, command posts, agencies, and officials during an emergency response.

Core Capabilities: *Operational Communications*

Mission Area: *Response*

Primary Audience: *OES, law enforcement, fire/EMS personnel, emergency communications and dispatch agencies, and information technology personnel*

Outcomes:

a) During the first 24 hours following a no-notice incident, responders share mission critical voice information with each other and with responders from across the Bay Area region.

b) Ensure local or regional emergency communications systems are based on established governance, standard operating procedures, and technology.

c) Within seven days following a catastrophic earthquake, implement a plan to re-establish communications infrastructure throughout the Bay Area, especially commercial communication systems relying on cable (THIRA).

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Goal 3 - Communications

Objective 3.2 Emergency Public Information and Warning: Provide public information and warning to affected members of the community in order to save lives and property.

Core Capabilities: *Public Information and Warning*

Mission Areas: *All*

Primary Audience: *Public information officers, public warning officials, and emergency managers*

Outcomes:

a) Implement emergency public information and warning systems that are interoperable, standards-based, and use a variety of means to inform the public.

b) Disseminate prompt, coordinated, clear, specific, accurate, and actionable emergency public information and warnings to all affected members of the community.

c) In the event of a catastrophic event, provide timely updates to information regarding availability of resources, evacuation routes and triage locations to up to 8.2 million people despite disruptions to public warning systems and private-sector media sources (THIRA).

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Goal 4 - CBRNE Detection, Response, and Decontamination

Objective 4.1 Screening Search and Detection: Detect, locate and identify CBRNE materials and communicate relevant information to appropriate entities at the state and federal level.

Core Capability: *Screening, Search, and Detection*

Mission Areas: *Prevention, Protection*

Primary Audience: *Special event security planners, bomb squads, and hazardous materials response personnel*

Outcomes:

a) Screen conveyances, cargo and people at land and maritime ports of entry, CIKR sites, public events, and incident scenes.

b) Detect, identify and locate CBRNE materials using a variety of integrated means including technology, canines, and specialized personnel.

c) Deploy security measures to detect weapons at public assembly sites (THIRA).

d) Deploy canine explosive detection teams covering radius around highly public assembly venues during events (THIRA).

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Goal 4 - CBRNE Detection, Response, and Decontamination

Objective 4.2 On-Scene Security and Protection: Secure an incident scene and maintain law and order following an incident or emergency.

Core Capabilities: *On-scene Security, Protection, and Law Enforcement*

Mission Areas: *Response*

Primary Audience: *Bomb squads and mobile field force personnel*

Outcomes:

a) Conduct threat assessments concerning explosives.

b) Render safe explosives and/or hazardous devices including large, Vehicle-Borne Improvised Explosive Devices (VBIEDs).

c) Clear an area of explosive hazards in a safe, timely and effective manner.

d) Within 24 hours of a civil disturbance involving up to 7,000 people, establish security at and around an incident site to prevent re-entry of the population, preserve evidence, maintain public order, and provide security/force protection.

e) During the first 72 hours of an incident, establish security around the hardest hit areas by using local and state Region II law enforcement mutual aid and supplementing them with statewide mutual aid and CA National Guard, while establishing a process for verifying credentialing (THIRA).

Goal 4 - CBRNE Detection, Response, and Decontamination

Objective 4.3 Mass Search and Rescue: Conduct search and rescue operations to rescue persons in distress and initiate community-based support operations.

Core Capabilities: *Mass Search and Rescue Operations*

Mission Areas: *Response*

Primary Audience: *Urban search and rescue personnel*

Outcomes:

a) Conduct or support air, land and water-based search and rescue operations across a geographically dispersed area.

b) Synchronize the deployment of local, regional, national, and international teams for search and rescue operations.

c) During the first 24 hours of an incident, establish search and rescue operations to locate and rescue up to 1,700 people trapped and requiring rescue, as well as possibly thousands more stranded in 210,000 damaged buildings (THIRA).

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Goal 4 - CBRNE Detection, Response, and Decontamination

Objective 4.4 Environmental Response/Health and Safety: Conduct assessments and disseminate resources to support immediate environmental health and safety operations.

Core Capabilities: *Environmental Response/Health and Safety*

Mission Areas: *Response*

Primary Audience: *Hazardous materials response teams*

Outcomes:

a) Minimize public exposure to environmental hazards through assessment of the hazards and implementation of public protective actions.

b) Minimize impact of oils and hazardous materials on the environment, natural and cultural resources, and historic properties.

c) Reduce illnesses and injury to first responders due to preventable exposure to secondary trauma, chemical/radiological release, infectious disease, or physical/ emotional stress.

d) During the first 24 hours of an incident, conduct needed health and safety hazard assessments, especially in the hardest hit areas (THIRA).

e) In the first 72 hours of an incident, develop a plan to clean up numerous hazardous materials incidents (THIRA).

Goal 4 - CBRNE Detection, Response, and Decontamination

Objective 4.5 Critical Resource Logistics: Secure supply nodes and provide emergency power, fuel support for responders, access to community staples, and fire and other first response services.

Core Capabilities: *Logistics and Supply Chain Management, Supply Chain Integrity and Security, Fire Management and Suppression*

Mission Areas: *Protection and Response*

Primary Audience: *Hazardous materials response teams, firefighting and law enforcement personnel*

Outcomes:

a) Secure key supply nodes, conveyances, and materials in transit through MOUs and/or other established partnership agreements with public and private sector stakeholders.

b) Provide food and other commodities to up to 2.2 million people who have lost services and residences, including stranded visitors or commuters in the region (THIRA).

c) Provide supplies to affected areas by rotary wing aircraft if necessary (i.e., it is not possible to provide critical supplies by fixed-wing air, ground, and sea transportation) (THIRA).

d) Over a two week time period, extinguish up to 5,000 fires using statewide mutual aid, despite significant damage to transportation infrastructure (THIRA).

e) Within 24 hours following a catastrophic event, implement a plan to transition up to 2.2 million people to recovery (THIRA).

Goal 5 - Medical and Public Health Preparedness

Objective 5.1 Public Health and Medical Services: Provide lifesaving medical treatment and public health and medical support to people in need within areas affected by emergencies.

Core Capabilities: *Public Health, Healthcare, and Emergency Medical Services*

Mission Areas: *Response*

Primary Audience: *Public health, emergency medical, and hospital and healthcare personnel*

Outcomes:

a) During the first 24-72 hours of an incident, triage and stabilize up to 55,000 casualties and care for those likely to survive their injuries (THIRA).

b) In the event of a catastrophic event, implement plans, including pre-hospital ambulances and medical surge plans, keeping in mind damage to buildings, transportation infrastructure, and limited hospital beds and other supplies (THIRA).

c) Within the first 2 to 4 days of an incident, identify and communicate information about disease agents and control measures.

d) Within 5 to 7 days of an incident, provide medical surge and medical countermeasures to exposed populations.

e) Within 48 hours of the decision to deploy Strategic National Stockpile supplies, dispense antibiotics to the affected population.

f) Return medical surge resources to pre-incident levels, complete health assessments, and identify recovery processes.

Goal 5 - Medical and Public Health Preparedness

Objective 5.2 Fatality Management: Recover, handle, identify, transport, track, store, and dispose of human remains and personal effects; certify the cause of death; and facilitate needed access to behavioral health services.

Core Capabilities: *Fatality Management Services*

Mission Areas: *Response*

Primary Audience: *Law enforcement, coroners, medical examiners, public health and hospitals*

Outcomes:

a) During the first 72 hours of an incident, begin to conduct operations to recover up to 6,600 fatalities (THIRA).

b) During the first 7 days of an incident, implement plans for storage and identification of remains and reunification of up to 6,600 bodies with family members (THIRA).

c) Facilitate access to behavioral health services to the family members, responders, and survivors of an incident.

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Goal 6 - Emergency Planning and Community Preparedness

Objective 6.1 Operational Coordination: Manage major incidents effectively through an integrated response system.

Core Capabilities: *Operational Coordination, Situational Assessment*

Mission Areas: *All*

Primary Audience: *EOC and DOC managers and incident commanders*

Outcomes:

a) Use common frameworks of the Standardized Emergency Management System, Incident Command System, and Unified Command.

b) Use Emergency Operations Centers (EOCs), incident command posts, emergency plans and standard operating procedures, and incident action plans.

c) During the first 24 to 72 hours following an incident, ensure all EOCs in the affected area are at least partly operational (THIRA).

d) Within 12 to 48 hours following an incident, collect and share information on initial impact, priority needs, cascading effects, and response status to inform decision-making.

e) EOCs can plan, direct and coordinate internally and externally with other multi-agency coordination entities, command posts, and other agencies.

f) As needed, deploy local capabilities, mutual aid, and State Incident Management Teams, and coordinate with local critical infrastructure operators, including financial and grocery industries (THIRA).

g) EOCs engage governmental, private, and civic sector resources within and outside of the affected area to meet basic human needs, stabilize the incident, and transition to recovery.

Goal 6 - Emergency Planning and Community Preparedness

Objective 6.2 Critical Transportation: Evacuate people and animals as well as deliver response personnel, equipment, and services in order to save lives and assist survivors.

Core Capabilities: *Critical Transportation*

Mission Areas: *Response*

Primary Audience: *Emergency managers and transportation agencies*

Outcomes:

a) Transmit requests for emergency and basic transportation resources and issue evacuation orders.

b) Support staged evacuation of people with access and functional needs.

c) Clear debris from roads to facilitate response operations.

d) During the first 72 hours of an incident, provide transportation corridors despite up to 1,300 miles of road closures, 600 bridges destroyed, and 320 bridges severely damaged (THIRA).

e) Within five days of an incident, supplement local authorities and state law enforcement with resources for traffic control, transportation, and sheltering of evacuees (THIRA).

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Goal 6 - Emergency Planning and Community Preparedness

Objective 6.3 Mass Care: Provide sheltering, feeding, family reunification, and bulk distribution for populations impacted by emergency incidents.

Core Capability: *Mass Care Services*

Mission Areas: *Response*

Primary Audience: *Emergency managers, social services, American Red Cross (ARC)*

Outcomes:

a) Provide mass care in a manner consistent with all applicable laws, regulations and guidelines, including those pertaining to individuals with access and functional needs.

b) Consolidate information about the mass care activities of non-governmental organizations and private-sector companies in order to coordinate operations with state and federal agencies.

c) Within the first 72 hours of a critical incident, begin to establish mass care services for up to 331,400 people and for up to 218,300 household pets needing shelter (THIRA).

d) Support more than one million people needing transportation assistance (THIRA).

e) During the first seven days of an incident, implement a plan to support mass care services during transition to short-term recovery (THIRA).

Goal 6 - Emergency Planning and Community Preparedness

Objective 6.4 Community Resiliency: Collaborate with the whole community to prevent, protect, mitigate, prepare for, respond to and recover from all threats and hazards.

Core Capabilities: *Community Resilience*

Mission Areas: *Mitigation*

Community Resilience: *Emergency managers*

Outcomes:

a) Manage volunteers and donations based upon pre-designated plans, procedures and systems.

b) Develop and implement risk-informed plans using an ongoing collaboration process that brings together government and nongovernmental resources

c) Empower the whole community to adapt to changing risk conditions and withstand and rapidly recover from damage to infrastructure and systems.

d) Through preparedness and outreach activities, mitigate the cascading effects of extensive damage to residences and commercial buildings resulting from a catastrophic event (THIRA).

Goal 7 - Recovery

Objective 7.1 Infrastructure Systems: Restore critical lifelines through providing timely assessments and getting personnel and equipment to disaster scenes.

Core Capability: *Infrastructure Systems*

Mission Areas: *Response and Recovery*

Primary Audience: *Emergency managers, public works, and owners and operators of critical lifeline systems*

Outcomes:

a) Provide situation needs and damage assessments by utilizing engineering, building inspection, and code enforcement services.

b) Coordinate between private sector and government operations to re-establish critical infrastructure and support response operations, life sustainment, and transition to recovery.

c) During the first 72 hours of an incident, stabilize infrastructure affected by up to 50 million tons of debris, consisting of building materials, personal property, and sediment (THIRA).

d) During the first 72 hours to 5 days of an incident, implement a plan to restore up to1.8 million households without potable water and 500,000 households without electricity (THIRA).

e) Within one month of an incident, develop a plan to remove up to 50 million tons of debris and redevelop major water and sewer systems (THIRA).

Goal 7 - Recovery

Objective 7.2 Economic and Social Recovery: Implement housing solutions, restore health and social services, and promote business activities to recover from all threats and hazards.

Core Capabilities: *Economic Recovery, Housing, Health and Social Services*

Mission Areas: *Recovery*

Primary Audience: *Emergency management, social services, economic and community development, public works, housing authority, zoning, and other community based personnel*

Outcomes:

a) Plan for long-term recovery using collaborative, whole community outreach, redevelopment partnerships, and frameworks; identify at-risk individuals, to include unattended children, individuals with access and functional needs, and populations with limited English proficiency.

b) Activate local assistance centers to connect individuals and families with services.

c) Within 30 days of an incident, assess the housing impacts and needs resulting from up to 210,000 residences destroyed or damaged extensively (THIRA).

d) Within 14-30 days of an incident, conduct a preliminary assessment for return of business activities, housing, and transportation and utility infrastructure (THIRA).

e) Within 30 days of a critical incident, restore basic health and social services (THIRA).

f) Within 1-2 months of an incident, develop a plan and timeline for solutions to those issues that affect the pace of economic recovery and encourage residents to return (THIRA).

g) Within 60-90 days of an incident, identify temporary housing options and develop and implement a plan for interim housing for those who require longer term solutions (THIRA).

Goal 7 - Recovery

Objective 7.3 Natural and Cultural Resources: Conserve, rehabilitate, and restore natural and cultural resources and historic properties in response to all threats and hazards.

Core Capabilities: *Natural and Cultural Resources*

Mission Areas: *Recovery*

Primary Audience: *Emergency and risk managers*

Outcomes:

a) Rehabilitate and restore natural and cultural resources and historic properties consistent with post-incident community priorities and in compliance with laws and regulations.

b) Within 3-5 days of a critical incident, coordinate with California State Parks to identify and contact Native American cultural sites to acquire damage assessments and offer mutual aid (THIRA).

c) Within 30-60 days of a critical incident, conduct an assessment of and develop a plan for the major monuments and icons as well as natural resources (i.e., beaches, water supply) that could be impacted (THIRA).

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Goal 8 - Management Team

Objective 8.1 Training and Exercise: The Bay Area UASI's Management Team delivers a regional training and exercise program through partnership with the Alameda County Sheriff's Office.

*** This is an internal, organizational goal that includes all core capabilities and mission areas.*

Outcomes:

a) Implement a training program that is multi-disciplinary, enhances the region's core capabilities, and is integrated into the region's risk management and planning process.

b) Implement an exercise program that is multi-disciplinary, enhances and evaluates the region's core capabilities, and is integrated into the region's risk management and planning process.

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Goal 8 - Management Team

Objective 8.2 Governance, Grants Management, and Best Practices: The Bay Area UASI's Management Team supports Approval Authority decision-making, provides grants management, and fosters regional tools and best practices.

*** This is an internal, organizational goal that includes all core capabilities and mission areas.*

Outcomes:

a) Provide timely and accurate information and analysis to support informed decision-making by the Approval Authority.

b) Provide required state and federal reporting, resulting in no audit findings.

c) Process contracts, MOUs, and reimbursements in a timely and accurate manner.

d) Identify, develop, and disseminate effective tools and best practices among the region's emergency response and management disciplines by developing subject matter expertise and by working with stakeholder workgroups.

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To: **Bay Area UASI Approval Authority**

From: **Catherine Spaulding, Assistant General Manager**

Date: **August 13, 2015**

Re: **Item 7: FY16 Proposal Guidance**

Staff Recommendation:

Approve the F16 Proposal Guidance

Action or Discussion Items:

Action

Discussion:

The Management Team is pleased to present the Project Proposal Guidance for the FY16 UASI funding cycle. This document contains all requirements and procedures for the FY16 sub-recipient grant application, review, and approval process.

The timeline and general approach of the process is consistent with prior years. The proposal submission period is during October, hub meetings are in January, and Approval Authority review and approval of projects is in April.

The FY16 Proposal Guidance includes:

- Proposal submission and review process (page 3)
- Proposal criteria (page 4)
- Roles and responsibilities (pages 5-9)
- Priority capability objectives (page 11)
- Summary timeline (page 21)
- Allowable spending guidelines (pages 22-30)
- Sample proposal (Appendix A)

Key changes that are proposed for the FY16 cycle are listed below, most of which were discussed with the Approval Authority earlier this year.

- **Proposal Form:** The new WebGrants System will replace the old proposal template. There will be a 30 minute webinar to introduce this new system to stakeholders at 2pm on August 24th.

- **Proposal Kick Off Meeting:** All proposers must attend the September 17th proposal kick off meeting or watch the one-hour webinar version in order to submit a proposal.

- **Management Team Compliance Review:** Proposals that do not meet basic compliance criteria will be deemed non-compliant, and proposers will not have the opportunity to correct and resubmit.

- **Hub Meetings**: All hub meetings will be facilitated by the Management Team with hub decisions finalized and documented at the end of the meeting

- **Regional Project Review Process:** Regional project proposals from the NCRIC, Training and Exercise Program, Public Safety Information Sharing Project, BayRICS, ABAHO/BAMPWG, and the Management Team will be proposed directly to the Approval Authority. All other regional proposals will be reviewed by a new work group created by the General Manager called the Regional Proposal Work Group.

- **Minimum Requested Amount:** In the past, proposers had been able to provide a minimum requested amount along with their proposal request, resulting in two sets of budget numbers in the proposal form. In order to streamline the application process and avoid errors, the minimum requested amount will be deleted from the template.

- **Sub-Recipient Performance Period**: All proposals should be no more than 14 months in length, consistent with performance periods from prior years. However, proposers will be able to propose projects up to 18 months in length with a compelling justification.

Priority Capability Objectives

Priority capability objectives are selected each year from among the Bay Area UASI Goals and Objectives based on the results of the Risk and Gap Analysis. Priority capability objectives include strategic objectives that are tied to those core capabilities that are needed most to build our capabilities and address our greatest risk areas. Each year, approximately half of our strategic objectives are featured and this includes approximately half of our highest risk core capabilities. These objectives were vetted with the Advisory Group at the July 23rd meeting.

In order to be eligible for funding, all proposed projects must fulfill at least one of the priority capability objectives. See the table below for the proposed FY16 priority capabilities objectives.

Table 1: FY16 Priority Capability Objectives

Goal 2 - Information Analysis and Infrastructure Protection
Objective 2.1 Intelligence Collection, Analysis and Sharing: Collect, analyze and share information and intelligence to achieve awareness, prevention, protection, mitigation, and response concerning a terrorist attack or other emergency.
Objective 2.2 Terrorism Attribution, Interdiction and Disruption: Conduct forensic analysis; attribute terrorist threats; and identify, deter, detect, disrupt, investigate, and apprehend suspects involved in terrorist activities.
Objective 2.3 Infrastructure Protection: Assess risk to the region's physical and cyber critical infrastructure and key resource, enhance protection, and reduce risk from all hazards.
Goal 3 - Communications
Objective 3.1 Operational Communications: Provide voice and data information among multi-jurisdictional and multidisciplinary responders, command posts, agencies, and officials during an emergency response.
Objective 3.2 Emergency Public Information and Warning: Provide public information and warning to affected members of the community in order to save lives and property.
Goal 4 - CBRNE Detection, Response, and Decontamination
Objective 4.1 Screening Search and Detection: Detect, locate and identify CBRNE materials and communicate relevant information to appropriate entities at the state and federal level.
Objective 4.5 Critical Resource Logistics: Secure supply nodes and provide emergency power, fuel support for responders, access to community staples, and fire and other first response services.
Goal 6 - Emergency Planning and Community Preparedness
Objective 6.3 Mass Care: Provide sheltering, feeding, family reunification, and bulk distribution for populations impacted by emergency incidents.
Goal 7 - Recovery
Objective 7.1 Infrastructure Systems: Restore critical lifelines through providing assessments and getting personnel and equipment to disaster scenes.

Project Proposal Guidance for Fiscal Year 2016

Draft – August 2015

Approved by the Bay Area UASI Approval Authority on XXX

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APPENDIX A – SAMPLE PROJECT PROPOSAL

This guidance provides an overview of the process and requirements for applying for funds through the Bay Area UASI for the FY16 grant year. Please note that this guidance remains interim until the FY16 Federal DHS notice of funding opportunity is released. This guidance does not include the updated rules governing allowable expenses under the UASI grant for FY16.

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Section 1. UASI Grant Program Overview

Since its inception in FY03, the intent of the Urban Areas Security Initiative (UASI) program has been to enhance regional terrorism preparedness in major metropolitan areas by developing integrated systems for terrorism prevention, protection, response, and recovery. The FY16 UASI program will likely provide financial assistance to address the unique regional, multi-discipline terrorism preparedness planning, organization, equipment, training, and exercise needs of high-threat, high-density urban areas. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards, including natural disasters and other major incidents. UASI funds may be used for other preparedness activities as long as the dual use quality and nexus to terrorism is clearly demonstrated. UASI funds are intended for regional approaches to overall preparedness and should adopt regional response structures whenever appropriate.

Section 2. 2016 Federal Budget

It is expected that Congress will pass the Department of Homeland Security (DHS) FY16 budget by the end of calendar year 2015 or early in 2016, and DHS will issue a Notice of Funding Opportunity (NOFO) for the Homeland Security Grant Program by the spring of 2016. Earlier passage of the DHS budget is possible and therefore the region must be prepared to initiate its selection of proposals under an earlier and shortened time frame. Details on addressing this contingency will be put forward by the Management Team.

Section 3. Bay Area Risk and Gap Analysis

The Bay Area UASI regularly conducts a region-wide risk validation analysis and capabilities assessment across the region's twelve counties and three major cities. Each year, the Bay Area UASI updates its Risk and Gap Analysis, which shows where gaps are greatest and risk level the highest by core capability. This analysis results in priority capability objectives which are used to guide proposal submissions. The priority capability objectives for the FY16 proposal process are included in Section 11 of this guidance. FY16 proposals should strive to build the region's priority capabilities and must fall within these priority capability objectives in order to be eligible for funding.

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Section 4. Proposal Submission and Review Process

Submission:

FY16 UASI proposals must be submitted to the Management Team from October 1 – 16, 2015. All proposals – including those using core city and regional allocations – must be submitted by 5pm on Friday October 16th. Late proposals will be ineligible.

WebGrants system:

All proposals must be submitted electronically through the WebGrants system, the new online grants management system provided by the Management Team. A sample proposal can be found in Appendix A of this guidance. The actual proposal template will be available as of October 1st upon logging into the WebGrants system. The Management Team will offer training on using this new system on August 24, 2015. In addition, training on using the system specifically for submitting proposals will be offered in the FY16 proposal kick off workshop/webinar on Thursday, September 17th, 2015. **Please note that all persons submitting FY16 proposals are required to either attend this workshop or review the webinar** prior to submitting a proposal. The webinar will be available on the Bay Area UASI website (www.bayareauasi.org) so that it can be viewed at any time.

Local jurisdiction internal vetting:

Many Bay Area UASI jurisdictions undergo an internal vetting process of their own to identify which proposals should be submitted for UASI funding. Such processes are the responsibility of each jurisdiction. UASI jurisdictions that wish to undertake internal vetting processes should do so before the online application period in October.

Review:

Upon receipt of the proposals on October 16th, the Management Team will review them for compliance with the proposal criteria (see Section 5, Proposal Criteria). **Proposals that do not meet the criteria will be ineligible and will not proceed further in the review process.** Please note that this is a change from prior years when submitters were provided the opportunity to correct such issues after the submission deadline. The Management Team will also undertake a financial and programmatic review of all proposals, and proposers may be contacted to correct errors and resubmit proposals in November. Proposals that are not resubmitted in a timely manner will not proceed further in the review process.

The Management Team will share proposals with Approval Authority Members for review in December 2015 and then with hubs for review and decision-making in January 2016. Please see the sections below for more details on the hub and other review processes, as well as Section 12 for the summary timeline.

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Management Team support:

Management Team staff will be available to answer questions and provide support on compliance and proposal criteria issues as well as using the WebGrants system. All proposers are urged to access Management Team staff assistance in order to submit timely and compliant proposals.

Section 5. Proposal Criteria

All proposals must meet the following criteria:

- Have a clear "nexus to terrorism," – i.e., the proposal must specify how the activities will support terrorism preparedness
- Directly benefit at least two operational areas
- Enhance the region's priority capability objectives (see Section 11)
- Include only allowable expenses under UASI grant guidelines (See Section 13)

In addition, proposals may only be submitted by a government agency within the twelve county Bay Area UASI footprint and must have approval of the relevant department head. Community-based and nonprofit groups must submit proposals through a government sponsor/partner.

The person who is submitting the form must be the person who will be primarily responsible for implementation ("Project Lead.") In addition, the person who is submitting the proposal form is required to attend the proposal kick off meeting in September or listen to the webinar version on the UASI website (www.bayareauasi.org) prior to submitting the proposal.

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Section 6. Role of the Work Groups

The Bay Area UASI encourages subject matter experts to discuss possible projects through the venue of the Bay Area UASI work groups. Work group meetings are open to all within the twelve county footprint. Bay Area UASI Approval Authority Members should ensure their jurisdictions are represented in all work groups for optimum inclusion in UASI project discussions. Work group meetings are chaired by project managers from the UASI Management Team.

Each work group is assigned a goal or set of goals from the *Bay Area Homeland Security Goals and Objectives*. The work groups and their areas of responsibility concerning projects for FY16 are:

Goal #	Bay Area Homeland Security Goal	Work Group
1	Planning and risk management	Risk Management and Information Sharing (includes cyber and automated license plate reader (ALPR) focus groups)
2	Intelligence, information sharing and infrastructure protection	
3	Interoperable communications	Interoperable Communications
4	Chemical, Biologic, Radiologic, Nuclear and Explosive (CBRNE)	Regional Training & Exercise and CBRNE (includes Preventative Rad/Nuc Detection (PRND) focus group)
8	Training and exercise	
5	Medical and public health	Medical Public Health
6	Emergency planning and citizen preparedness	Regional Catastrophic Planning Team
7	Recovery	

Please note that all training proposals will be referred to the Bay Area UASI Training and Exercise Program/Work Group. Training requests are vetted by stakeholders and funded annually from a regional allocation.

Please see Section 8, Role of the Regional Proposal Work Group, for information on the specific functioning of that work group in the FY16 proposal process.

Section 7. Role of the Hubs

In FY16, the Bay Area is again utilizing hub groups to prioritize proposed projects submitted by local government jurisdictions.

Hub composition:

As in prior years, the hubs will be based on the geographical location of the agencies based on the North, East, South and West bay areas (see map on the next page). Each Approval Authority Member will be asked to assign three to five people to represent his or her operational area/core city in the hub project proposal prioritization process. Please note that the Approval Authority Members may make other arrangements for representation at hub meetings, provided that this is the consensus of the Approval Authority Members representing those operational areas/core cities of the hub in question. Hub representatives are referred to as "hub voting members." Approval Authority Members are urged to appoint representatives to serve as hub voting members that reflect the diversity of the Bay Area Homeland Security Goals.

Preparations for hub project proposal prioritization:

By the end of the calendar year, the Management Team will provide hub voting members with all submitted proposals for their hubs that meet the specified criteria on page 4 of this guidance and that have been confirmed for prioritization by the corresponding jurisdiction's Approval Authority Member. The Management Team is happy to assist hub voting members with any questions or concerns, including arranging information from regional subject matter experts in advance of the hub deliberations.

Project prioritization process:

Hubs will convene in January 2016 to decide on their final prioritized list of projects for recommendation to the Approval Authority. Each hub will develop a list of prioritized projects based on regional need and local capabilities. Hubs may also designate other criteria as mutually agreed (e.g., provide scalable solutions, leverage other funding sources, and benefit the most operational areas.) Ideally, prioritization will be done by consensus, but voting may occur as needed.

The Management Team will provide hubs with a planning amount based on the actual funding amount provided to the hub from last year's (FY15) allocation (see Section 10, Allocation of Funding). The outcome of the hub meeting will be a prioritized list of projects ranked in order of importance to be funded by the forthcoming FY16 allocation. The hub voting members will prioritize project proposals and funding amounts to match the planned hub funding allocation as "above the line" projects. Each hub should also carefully develop a prioritized list of "below the line" projects for if/when additional funds become available in the future. This should include short time frame projects.

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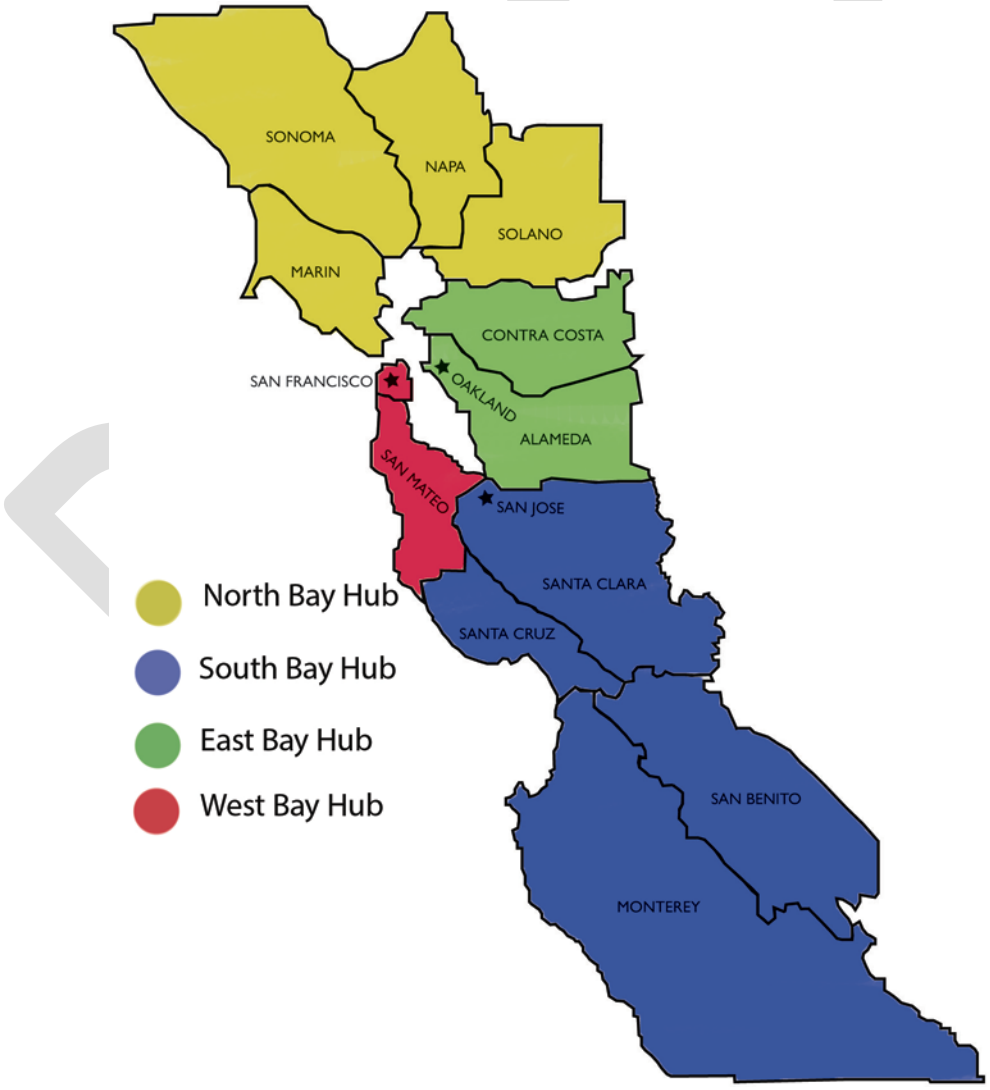
Modifications to proposals:

Hub voting members may make modifications to proposals during their deliberations with the agreement of the original project proposers as long as these modifications are consistent with the original goals of the project. Recognizing that the discussion of regional needs at the hub level may generate new ideas and opportunities for cooperation, hubs may also propose new projects in special circumstances and with the approval of the General Manager. Such projects must meet all of the funding criteria presented on page 4.

Facilitation of hub meetings:

All four hubs will have decision-making meetings coordinated and facilitated by UASI Management Team staff members during January 2016.



Section 8. Role of the Regional Proposal Work Group

The Regional Proposal Work Group is a new work group established by the General Manager to review and provide feedback on certain regional project proposals. The Regional Proposal Work Group makes recommendations to the General Manager.

All regional projects must benefit at least three hubs and are divided into two categories: "level one" and "level two:"

"Level One" Regional Projects	"Level Two" Regional Projects
****Presents directly to the Approval Authority; no Regional Proposal Working Group review*	**** Reviewed by the Regional Proposal Work Group*
1. Fusion Center	All other regional projects not in the "level one" category
2. Training and Exercise Program	
3. Public Safety Information Sharing	
4. Bay RICS/interoperability	
5. Medical and Public Health proposals from regional entities (ABAHO, BAMPWG)	
6. Management Team implemented projects	

"Level one" regional proposals will be presented directly to the Approval Authority and will not be reviewed by the Regional Proposal Work Group. "Level two" regional proposals will be reviewed by the Regional Proposal Work Group.

The Regional Proposal Work Group will meet on Thursday February 25, 2016 to develop a list of prioritized level two regional projects based on regional need and local capabilities. Proposers and subject matter experts will be invited to present their proposals and answer questions. However, proposers will be excused during the final deliberation and prioritization process. There are no other anticipated meetings for the Regional Proposal Work Group.

As with all other Bay Area UASI work groups, the Management Team will facilitate the Regional Proposal Work Group meeting and membership will be open to all. The Management Team facilitator will seek input from all Bay Area UASI operational areas and core cities as part of its process to determine consensus and make recommendations to the General Manager.

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Section 9. Role of the Approval Authority

The following is a summary of key actions, responsibilities, and decision-points for the Approval Authority in the FY16 proposal process.

- **Work Groups**: Members should ensure that their jurisdictions are represented on Bay Area UASI work groups (see Section 6, Role of the Work Groups, and Section 8, Role of the Regional Proposal Work Group, for more information).

- **Hub Voting Members**: Members should designate hub voting members to participate in hub meetings. The Management Team will solicit this information from Members in the fall of 2015. (See Section 7, Role of the Hubs, for more information).

- **Internal Vetting**: Members that wish to undertake an internal vetting process within their operational area/core city to identify which proposals should be submitted for UASI funding may opt to do so before the online application period opens in October.

- **Proposal Compliance:** Members should ensure that those submitting FY16 proposals attend the proposal kick off meeting in September or review the webinar online. All proposers are required to attend/view the presentation so that submissions will be in compliance and the proposer will have familiarity with the new WebGrants system. Proposals that do not meet proposal criteria will be ineligible. (See Section 4, Submission and Review Process, and Section 5, Proposal Criteria, for more information).

- **Proposal Review**: Members will have the opportunity to review their jurisdiction's proposals from November 30th to December 11th 2015. If necessary, Members may contact proposers during this time to inform them that their proposal has been removed from consideration because it is not consistent with operational area/core city priorities.

- **Approve "Level One" Regional Projects**: Members will review/approve proposals for "level one" regional projects in the categories of fusion center, training and exercise, public safety information sharing, Bay RICS/ interoperability, public health and medical, and projects implemented by the Management Team. This will occur in the January 14 (and February 11 if needed) 2016 Approval Authority meetings.

- **Approve All Other Projects**: Members will review/approve all hub and other regional ("level two") projects recommended by hub voting members and the Management Team, taking into account the Regional Proposal Work Group's recommendations. This will take place in the April 14, 2016 Approval Authority meeting.

- **Approve Grant Allocations**: Members will approve allocation amounts among the categories of core city allocations, regional projects, and hub projects. This action will take place in the next Approval Authority meeting following DHS' announcement of the FY16 grant award, estimated to be the April 14, 2016 meeting.

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Section 10. Allocation of Funding

In the next Approval Authority meeting following the announcement of the FY16 grant award, the Approval Authority will approve specific allocation amounts among the categories of core city allocations, regional projects, and hub projects. Projects within those categories will then be funded in order of priority, as specified by hubs and as approved by the Approval Authority.

Until the FY16 grant award is announced, for planning purposes, the Bay Area will operate under the assumption that the FY16 funding will be equal to the amount allocated in FY 2015 – $28,400,000. For reference, below please find the FY15 hub, regional, and other allocations. These will be used in the FY16 cycle for planning purposes:

FY 15 UASI Allocations

East Hub	$1,323,202
North Hub	$453,825
South Hub	$1,377,880
West Hub	$2,312,870
Regional	$10,876,223
Core City	$3,000,000
Management Team	$3,376,000
State Retention (20%)	$5,680,000
TOTAL	**$28,400,000**

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Section 11. Priority Capability Objectives

Priority capability objectives are derived each year from the region's risk analysis process which identifies the highest risk and gap areas based on asset risk, threat information, and subject matter expert capability assessments. ***In order to be eligible for FY16 funding, all proposed projects must fulfill at least one of these priority capability objectives:***

Goal 2 - Information Analysis and Infrastructure Protection
Objective 2.1 Intelligence Collection, Analysis and Sharing: Collect, analyze and share information and intelligence to achieve awareness, prevention, protection, mitigation, and response concerning a terrorist attack or other emergency.
Objective 2.2 Terrorism Attribution, Interdiction and Disruption: Conduct forensic analysis; attribute terrorist threats; and identify, deter, detect, disrupt, investigate, and apprehend suspects involved in terrorist activities.
Objective 2.3 Infrastructure Protection: Assess risk to the region's physical and cyber critical infrastructure and key resource, enhance protection, and reduce risk from all hazards.
Goal 3 - Communications
Objective 3.1 Operational Communications: Provide voice and data information among multi-jurisdictional and multidisciplinary responders, command posts, agencies, and officials during an emergency response.
Objective 3.2 Emergency Public Information and Warning: Provide public information and warning to affected members of the community in order to save lives and property.
Goal 4 - CBRNE Detection, Response, and Decontamination
Objective 4.1 Screening Search and Detection: Detect, locate and identify CBRNE materials and communicate relevant information to appropriate entities at the state and federal level.
Objective 4.5 Critical Resource Logistics: Secure supply nodes and provide emergency power, fuel support for responders, access to community staples, and fire and other first response services.
Goal 6 - Emergency Planning and Community Preparedness
Objective 6.3 Mass Care: Provide sheltering, feeding, family reunification, and bulk distribution for populations impacted by emergency incidents.
Goal 7 - Recovery
Objective 7.1 Infrastructure Systems: Restore critical lifelines through providing assessments and getting personnel and equipment to disaster scenes.

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Detailed descriptions of the priority capability objectives are as follows.

Outcomes specified in the 2014 Bay Area UASI THIRA (Threat and Hazard Identification and Risk Assessment) are included under each objective and are notated with "(THIRA)."

Goal 2 - Information Analysis and Infrastructure Protection

Objective 2.1 Intelligence Collection, Analysis and Sharing: Collect, analyze and share information and intelligence to achieve awareness, prevention, protection, mitigation, and response concerning a terrorist attack or other emergency.

Core Capability: *Intelligence and Information Sharing*

Mission Areas: *Prevention, Protection*

Primary Audience: *Law enforcement counter terrorism and criminal intelligence investigators and analysts*

Outcomes:

a) Ensure policies, procedures and systems are in place to routinely collect, analyze and share actionable information, and intelligence in order to detect, prevent and protect against acts of terrorism and other major crimes from occurring.

b) Build the region's intelligence fusion center (Northern California Regional Intelligence Center – NCRIC) to report suspicious activities associated with potential terrorist or criminal planning.

c) Coordinate with the FBI to receive classified and unclassified information on attacks and declassify and share information with key stakeholders (THIRA).

Goal 2 - Information Analysis and Infrastructure Protection

Objective 2.2 Terrorism Attribution, Interdiction and Disruption: Conduct forensic analysis; attribute terrorist threats; and identify, deter, detect, disrupt, investigate, and apprehend suspects involved in terrorist activities.

Core Capabilities: *Forensics and Attribution, Interdiction and Disruption*

Mission Areas: *Prevention and Protection*

Primary Audience: *Law enforcement investigators, tactical team members, and analysts; fire department arson investigators*

Outcomes:

a) Identify terrorist groups and their intentions for future attacks and in order to find and convict perpetrators; coordinate with the FBI; and identify and process field intelligence collected from the scenes (THIRA).

b) Prevent terrorism financial/material support from reaching its target, and prevent terrorist acquisition of and the transfer of Chemical, Biological, Radiological, Nuclear, Explosive (CBRNE) materials, precursors, and related technology.

c) Coordinate operations by site security personnel, bomb teams, local law enforcement operations, and FBI; set up rapid command and control, interdict attackers, and intercept additional attacks (THIRA).

Goal 2 - Information Analysis and Infrastructure Protection

Objective 2.3 Infrastructure Protection: Assess risk to the region's physical and cyber critical infrastructure and key resource, enhance protection, and reduce risk from all hazards.

Core Capabilities: *Physical Protective Measures, Access Control and Identity Verification, Risk Management for Protection Programs and Activities, Long-term Vulnerability Reduction, Cyber Security*

Mission Areas: *Protection and Mitigation*

Primary Audience: *Chief security officers, information technology personnel, law enforcement involved in Critical Infrastructure and Key Resources (CIKR) protection and cyber-crimes, risk analysts, emergency managers and planners, and building and code enforcement personnel*

Outcomes:

a) Maintain active site access and vehicle screening at public assembly sites and ensure that drivers have proper identification and authorization (THIRA).

b) Maintain tools for identifying, assessing, cataloging, and prioritizing physical and cyber assets in the region.

c) Assess the risk to 100% of its County owned and operated Critical Infrastructure and Key Resources (CIKR) and prioritize risks to inform protection activities and investments for all hazards.

d) Harden high priority CIKR rated as having very high or high vulnerability to earthquake or Vehicle-Borne Improvised Explosive Device (VBIED) attack (THIRA).

e) Decrease the long-term vulnerability of communities and CIKR by implementing mitigation activities stated in hazard mitigation plans.

f) County cyber security programs meet the Federal Information Processing Standards 200 - Minimum Security Requirements for Federal Information and Information Systems.

g) Detect malicious cyber activity, conduct technical counter-measures against existing and emerging cyber-based threats, and quickly recover from cyber-attacks.

h) Work with owners and operators to ensure network security of critical facilities is maintained despite a disaster (THIRA).

Goal 3 - Communications

Objective 3.1 Operational Communications: Provide voice and data information among multi-jurisdictional and multidisciplinary responders, command posts, agencies, and officials during an emergency response.

Core Capabilities: *Operational Communications*

Mission Area: *Response*

Primary Audience: *OES, law enforcement, fire/EMS personnel, emergency communications and dispatch agencies, and information technology personnel*

Outcomes:

a) During the first 24 hours following a no-notice incident, responders share mission critical voice information with each other and with responders from across the Bay Area region.

b) Ensure local or regional emergency communications systems are based on established governance, standard operating procedures, and technology.

c) Within seven days following a catastrophic earthquake, implement a plan to re-establish communications infrastructure throughout the Bay Area, especially commercial communication systems relying on cable (THIRA).

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Goal 3 - Communications

Objective 3.2 Emergency Public Information and Warning: Provide public information and warning to affected members of the community in order to save lives and property.

Core Capabilities: *Public Information and Warning*

Mission Areas: *All*

Primary Audience: *Public information officers, public warning officials, and emergency managers*

Outcomes:

a) Implement emergency public information and warning systems that are interoperable, standards-based, and use a variety of means to inform the public.

b) Disseminate prompt, coordinated, clear, specific, accurate, and actionable emergency public information and warnings to all affected members of the community.

c) In the event of a catastrophic event, provide timely updates to information regarding availability of resources, evacuation routes and triage locations to up to 8.2 million people despite disruptions to public warning systems and private-sector media sources (THIRA).

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Goal 4 - CBRNE Detection, Response, and Decontamination

Objective 4.1 Screening Search and Detection: Detect, locate and identify CBRNE materials and communicate relevant information to appropriate entities at the state and federal level.

Core Capability: *Screening, Search, and Detection*

Mission Areas: *Prevention, Protection*

Primary Audience: *Special event security planners, bomb squads, and hazardous materials response personnel*

Outcomes:

a) Screen conveyances, cargo and people at land and maritime ports of entry, CIKR sites, public events, and incident scenes.

b) Detect, identify and locate CBRNE materials using a variety of integrated means including technology, canines, and specialized personnel.

c) Deploy security measures to detect weapons at public assembly sites (THIRA).

d) Deploy canine explosive detection teams covering radius around highly public assembly venues during events (THIRA).

Goal 4 - CBRNE Detection, Response, and Decontamination

Objective 4.5 Critical Resource Logistics: Secure supply nodes and provide emergency power, fuel support for responders, access to community staples, and fire and other first response services.

Core Capabilities: *Logistics and Supply Chain Management, Supply Chain Integrity and Security, Fire Management and Suppression*

Mission Areas: *Protection and Response*

Primary Audience: *Hazardous materials response teams, firefighting and law enforcement personnel*

Outcomes:

a) Secure key supply nodes, conveyances, and materials in transit through MOUs and/or other established partnership agreements with public and private sector stakeholders.

b) Provide food and other commodities to up to 2.2 million people who have lost services and residences, including stranded visitors or commuters in the region (THIRA).

c) Provide supplies to affected areas by rotary wing aircraft if necessary (i.e., it is not possible to provide critical supplies by fixed-wing air, ground, and sea transportation) (THIRA).

d) Over a two week time period, extinguish up to 5,000 fires using statewide mutual aid, despite significant damage to transportation infrastructure (THIRA).

e) Within 24 hours following a catastrophic event, implement a plan to transition up to 2.2 million people to recovery (THIRA).

Goal 6 - Emergency Planning and Community Preparedness

Objective 6.3 Mass Care: Provide sheltering, feeding, family reunification, and bulk distribution for populations impacted by emergency incidents.

Core Capability: *Mass Care Services*

Mission Areas: *Response*

Primary Audience: *Emergency managers, social services, American Red Cross (ARC)*

Outcomes:

a) Provide mass care in a manner consistent with all applicable laws, regulations and guidelines, including those pertaining to individuals with access and functional needs.

b) Consolidate information about the mass care activities of non-governmental organizations and private-sector companies in order to coordinate operations with state and federal agencies.

c) Within the first 72 hours of a critical incident, begin to establish mass care services for up to 331,400 people and for up to 218,300 household pets needing shelter (THIRA).

d) Support more than one million people needing transportation assistance (THIRA).

e) During the first seven days of an incident, implement a plan to support mass care services during transition to short-term recovery (THIRA).

Goal 7 - Recovery

Objective 7.1 Infrastructure Systems: Restore critical lifelines through providing timely assessments and getting personnel and equipment to disaster scenes.

Core Capability: *Infrastructure Systems*

Mission Areas: *Response and Recovery*

Primary Audience: *Emergency managers, public works, and owners and operators of critical lifeline systems*

Outcomes:

a) Provide situation needs and damage assessments by utilizing engineering, building inspection, and code enforcement services.

b) Coordinate between private sector and government operations to re-establish critical infrastructure and support response operations, life sustainment, and transition to recovery.

c) During the first 72 hours of an incident, stabilize infrastructure affected by up to 50 million tons of debris, consisting of building materials, personal property, and sediment (THIRA).

d) During the first 72 hours to 5 days of an incident, implement a plan to restore up to1.8 million households without potable water and 500,000 households without electricity (THIRA).

e) Within one month of an incident, develop a plan to remove up to 50 million tons of debris and redevelop major water and sewer systems (THIRA).

Section 12. Summary Timeline

WHO	WHAT	WHEN	DETAILS
UASI Management Team	Outreach	September 2015	Management Team sends the FY16 project proposal guidance to UASI stakeholders as well as notice of the workshop/webinar kick off.
UASI Work Groups	Informal project discussions	September 2015	Work groups discuss projects ideas as well as regional gaps and priorities.
UASI Management Team	Kick off workshop and webinar	Thursday, September 17th, 2015	This meeting/webinar is required for all those submitting proposals.
UASI Stakeholders	Proposal submissions	October 1 – October 16, 2015	UASI stakeholders submit proposals through the WebGrants system.
Approval Authority	Approval Authority review	November 30 – December 11, 2015	Management Team provides the compliance review and then sends proposals for each OA/core city to the relevant Approval Authority member for review by Nov. 30th. Members have until Dec. 11th to make changes.
UASI Management Team	Hub electronic review	December 31, 2015	Management Team sends all relevant proposals to hub voting members for review.
Hubs	Prioritize	January 2016	Hubs meet on specific days in January 2016 and list projects in order of importance to be funded, including "above" and "below" the line.
Approval Authority	Approve "level one" regional projects	January 14, 2016	Regional projects in the "level one" category (fusion center, training & exercise, public safety information sharing, Bay RICS/ interoperability, public health & medical, and projects implemented by the Management Team) present proposals to the Approval Authority.
Regional Proposal Work Group	Review	February 25, 2016	The Regional Proposal Work Group reviews "level two" regional projects.
Approval Authority	Approve	April 14, 2016	Approval Authority approves hub and "level two" regional projects. They also approve grant allocations if the grant award has been released.

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Section 13. Allowable Spending Guidelines

Please note that DHS has yet to issue guidelines for FY16. In the absence of this information, below please find the allowable spending information for FY15. At this time, the Management Team does not anticipate changes in the allowable spending guidelines in the FY16 Notice of Funding Opportunity. The Management Team will update stakeholders on any such changes in a timely manner

The following is a summary of allowable spending areas under the UASI program as it pertains to the Bay Area UASI. Please contact the Bay Area UASI Management Team for clarification, should you have questions regarding allowable cost items.

The spending areas are broken out under planning, organization, equipment, training and exercises (POETE) spending areas. This matches the Bay Area Homeland Security Strategy, which divides recommended spending areas under POETE for each objective in the Strategy, as well as the DHS mandated budget sections for Investment Justifications that the Bay Area must submit in order to receive DHS funding.

The spending areas below outline what is allowable. They are not a list of what the region should or must purchase.

13.1 Planning

Funds may be used for a range of emergency preparedness and management planning activities and such as those associated with the development of the THIRA, State Preparedness Report (SPR), continuity of operations plans and other planning activities that support the Goal and placing an emphasis on updating and maintaining a current EOP that conforms to the guidelines outlined in *CPG 101 v 2.0*. For additional information, please see *http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf*.

Examples of planning activities include:

- Developing hazard/threat-specific annexes that incorporate the range of prevention, protection, mitigation, response, and recovery activities
- Developing and implementing homeland security support programs and adopting ongoing DHS/FEMA national initiatives
- Developing related terrorism and other catastrophic prevention
- Developing and enhancing plans and protocols
- Developing or conducting assessments
- Materials required to conduct planning activities
- Travel/per diem related to planning activities
- Overtime and backfill costs (in accordance with operational Cost Guidance)
- Issuance of WHTI-compliant Tribal identification cards
- Activities to achieve planning inclusive of people with disabilities
- Coordination with Citizen Corps Councils for public information/education and development of volunteer programs
- Update governance structures and processes and plans for emergency communications

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13.2 Organization

Organizational activities include:

- Program management;
- Development of whole community partnerships;
- Structures and mechanisms for information sharing between the public and private sector;
- Implementing models, programs, and workforce enhancement initiatives to address ideologically-inspired radicalization to violence in the homeland;
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors;
- Operational Support;
- Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident;
- Responding to an increase in the threat level under the National Terrorism Advisory System (NTAS), or needs in resulting from a National Special Security Event; and
- Paying salaries and benefits for personnel to serve as qualified intelligence analysts.

Intelligence analysts. Per the *Personnel Reimbursement for Intelligence Cooperation and Enhancement* (PRICE) *of Homeland Security Act* (Public Law 110-412), funds may be used to hire new staff and/or contractor positions to serve as intelligence analysts to enable information/intelligence sharing capabilities, as well as support existing intelligence analysts previously covered by UASI funding. In order to be hired as an intelligence analyst, staff and/or contractor personnel must meet at least one of the following criteria:

- Successfully complete training to ensure baseline proficiency in intelligence analysis and production within six months of being hired; and/or,
- Previously served as an intelligence analyst for a minimum of two years either in a Federal intelligence agency, the military, or State and/or local law enforcement intelligence unit

As identified in the *Maturation and Enhancement of State and Major Urban Area Fusion Centers* priority, all fusion centers analytic personnel must demonstrate qualifications that meet or exceed competencies identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts*, which outlines the minimum categories of training needed for intelligence analysts. A certificate of completion of such training must be on file with the SAA and must be made available to FEMA Program Analysts upon request. In addition to these training requirements, fusion centers should also continue to mature their analytic capabilities by addressing gaps in analytic capability identified during the fusion center's BCA.

Overtime costs. Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities specifically related to homeland security and specifically requested by a Federal agency. Allowable costs are limited to overtime associated

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with federally requested participation in eligible fusion activities including anti-terrorism task forces, Joint Terrorism Task Forces (JTTFs), Area Maritime Security Committees (as required by the *Maritime Transportation Security Act of 2002*), DHS Border Enforcement Security Task Forces, and Integrated Border Enforcement Teams. Grant funding can only be used in proportion to the Federal man-hour estimate, and only after funding for these activities from other Federal sources (i.e. FBI JTTF payments to State and local agencies) has been exhausted. Under no circumstances should DHS grant funding be used to pay for costs already supported by funding from another Federal source.

Operational overtime costs. In support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism, operational overtime costs are allowable for increased security measures at critical infrastructure sites. Funds for organizational costs may be used to support select operational expenses associated with increased security measures at critical infrastructure sites in the following authorized categories:

- Backfill and overtime expenses for staffing state or Major Urban Area fusion centers;
- Hiring of contracted security for critical infrastructure sites;
- Participation in Regional Resiliency Assessment Program activities;
- Public safety overtime;
- Title 32 or state Active Duty National Guard deployments to protect critical infrastructure sites, including all resources that are part of the standard National Guard deployment package (Note: Consumable costs, such as fuel expenses, are not allowed except as part of the standard National Guard deployment package); and
- Increased border security activities in coordination with CBP

UASI funds may only be spent for operational overtime costs upon prior approval provided in writing by the FEMA Administrator per the instructions in *IB 379*.

The following organization activities are allowable expenses:

- Program management;
- Development of whole community partnerships, through groups such as Citizen Corp Councils;
- Structures and mechanisms for information sharing between the public and private sector;
- Implementing models, programs, and workforce enhancement initiatives to address ideologically-inspired radicalization to violence in the homeland;
- Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors
- Operational Support;
- Responding to an increase in the threat level under the National Terrorism Advisory System (NTAS, or needs in resulting from a National Special Security Event; and
- Paying salaries and benefits for personel to serve as qualified intelligence analysts.

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13.3 Equipment

The 21 allowable prevention, protection, mitigation, response, and recovery equipment categories and equipment standards are listed on the Authorized Equipment List (AEL). The AEL is available in PDF format at *https://www.fema.gov/media-library/assets/documents/101566.* Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

HSGP funds may be used for the procurement of medical countermeasures. Procurement of medical countermeasures must be conducted in collaboration with state/city/local health departments who administer Federal funds from HHS for this purpose and with existing MMRS committees where available, in order to sustain their long term planning for appropriate, rapid, and local medical countermeasures, including antibiotics and antidotes for nerve agents, cyanide, and other toxins. Procurement must have a sound threat based justification with an aim to reduce the consequences of mass casualty incidents during the first crucial hours of a response. Prior to procuring pharmaceuticals, recipients must have in place an inventory management plan to avoid large periodic variations in supplies due to coinciding purchase and expiration dates. Recipients are encouraged to enter into rotational procurement agreements with vendors and distributors. Purchases of pharmaceuticals must include a budget for the disposal of expired drugs within each fiscal year's period of performance for HSGP. The cost of disposal cannot be carried over to another DHS/FEMA grant or grant period.

13.4 Training

The Regional Exercise and Training Program will be responsible for reviewing and approving all training requests. Allowable training-related costs under UASI include the establishment, support, conduct, and attendance of training specifically identified under the UASI grant program and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS, DOT). Training conducted using HSGP funds should address a performance gap identified through an AAR/IP or other assessments (e.g., National Emergency Communications Plan NECP Goal Assessments) and contribute to building a capability that will be evaluated through a formal exercise. Any training or training gaps, including those for children, older adults, pregnant women, and individuals with disabilities and others who also have or access and functional needs, should be identified in the AAR/IP and addressed in the state or Urban Area training cycle. Recipients are encouraged to use existing training rather than developing new courses. When developing new courses, recipients are encouraged to apply the Analysis, Design, Development, Implementation and Evaluation model of instructional design using the *Course Development Tool*.

Allowable training activities include, but are not limited to:

- Overtime and backfill for public safety, emergency preparedness and response personnel attending FEMA-sponsored and approved training classes
- Overtime and backfill for public safety, emergency preparedness and response personnel attending FEMA-sponsored and approved training classes

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- Overtime and backfill expenses for part-time and volunteer public safety and emergency response personnel participating in FEMA training
- Training workshops and conferences
- Full-time or part-time staff or contractors/consultants
- Travel
- Supplies
- Tuition for higher education
- Instructor certification/re-certification
- Training conducted using UASI funds should seek to address a gap identified in the Strategy, or through the Bay area's several specific training plans, an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through an exercise
- Coordination with Citizen Corps Councils in conducting training exercises
- Interoperable communications training

13.5 Exercise

The Regional Exercise and Training Program will be responsible for reviewing and approving Exercise requests. Exercises should be used to provide the opportunity to demonstrate and validate skills learned in training, as well as to identify training gaps. Any training or training gaps should be identified in the Strategy, AAR/IP and/or addressed in the Bay Area training plans and cycle. Exercises must be managed and executed in accordance with the Bay Area's Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP Guidance for exercise design, development, conduct, evaluation, and improvement planning is located at *https://www.fema.gov/exercise*. The HSEEP Library provides sample exercise materials and templates. Allowable exercise activities include, but are not limited to:

- Design, develop, conduct, and evaluate an exercise
- Exercise planning workshop
- Full-time or part-time staff or contractors/consultants
- Overtime and backfill costs, including expenses for part-time and volunteer emergency response personnel participating in FEMA exercises
- Implementation of HSEEP
- Activities to achieve exercises inclusive of people with disabilities
- Travel
- Supplies
- Interoperable communications expenses

All exercises using UASI funding must be NIMS/SEMS compliant. More information is available online at the NIMS Integration Center, *http://www.fema.gov/emergency/nims/index.shtm*.

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13.6 Maintenance and Sustainment

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable as described in FEMA Policy *FP 205-402-125-1* under all active and future grant awards, under all active and future grant awards, unless otherwise noted. With the exception of maintenance plans purchased incidental to the original purchase of the equipment, the period covered by maintenance or warranty plan must not exceed the period of performance of the specific grant funds used to purchase the plan or warranty.

Grant funds are intended to support projects that build and sustain the core capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to meet this objective, the policy set forth in GPD's IB 379 (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding) allows for the expansion of eligible maintenance and sustainment costs which must be in 1) direct support of existing capabilities; (2) must be an otherwise allowable expenditure under the applicable grant program; (3) be tied to one of the core capabilities in the five mission areas contained within the Goal, and (4) shareable through the Emergency Management Assistance Compact. Additionally, eligible costs must also be in support of equipment, training, and critical resources that have previously been purchased with either Federal grant or any other source of funding other than DHS/FEMA preparedness grant program dollars.

13.7 Law Enforcement Terrorism Prevention Allowable Costs

The following activities are eligible for use of LETPA focused funds:

- Maturation and enhancement of fusion centers, including information sharing and analysis, target hardening, threat recognition, and terrorist interdiction, and training/ hiring of intelligence analysts;
- Coordination between fusion centers and other analytical and investigative efforts including, but not limited to Joint Terrorism Task Forces (JTTFs), Field Intelligence Groups (FIGs), High Intensity Drug Trafficking Areas (HIDTAs), Regional Information Sharing Systems (RISS) Centers, criminal intelligence units, and real-time crime analysis centers;
- Implementation and maintenance of the Nationwide SAR Initiative (NSI), including training for front line personnel on identifying and reporting suspicious activities;
- Implementation of the "If You See Something, Say Something™" campaign to raise public awareness of indicators of terrorism and violent crime and associated efforts to increase the sharing of information with public and private sector partners, including nonprofit organizations;
- Training for countering violent extremism; development, implementation, and/or expansion of programs to engage communities that may be targeted by violent extremist radicalization; and the development and implementation of projects to partner with local communities to prevent radicalization to violence, in accordance with the Strategic

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Implementation Plan (SIP) to the National Strategy on Empowering Local Partners to Prevent Violent Extremism in the United States; and

- Increase physical security, via law enforcement personnel and other protective measures by implementing preventive and protective measures related to at-risk nonprofit organizations.

13.8 Critical Emergency Supplies

In furtherance of DHS's mission, critical emergency supplies, such as shelf stable food products, water, and basic medical supplies are an allowable expense under UASI. Prior to allocating grant funding for stockpiling purposes, Proposers must have FEMA's approval of a five-year viable inventory management plan which should include a distribution strategy and related sustainment costs if planned grant expenditure is over $100,000.

The inventory management plan and distribution strategy, to include sustainment costs, will be developed and monitored by FEMA GPD with the assistance of the FEMA Logistics Management Directorate (LMD). GPD will coordinate with LMD and the respective FEMA Region to provide program oversight and technical assistance as it relates to the purchase of critical emergency supplies under UASI. GPD and LMD will establish guidelines and requirements for the purchase of these supplies under UASI and monitor development and status of the State's inventory management plan and distribution strategy.

13.9 Construction and Renovation

Project construction using UASI funds may not exceed the greater of$1,000,000 or 15% of the grant award. For the purposes of the limitations on funding levels, communications towers are not considered construction.

Written approval must be provided by FEMA prior to the use of any HSGP funds for construction or renovation. When applying for construction funds, including communications towers, at the time of application, Proposers are highly encouraged to submit evidence of approved zoning ordinances, architectural plans, any other locally required planning permits and documents, and to have completed as many steps as possible for a successful EHP review in support of their proposal for funding (e.g., completing the FCC's Section 106 review process for tower construction projects; coordination with their State Historic Preservation Office to identify potential historic preservation issues and to discuss the potential for project effects). FEMA is legally required to consider the potential impacts of all projects on environmental resources and historic properties. Proposers must comply with all applicable environmental planning and historic preservation (EHP) laws, regulations, and Executive Orders (EOs) in order to draw down their HSGP grant funds. Completed EHP review materials for construction and communication tower projects must be submitted as soon as possible to get approved by the end of the period of performance. EHP review materials should be sent to *gpdehpinfo@fema.gov*.

HSGP Proposers wishing to use funds for construction projects must comply with the *Davis-Bacon Act* (40 U.S.C. 3141 *et seq.*). Recipients must ensure that their contractors or subcontractors for construction projects pay workers employed directly at the work-site no less

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than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor wage determinations, is available from the following website: *http://www.dol.gov/compliance/laws/comp-dbra.htm*.

13.10 Personnel

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable HSGP planning, training, exercise, and equipment activities. A personnel cost cap of up to 50 percent (50%) of total grant program funds may be used for personnel and personnel-related activities as directed by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412).

In general, the use of grant funds to pay for staff and/or contractor regular time or overtime/backfill is considered a personnel cost. Grant funds may not be used to support the hiring of any personnel for the purposes of fulfilling traditional public health and safety duties or to supplant traditional public health and safety positions and responsibilities.

The following are definitions as it relates to personnel costs:

- *Hiring*. State and local entities may use grant funding to cover the salary of newly hired personnel who are exclusively undertaking allowable /DHSFEMA program activities as specified in this guidance. This may not include new personnel who are hired to fulfill any non-DHS/FEMA program activities under any circumstances. Hiring will always result in a net increase of Full Time Equivalent (FTE) employees.
- *Overtime*. These expenses are limited to the additional costs which result from personnel working over and above 40 hours of weekly work time as a direct result of their performance of DHS/FEMA-approved activities specified in this guidance. Overtime associated with any other activity is not eligible.
- *Backfill-related Overtime*. Also called "Overtime as Backfill," these expenses are limited to overtime costs which result from personnel who are working overtime (as identified above) to perform the duties of other personnel who are temporarily assigned to DHS/FEMA-approved activities outside their core responsibilities. Neither overtime nor backfill expenses are the result of an increase of FTE employees.
- *Supplanting*. Grant funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or recipients may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

13.11 Operational Packages

Proposers may elect to pursue operational package (OPack) funding, such as Canine Teams, Mobile Explosive Screening Teams, and Anti Terrorism Teams, for new capabilities as well as sustain existing OPacks. Proposers must commit to minimum training standards to be set by the Department for all federally funded security positions. Proposers must also ensure that the capabilities are able to be deployable, through EMAC, outside of their community to support

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regional and national efforts. When requesting OPacks-related projects, Proposers must demonstrate the need for developing a new capability at the expense of sustaining existing core capability.

13.12 Unallowable Costs

Per FEMA policy, the purchase of weapons and weapons accessories is not allowed with HSGP funds.

Per the Anti-Deficiency Act, federal government personnel, or representatives thereof, are prohibited from participation in projects awarded to sub grantees. This includes the solicitation, selection and monitoring of sub grantees.

13.13 Unauthorized Exercise Costs

Unauthorized exercise-related costs include:

- Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles), medical supplies, and emergency response apparatus (e.g., fire trucks, ambulances).
- Equipment that is purchased for permanent installation and/or use, beyond the scope of the conclusion of the exercise (e.g., electronic messaging signs).

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Bay Area UASI Project Application

00000-FY16 Bay Area UASI

00038 - P25 Radio Purchase

Funding Category: East Bay Hub

Amount Requested: $510,775

Submitted

07/16/2015 9:01 AM

Status: PENDING

SAMPLE APPPLICATION

Project Lead

Name:*

Salutation	First Name	Middle Name	Last Name
Mr.	Joseph		Hughes

Title: Undersheriff

Email: joseph.hughes@bapsa.gov

Address: 123 Mainstreet

Suite 1

City	State/Province	Postal Code/Zip
Dublin	California	94568

Phone:* 510-555-1212 Phone 123 Ext.

Organization Information

Organization Name: Bay Area Public Safety Agency

Organization Type: County Government

Organization Website: www.bapsa.gov

Address: 578 Main st.

1st Floor

City	State/Province	Postal Code/Zip
Dublin	California	94568

Phone:* 510-555-1212 Ext. 123

Fax: 510-555-1213

E-mail Address bapsa@countygov.org

Categories of Funding

Operational Area (County): Alameda County

Is your agency directly affiliated with the City of Oakland? No

Will your project benefit three or more hubs? No

Will your project benefit two or more operational areas?
All projects must benefit 2 or more operational areas.

Yes

Please state which operational areas your project will benefit and how:

250 Characters Maximum

This cache of radios will be shared will Alameda and Contra Costa Counties.

Select an available funding category: East Bay Hub

SAMPLE APPPLICATION

Department Head Approval

Have you received approval from your department head to submit this application? Yes

Name	John	Smith
	FIRST	LAST
Title	Sheriff	
Agency	Local County Sheriff's Office	
Email	sheriff@bayareacounty.org	
Phone	555-111-2222	

Project Description

Select a goal: Goal 3: Communications

Select a Priority Capability Objective: Objective 3.1 Operational Communications

Objective

Select the applicable FEMA Core Capability for your project: Operational Communications

Select a nexus to terrorism: This project will enhance regional capacity to: Respond to Terrorist Attacks

Describe the nexus to terrorism in detail: This cache of interoperable radios will allow us to communicate effectively during a mutual aid terrorist incident.

300 Characters Maximum

Select all applicable outcomes: Yes

a) During the first 24 hours following a no-notice incident, responders share mission critical voice information with each other and with responders from across the Bay Area region.

Yes

b) Ensure local or regional emergency communications systems are based on established governance, standard operating procedures, and technology.

Project Summary- Provide a brief description of your project: We would like to purchase a cache of P25 Interoperable Radios for response operations during a major terrorist incident that requires mutual aid.

SAMPLE APPPLICATION

Project Timeline

Total Project Time

Months 6

Project Dates

01/01/2017 — Project Start Date

07/01/2017 — Project End Date

Milestones

Milestones Minimum 5	Estimated Completion Date
Obtain Quotes	01/13/2017
Issuance Of PO	02/01/2017
Receive Equipment	04/15/2017
Test Equipment	05/15/2017
Submit Reimbursement Documentation	05/30/2017

Project Budget POETE

Category: Fill In amounts in any applicable category:

Planning:	$0.00
Organization:	$0.00
Equipment:	$510,775.00
Training:	$0.00
Exercises:	$0.00

SAMPLE APPPLICATION

Equipment Details

Select a category of FEMA Authorized Equipment	Select the appropriate AEL #	Quantity	Price Each	Sales Tax	Shipping	Training	Installation	Subtotal
Interoperable Communications Equipment	06CP-01- PORT Radio, Portable	100.0	$4,750.00	7.5%	$150.00	$0.00	$0.00	**$510,775**
Equipment Totals:			**$4,750.00**	**$35,625.00**	**$150.00**	**$0.00**	**$0.00**	**$510,775**

Total Amount Requested: $510,775

To: **Bay Area UASI Approval Authority**

From: **Tom Wright, Commander, Training & Exercise Project Manager**
Corinne Bartshire, Yellow Command Exercise Director

Date: **August 13, 2015**

Re: **Item 8: Urban Shield 2015 Update**

Staff Recommendations:

None

Action or Discussion Items:

Discussion

Discussion:

This presentation is being provided as an update for the UASI Approval Authority regarding the status of the 2015 Urban Shield full scale exercise. The report highlights the background and history of Urban Shield, the overarching goals for 2015, a brief overview of the multi-disciplinary scenarios being provided this year, and an examination of the regional partners involved in the development of the exercise. The report will also include a brief explanation of the Yellow Command component which is focused on building Bay Area capabilities to prepare for Super Bowl 50.

The presentation will be provided by this year's Urban Shield Incident Commander, Captain Shawn Sexton and Urban Shield Yellow Command Exercise Director, Corinne Bartshire.

FLIGHT 93
PENTAGON
SHERIFF
HONOR THE PAST
TRAIN FOR THE FUTURE
2015
URBAN SHIELD®
ALAMEDA COUNTY SHERIFF'S OFFICE

Urban Shield Overview

- September 11-14, 2015
- 200+ partners
- Scenario sites Counties of Alameda, Contra Costa, San Francisco, San Mateo, and Santa Clara

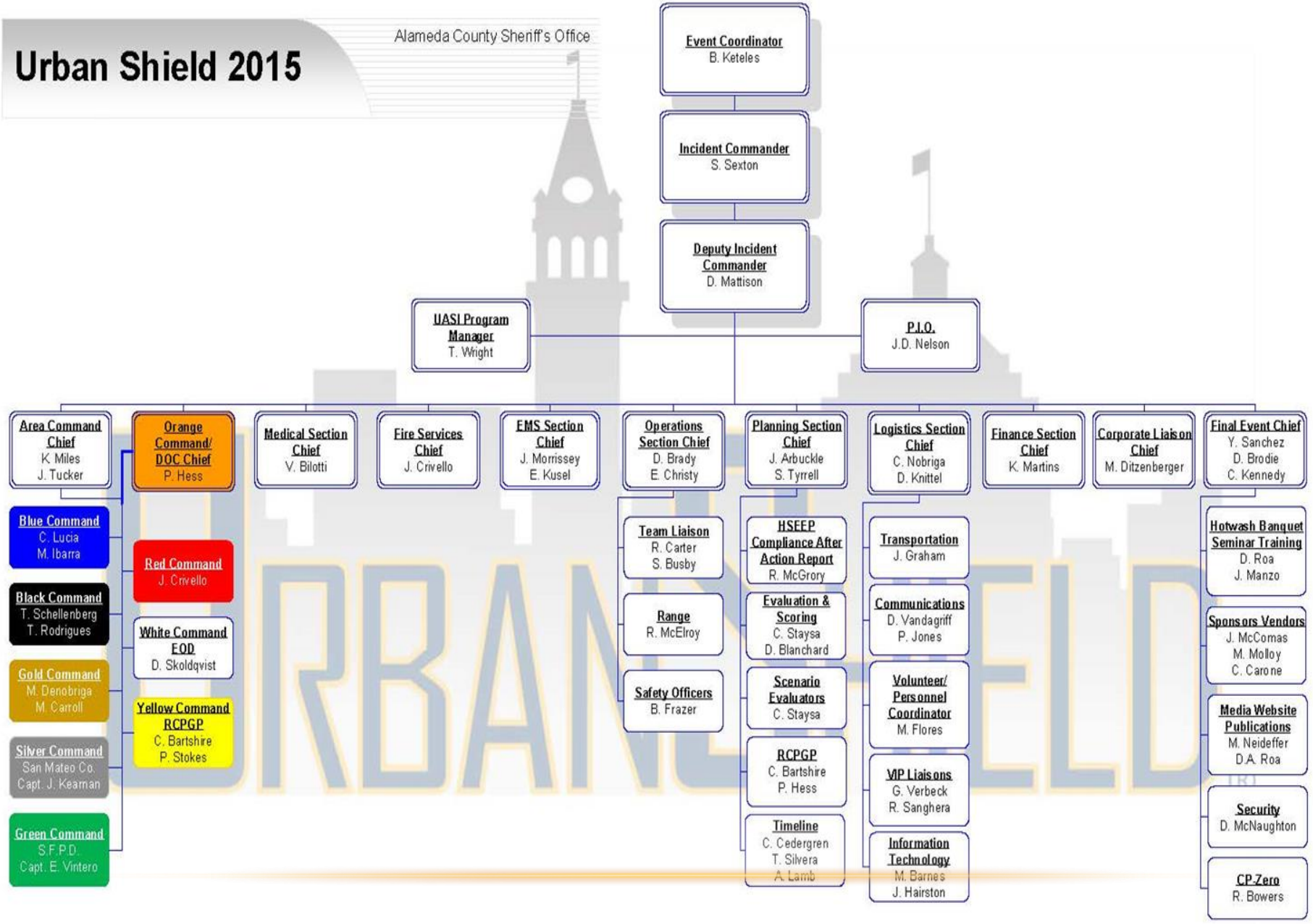
Urban Shield goals

Main Goals

- Enhance the skills and abilities of regional first responders
- Identify and stretch regional resources to their limits
- Test core capabilities
- Enhance regional collaboration and build positive relationships

Urban Shield 2015

Alameda County Sheriff's Office



Rev. 6/8/15

Participating Teams

- 36 Tactical Teams
- 17 Fire Agencies
  - HazMat, Technical Rescue/USAR, Water Rescue/Maritime
- 8 EOD Teams

Scenarios

- 31 Tactical Scenarios
- 17 Fire Scenarios
- 4 Medical Checkpoints
- 4 EOD Scenarios
- Regional Attack

Red Area Command

HAZMAT

- Radiation and biological agents
- Chemical warfare, attacks, and leaks
- Oil by rail

Red Area Command

USAR

- Building collapse
- Trench and high-angle rescue
- Heavy lift operations

Red Area Command

Water Rescue

- Ferry emergency
- Boom deployment
- Towing and victim recovery
- EMS and Fire

Yellow Command - September 11, 2015

Functional and full-scale exercise in response to a complex coordinated attack

- **Explosion at Levi's Stadium during Bay Bowl**
- **Explosion at Cal Hill Park Tunnel in Marin (SMART tracks)**
- **Shooting and VIP hostage situation at Pebble Beach golf tournament**

Yellow Command Regional Objectives

Infrastructure Systems

- Exercise Regional Mass Transportation and Evacuation Plan

Situational Assessment

- Maintain common operating picture and situational awareness

Yellow Command Regional Objectives

Operational Communications

- Test communications and interoperability utilizing radios and satellite phones

Operational Coordination

- Connect live tactical exercise to EOCs through on-scene unified command

Yellow Command Regional Objectives

Public Information and Warning

- Exercise and evaluate a Bay Area Regional Joint Information System
- Practice coordinated use of Mass Notification and Warning Systems

Yellow Command Locations

- Levi's Stadium
- Marin County
- 9 Op Area EOCs
- 4 Local EOCs
- Cal OES REOC
- FBI EOC
- WETA EOC
- BART, VTA, and SMART EOCs
- FEMA Region IX Watch Center
- Super Bowl 50 JIC

QUESTIONS?

2015
URBANSHIELD
EVENT DATE – Sept. 11th - 14th 2015
HONOR THE PAST
TRAIN FOR THE FUTURE

To: **Bay Area UASI Approval Authority**

From: **Corinne Bartshire, Project Manager**

Date: **August 13, 2015**

Re: **Item 9: Super Bowl 50 Regional Preparation Update**

Staff Recommendations:

None

Action or Discussion Items:

Discussion

Background:

On April 9, 2015, the Approval Authority allocated $350,000 for Super Bowl 50 Regional Coordination to be managed by the UASI Management Team. A contract has been awarded to Tetra Tech for three key services: 1) Development of an Emergency Management Large Events Concept of Operations Plan Template, 2) Stakeholder Engagement / Regional Workshops, and 3) Planning Liaison Support for Super Bowl 50.

Discussion:

This presentation is being provided as an update for the UASI Approval Authority regarding the accomplishments to date and future activities included in the Super Bowl 50 Regional Preparation efforts.

The attached Appendix A is a summary of the scope of work for these efforts.

The attached Appendix B is a Power Point presentation to support discussion of this item.

The Tetra Tech contract consists of three key components as described below.

1) **Development of Emergency Management Large Event Concept of Operations Plan (CONOPS) Template** – The CONOPS Plan Template will be available to Operational Area EOCs and the Coastal REOC for use on Super Bowl Game Day and future large special events within the Bay Area. The CONOPS Plan Template will reference and integrate with current regional plans and procedures such as the Regional Emergency Coordination Plan. The CONOPS Plan Template will include elements that may be integrated into local EOC Action Plans.

   Milestone Planning Meetings:
   a. August 10, 2015 – Kickoff and Information Analysis Brief
   b. August 20, 2015 – Course of Action Meeting
   c. December 9, 2015 – CONOPS Validation Meeting

2) **Stakeholder Engagement / Regional Workshops** – Content for the Regional Large Event CONOPS will be collected and developed through coordination with established working groups, individual meetings with key personnel, and/or regional workshops as appropriate. Any regional workshops may serve a dual purpose of informing the Regional Large Event CONOPS as well as the Yellow Command 2015 exercise design.

   Regional Workshops:
   a. June 1, 2015 – Information Sharing – identify and clarify how tools within the EOC such as CalEOC and CalCOP are used to develop a regional common operating picture

   b. July 16, 2015 – Interoperable Radio Communications Planning – define the components to evaluate during 2015 Yellow Command and inform the Regional Large Events CONOPS

   c. July 23, 2015 – Public Information – address coordination among Bay Area PIOs to identify components of the Regional JIC/JIS reporting to Bay Area EOCs to evaluate during 2015 Yellow Command

   d. August 27, 2015 – Day-to-Day Operations – review how the region plans to maintain day-to-day emergency management obligations while supporting a large special event

   e. October 29, 2015 – Mutual Aid Pre-Planning – examine how the region may utilize mutual aid pre-planning, and what, if any, assets could be pre-staged prior to a large special event to meet day-to-day obligations and large special event needs. Examine how the Operational Area Mutual Aid Coordinators effectively order, track and deploy mutual aid assets for large special events in coordination with the Region and State.

   f. January 13, 2016 – CONOPS Training and Orientation – provide an overview of the CONOPS Plan Template document and provide guidance on how it might be utilized by jurisdictions in the region.

3) **Planning Liaison Support** – A dedicated part-time planner will support the City of Santa Clara, the County of Santa Clara and the City and County of San Francisco on a weekly basis. Tasks may include support planning for Super Bowl 50, specific jurisdictional input into the Regional Large Events CONOPS, and/or EOC readiness activities. The additional identified key jurisdictions of Alameda County, San Mateo County, City of Palo Alto, City of San Jose, and City of Oakland will be assigned a planning liaison from the Tetra Tech team for streamlined coordination in developing the Regional Large Events CONOPS Template.

BAY AREA UASI

Super Bowl 50 Regional Preparation Update

August 13, 2015

Corinne Bartshire
Regional Resilience and Recovery Project Manager
Bay Area UASI

Purpose

- Develop Emergency Management Large Event Concept of Operations (CONOPS) Plan Template
  - For use during Super Bowl 50 and future events
- Leverage Yellow Command 2015 to vet Regional CONOPS Plan and build capabilities
- Provide planning staff support to key jurisdictions

CONOPS Template

- Purpose / Background
- Introduction / Regional Coordination
- How to Use the Template
- Roles & Responsibilities
- Coordination
- Communications
- Transit/Transportation
- Essential Elements of Information

CONOPS Planning Process

June 2015	July	Aug	Sept	Oct	Nov	Dec	Jan 2016	Feb
<- Coordinate with Super Bowl 50 Public Safety Committees ->								
Info Sharing Wkshp (6/1)	Interop Radio Planning Wkshp (7/16) Public Info Wkshp (7/23)	Milestone Planning Meetings (8/10 and 8/20) Day to Day Operations Wkshp (8/27)	Yellow Command Exercise (9/11)	Mutual Aid Wkshp (10/29)		Plan Validation Workshop (12/9)	Plan Orient -ation (1/13)	Super Bowl 50 (2/7)
			CONOPS Plan Review & Comment Period					

CONOPS Content Development

Workshops Completed

- Information Sharing (June 1, 2015)
- Interoperable Radio Communications Planning (July 16, 2015)
- Public Information (July 23, 2015)

CONOPS Content Development

Future Workshops

- Day to Day Operations (August 27, 2015)
- Mutual Aid Pre-Planning (October 29, 2015)
- CONOPS Training and Orientation (January 13, 2016)

CONOPS Milestone Planning Meetings

- Kickoff and Information Analysis Brief (August 10, 2015)
- Course of Action Meeting (August 20, 2015)
- CONOPS Validation Meeting (December 9, 2015)

Stakeholder Engagement

- Emergency Management Steering Committee
- Coordination with Super Bowl 50 Committees
- Leverage Yellow Command Exercise Planning Team
- Expanded CONOPS Planning Team

Super Bowl 50 Planning Support

- County of Santa Clara
  (1 day per week)
- City of Santa Clara
  (1/2 day per week)
- San Francisco
  (1 day per week)

- City of Palo Alto
  City of San Jose
  City of Oakland
  County of Alameda
  County of San Mateo
  (virtual support)

Questions?

BAY AREA UASI

To: **Bay Area UASI Approval Authority**

From: **Corinne Bartshire, Project Manager**

Date: **August 13, 2015**

Re: **Item 10: Emergency Agreements Analysis**

Staff Recommendation:

None

Action or Discussion Item:

Discussion

Discussion:

This item serves as a closeout briefing on the Bay Area UASI's Emergency Agreements Analysis. The goal of this analysis was to evaluate whether overlapping agreements exist for emergency response and recovery support across the Bay Area jurisdictions. Efforts included interviews with emergency managers and collection of vendor names with whom jurisdictions hold emergency agreements. The analysis focused on vendors identified through public works departments, specifically those pertaining to the restoration of critical lifelines such as transportation and debris removal, electrical power restoration and fuel distribution, water systems, and communications capabilities. Results of the analysis are presented in the attached Bay Area Emergency Agreements Analysis Summary Report. This report includes recommendations from the RCPT to continue evaluating and establishing emergency agreements necessary to build response and recovery capabilities in the Bay Area.

The attached Appendix A is the complete Summary Report.

The attached Appendix B is a PowerPoint presentation to support discussion of this item.

BAY AREA UASI

Bay Area Emergency Agreements Analysis

Summary Report

Bay Area Urban Areas Security Initiative (UASI)

The Bay Area UASI
711 Van Ness Avenue, Suite 420
San Francisco, CA 94102

DATE PREPARED: July 2015

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Administrative Handling Instructions

The title of this document is "Bay Area Emergency Agreements Analysis."

All materials have been developed to support the local government jurisdictions in the Bay Area Urban Areas Security Initiative (UASI) region and should not be shared or duplicated, in whole or in part, without prior approval from the Bay Area UASI Management Team. This report is For Official Use Only (FOUO) and should be handled as sensitive information.

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Executive Summary

Project Purpose

The goal of the Bay Area Emergency Agreements Analysis was to evaluate the extent of overlapping agreements across Bay Area jurisdictions in regard to receiving support during an emergency from partner agencies and non-governmental organizations (NGOs), including the private sector, as they relate to transportation, debris removal, electrical power, fuel distribution, water systems, and communication connectivity.

Key Question

Are Bay Area jurisdictions establishing agreements with the same vendors, entities, agencies and NGOs, and thus running the risk of inadequate resources during emergency response and recovery?

Project Approach

The analysis included interviews with Office of Emergency Services (OES) managers and subject matter experts and collection of emergency vendor names from participating jurisdictions, largely focusing on emergency vendors identified by public works departments.

Key Findings

- More than 60 vendors throughout the Bay Area have agreements with two or more jurisdictions to support emergency response and recovery efforts in the public works sector.
- More than 9 vendors have public works agreements with four or more jurisdictions.
- The role of OES offices in establishing emergency agreements is often unclear.
- Emergency Operations Center (EOC) staff are untrained in emergency procurement or protocols for activating emergency agreements to access necessary resources in an emergency response effort.
- There are many unofficial relationships that are expected to provide aid and support during an emergency, but these have not been documented as official agreements.
- Most jurisdictions plan to utilize mutual aid agreements with other local emergency providers (fire, police, etc.) as well as the California Master Mutual Aid Agreement.

Results and Recommendations

- Collection of vendor names from public works departments resulted in the identification of several vendors which have emergency agreements with four or more jurisdictions in the Bay Area. These are shown in red in *Table 1. Overlapping Vendor Agreements*. Further research to identify additional overlapping agreements through other departments is necessary to fully comprehend the potential for a strain on resources in an emergency in the Bay Area.
- Through interviews with OES managers, it was clear that there is more to understanding emergency agreements than collecting identified vendor names. Thus, a series of recommendations are presented in Section 3. Regional Catastrophic Planning Team (RCPT) Recommendations for future consideration.

Next Steps

The UASI Management Team and the RCPT recommend follow up on the recommendations in this report, with a focus on one critical lifeline service area each calendar year.

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1. Introduction

Background

"Emergency agreements" are defined as written contracts, Letters of Agreement (LOAs), Memorandums of Understanding (MOUs), Blanket Purchase Agreements (BPAs), and any other type of documented official paperwork or verbal "handshake" agreements that explicitly describe an understanding of expectations and responsibilities between vendor(s), private sector, and government organizations to support an emergency response and recovery effort.

California has one of the most comprehensive strategies in the country for rapidly accessing emergency resources. Its state strategies include jurisdictional agency resources, limited local agreements, and large-scale resource mobilizations through the California Master Mutual Aid System (CMMAS). Due to this, automatic or mutual aid contracts are routinely used as part of the initial response to a large scale emergency. Once an incident exhausts the capabilities of the local jurisdiction and its emergency agreements with neighboring entities, the next steps usually involve requesting aid through the CMMAS.

In many ways, the Bay Area region exemplifies all of the best practices of the state in managing emergencies. The Bay Area Emergency Agreements Analysis aimed to showcase the region's strongest capabilities while also providing insight on capabilities that may use some further improvement through the development of emergency agreements to support a large scale, regional emergency response. The Bay Area expects successful utilization of mutual aid agreements both with the state and between jurisdictions. This report illustrates and analyzes the identified overlapping vendors anticipated to provide emergency support services and resources throughout the Bay Area.

Goal and Justification

The goal of the Bay Area Emergency Agreements Analysis project was to evaluate the extent of overlapping agreements across Bay Area jurisdictions in regard to receiving support during an emergency from partner agencies and non-governmental organizations (NGO's), including the private sector, as they relate to transportation, debris removal, electrical power, fuel distribution, water systems, and communication connectivity.

Ensuring secure and reliable agreements with vendors and partners for assistance during times of disaster is critical for local governments to provide efficient emergency response and recovery. Through the development of the Regional Emergency Coordination Plan (RECP) with nine RECP Subsidiary Plans and the eight Bay Area Regional Catastrophic Earthquake Plans, the Bay Area jurisdictions realized that vendors and partners may have engaged in overlapping commitments. Prior to this analysis, there had been no research conducted to assess the number or types of emergency agreements in the Bay Area. Thus, it was unknown whether the Bay Area jurisdictions could potentially face a shortage of resources in an emergency due to vendors having committed

to supporting multiple jurisdictions. This project was identified as a priority at the August 2014 Approval Authority meeting in order to build the region's capabilities in the infrastructure systems core capability, which continues to be the region's most critical risk and gap area.

Impact

The results and recommendations based on this analysis provide a foundational understanding of current vendors and agreements the Bay Area jurisdictions plan to utilize for services and resources to support disaster response and recovery efforts. Establishing a combined inventory of vendor names and agreements helps the region identify where potential strains for emergency resources and support may occur. Members of local government will benefit from the identified recommendations to help the region continue developing response and recovery capabilities.

Participants

Interviews were conducted with the Bay Area UASI jurisdiction OES managers and/or their recommended subject matter experts in the cities of Oakland, San Francisco, San Jose and the following counties: Alameda, Marin, Monterey, San Benito, San Mateo, Santa Clara, Santa Cruz, Solano, and Sonoma. A full list of the interview questions can be found in Appendix B.

Vendor agreement information was requested from all of the Bay Area UASI Operational Areas and Core Cities. This report includes analysis of information received from the following agencies:

1. County of Alameda, Department of Public Works (DPW)
2. County of Marin, Department of Public Works (DPW) and Fire Department
3. County of San Benito, Department of Public Works (DPW)
4. City and County of San Francisco, Department of Public Works
5. City of San Jose, Department of Transportation
6. County of San Mateo, Sheriff's Office
7. County of Santa Clara, Procurement
8. County of Santa Cruz, Department of Public Works (DPW)
9. County of Solano, Purchasing/ Central Services Division
10. County of Sonoma, General Services

2. Analysis and Results

Overlapping Vendor Agreements

Many Bay Area jurisdictions have agreements with vendors to help repair critical lifelines after a disaster or damaging event, but some have not pre-established agreements for use during an emergency. Bay Area UASI jurisdictions were asked to provide a list of vendor names and the anticipated services they would provide to support disaster response and recovery efforts. This analysis did not involve any exchange of legal documents or copies of contracts. An excel database was developed to consolidate the collected vendor names and cross-reference each jurisdiction's provided list. Refer to *Table 1: Overlapping Vendor Agreements* for an illustration of the overlapping vendor agreements. At the time this report was completed, information had been collected largely from public works departments in ten participating jurisdictions and the State of California.

The results of this analysis show that nearly 60 vendors have agreements with two or more jurisdictions within the Bay Area and/or the State of California. Commitments to multiple entities may make it difficult or impossible to deliver adequate assistance supporting disaster response and recovery. Further research is necessary, but for the purposes of this report, it is assumed that there could be a consequence of strained resources where any vendor has made agreements with four or more jurisdictions. These situations have been highlighted in red in *Table 1: Overlapping Vendor Agreements.*

> "VENDOR LISTS CONSIST OF CONTRACTORS WHO ARE *INTERESTED* IN PERFORMING EMERGENCY WORK."
> SF DPW

A full list of the 1,400+ vendor names collected from each participating jurisdiction is available upon request. The jurisdictions highlighted in gold in Table 1 had not provided vendor names at the time this report was produced.

OES Manager Interviews

Of the fourteen Bay Area UASI jurisdictions, twelve participated in the OES manager interview process. Based on interview feedback, the data collection efforts focused on collecting vendor information from the various departments of public works (DPWs). It is understood, or expected, by most OES managers that DPWs have a "pool of vendors" to be utilized in times of emergency.

Through interviews with the OES managers, it was confirmed that there is no consistent or centralized method for documentation of emergency vendor agreements held in the Bay Area. Each jurisdiction manages emergency vendor agreements individually and through a variety of methods. For example, many jurisdictions, like San Francisco, San Jose, and Solano Counties, maintain pre-qualified vendor pools in key departments such as DPWs. In order to create these vendor pools, DPWs invite interested contractors to apply by answering a series of

questions, concerning their services and capabilities, and providing their contactor license number. This process validates interested parties as eligible contractors for emergency procurement, and Bay Area jurisdictions include them in their emergency contractor list. Essentially, this process manages emergency vendor agreements by creating and populating a vendor registry. It is vital to highlight that the majority of identified vendors are for *intended* use, and not necessarily *guaranteed* use. Vendors may be added to a list of possible resources, but this does not mean that there has been a formal MOU, or equivalent, determined between the vendor and the jurisdiction.

Debris management is an exceptional example of why a jurisdiction may not actually enter into an official contract with a vendor. According to San Jose's Construction and Engineering Emergency Action Plan, FEMA actually discourages pre-contracting for debris removal due to potential unfavorable or inflexible terms during a disaster.

> THIS AVAILABILITY, WE HAVE NOT HAD TO MAINTAIN AN EMERGENCY RESOURCE DIRECTORY FOR MANY YEARS."
>
> Marin county Fire Department

A different approach to managing vendor agreements comes from Marin County, which no longer keeps a registry of vendors. According to Deputy Fire Chief, Mark Brown, through Marin's ordering system with CAL FIRE, the fire department no longer maintains a list of vendors. In the past, this list was referred to as their Emergency Resource Directory. Instead, Marin utilizes CAL FIRE's system through the Resource Ordering Status System (ROSS) and Hired Equipment Management System (HEMS). Marin's approach also serves as a clear example as to why efforts to understand vendor and agreement capabilities goes beyond exclusively collecting vendor names. It is vital that continuing efforts to understand emergency agreements include an in-depth interview component to allow jurisdictions to provide specifics on their city or county's vetting process, relationship development methods, and/or specific challenges they may face. See *Appendix A* at the end of this document for summary information from the interviews conducted with participating jurisdictions during this analysis.

Table 1: Overlapping Vendor Agreements

Vendor	Service	Critical Lifeline	Alameda	Contra Costa	Marin	Monterey	Napa	Oakland	San Benito	San Francisco	San Jose	San Mateo	Santa Clara	Santa Cruz	Solano	Sonoma	State BOC	Total
IBM	business machines	Communications									x		x					2
MOTOROLA INC	mobile phone provider	Communications	x										x					2
COMCAST	Mass media services	Communications	x											x				2
AMERICAN REPROGRAPHICS CO LLC	technology enabled solutions to document and information management	Communications	x										x					2
ADVANCED COMMUNICATION DESIGNS INC	developer and manufacturer of interactive digital audio and video delivery systems	Communications	x								x							2
PITNEY BOWES INC	ecommerce solutions, shipping and mailing	Communications									x		x					2
U S BANK TRUST NATIONAL ASSOCIATION	banking services and solutions	Communications	x										x					2
VERIZON WIRELESS	wireless service provider	Communications	x										x					2
GRAINGER	commercial and industrial supplies	Debris	x								x					x	x	4
GRANITEROCK COMPANY	concrete, Building Materials	Debris	x							x	x	x	x	x				6
GRANITE CONSTRUCTION	construction materials and management	Debris	x						x		x							3
ASHBRITT	dump trucks	Debris	x		x	x										x		4
ENNIS PAINT INC	pavement marking	Debris	x								x		x					3
HERTZ EQUIPMENT RENTAL	rental equipment for heavy construction, industrial, government projects	Debris			x									x	x	x		4
GHILOTTI	road repair and construction	Debris	x		x					x						x		4
ALL AMERICAN RENTALS	construction materials and industrial equipment rentals	Debris								x					x			2
CRESCO EQUIPMENT RENTALS	equipment rentals	Debris										x		x	x	x		4
HILTI, INC	Production of construction tools and applications	Debris	x								x							2
NIXON EGLI EQUIPMENT COMPANY	road construction equipment specialists	Debris	x												x			2
PAPE MACHINERY INC	heavy equipment dealer	Debris	x								x				x	x		4

Vendor	Service	Critical Lifeline	Alameda	Contra Costa	Marin	Monterey	Napa	Oakland	San Benito	San Francisco	San Jose	San Mateo	Santa Clara	Santa Cruz	Solano	Sonoma	State BOC	Total
UNITED RENTALS NORTHWEST, INC.	rental equipment and tool classes that serve industrial and construction sites	debris												x	x	x		3
ZAP MANUFACTURING INC	traffic sign recycling	Debris	x								x							2
HOME DEPOT	building supplies	Debris-volunteer							x		x		x			x	x	5
PETERSON TRACTOR CO	Caterpillar dealer	Debris, Transportation	x													x		2
KOFFLER ELECTRICAL MECHANICAL APPARATUS	varied electrical repair services	Electrical	x													x		2
COLUMBIA ELECTRIC INC	Electrical contractor, public electrical utilities (ie. Street lights & traffic signals)	Electrical	x								x							2
GRAYBAR ELECTRIC COMPANY	industrial and electrical supplies distribution	Electrical	x										x					2
PETERSON POWER SYSTEMS INC	Provides diesel and natural gas generators	Electrical	x										x					2
IRON MOUNTAIN	document shredding, data and records management	NA-facilities	x										x					2
OWEN EQUIPMENT SALES	environmental equipment sales, rental, and service	NA-Facilities	x								x							2
PRO SWEEP INC	commercial maintenance	NA-facilities									x		x					2
RICOH USA INC	copier and printing solutions	NA-facilities	x										x					2
STEEL FENCE SUPPLY	fence materials and accessories	NA-facilities									x			x				2
SYAR INDUSTRIES INC	construction supplies	NA-facilities	x													x		2
POWER ENGINEERING CONTRACTORS INC	builds complex marine construction and civil engineering projects	NA-facilities	x							x								2
SEARS	various services including department store and construction equipment retail	NA-facilities											x				x	2
COMPUTER MAGIC TRAINING	computer training	NA-facilities									x		x					2
PRO DOOR AND GLASS	doors and glass	NA-facilities									x		x					2

Vendor	Service	Critical Lifeline	Alameda	Contra Costa	Marin	Monterey	Napa	Oakland	San Benito	San Francisco	San Jose	San Mateo	Santa Clara	Santa Cruz	Solano	Sonoma	State BOC	Total
KONE INC	elevators	NA-facilities									x		x					2
CINTAS	facilities supplies	NA-facilities									x		x					2
MISSION LINEN SUPPLY	linen and uniform service	NA-facilities	x										x					2
HEWLETT PACKARD CO	multinational information technology company - provides hardware and software	NA-facilities	x										x					2
TARGET SPECIALTY PRODUCTS	agricultural chemicals, products, supplies	NA-landscaping									x		x					2
LOWES COMPANIES INC.	home improvement	NA-volunteering							x		x						x	3
TELFER OIL COMPANY	production, transfer, and distribution of asphalt products	Transportation	x													x		2
REED & GRAHAM	asphalt / road repair	Transportation									x	x	x					3
MARK THOMAS & CO INC	civil and structural engineering	Transportation	x								x							2
WATTIS CONSTRUCTION COMPANY	general contracting	Transportation							x		x							2
CONTRACT SWEEPING SERVICES	road cleaning	Transportation									x		x					2
MUNICIPAL MAINTENANCE EQUIPMENT INC	Provides municipal maintenance and stocks parts, also provides training for municipal equipment	Transportation	x								x							2
SAFEWAY SIGN COMPANY	manufacturer in traffic control signs and reflective metal guidance	Transportation	x								x						x	3
TOM LOPES DISTRIBUTING CO INC	oil company	Transportation	x										x					2
URS CORPORATION	provider of engineering, construction, and technical services	Transportation	x								x							2
FEDEX	global courier delivery service	Transportation	x										x				x	3
JMB CONSTRUCTION, INC	pipeline construction, pump stations, treatment plants	Water System	x								x							2
BURR PLUMBING AND PUMPING	plumbing and pumping	Water system									x		x					2
UNITED SITE SERVICES	portable toilets	Water system	x										x	x		x		4

Vendor	Service	Critical Lifeline	Alameda	Contra Costa	Marin	Monterey	Napa	Oakland	San Benito	San Francisco	San Jose	San Mateo	Santa Clara	Santa Cruz	Solano	Sonoma	State BOC	Total
RAIN FOR RENT	portable water tanks	Water system								x						x		2
ALPHA ANALYTICAL LABORATORIES	water / environmental testing	Water system											x			x		2
FERGUSON ENTERPRISES INC	plumbing and building supplier	Water System	x													x		2
PACE SUPPLY CORP	plumbing	Water system											x			x		2
BKF ENGINEERS	engineering, surveying, planning	Water, Debris	x								x							2
EXARO TECHNOLOGIES CORPORATION	Public engineering and building	Water, Transportation, Debris	x							x								2
JA MOMANEY SERVICES INC	Landscaping and construction	NA-facilities	x										x					2

3. Regional Catastrophic Planning Team (RCPT) Recommendations

Recommendations

Based on the results of the interviews with OES managers and the vendor name data collection process, the Bay Area UASI Regional Catastrophic Planning Team (RCPT) realized there is more to understanding emergency agreements than just collecting pre-identified vendor names. The RCPT developed several recommendations to continue improving response and recovery capabilities within the region. Each are presented as a solution to identified gaps and the completed analysis.

The following gaps and recommendations apply to the Bay Area region and were developed based on the shared concerns and suggestions of participating OES managers

Vendor Contracts and Agreements

GAP 1

The Bay Area region does not have a comprehensive understanding of emergency vendors or agreements held by the Operational Areas and major cities.

Analysis

The results of this Bay Area Emergency Agreements Analysis show that several jurisdictions have agreements to seek services and resources from the same vendors in the public works sector alone. Additional analysis is needed to evaluate whether these vendors have the capacity to serve multiple jurisdictions in a critical incident. In addition, further research is needed to create a more complete understanding of emergency agreements as they relate to restoration of critical lifelines.

Recommendation

The Bay Area UASI Management Team should continue collecting vendor names and emergency agreement information from the various departments within the Bay Area footprint, as well as analyze the consequences of any overlaps that are identified. The UASI Management Team will need the support of Local OES managers to provide introductions and other helpful information to effectively collect the data as well as review and provide comments on the results.

Gap 1	Recommendation
1.	UASI to continue vendor agreement data collection in critical lifeline service provider areas of transportation, debris removal, electrical power, fuel distribution, water/wastewater systems, and communications. UASI to provide OES managers with jurisdiction specific information collected.
2.	UASI to prepare regional summary of overlapping emergency agreements
3.	UASI to analyze consequence of overlapping agreements, with input from regional stakeholders and SMEs

Utilizing Vendor Resources

GAP 2

EOC staff and OES managers are not trained on how to develop or utilize available vendor resources to support an emergency response and recovery effort.

Analysis

Many jurisdictions have pre-arranged agreements with vendors to provide services and resources in an emergency situation. Emergency procurement policies and procedures may vary with each jurisdiction. It is critical for Finance and Administration and Logistics Section EOC staff to be aware of pre-arranged vendor agreements and trained on the process to execute emergency procurements in a timely manner.

OES managers need to clearly understand their roles in establishing and tracking emergency agreements. It is expected that each jurisdiction's Department of Public Works (DPW) has an available "pool of vendors" with whom predetermined expectations and services have been developed. Many DPW vendor lists function as a registry, largely consisting of contractors who are interested in performing emergency work.

Recommendation

The UASI Management Team can continue to provide training and exercise opportunities to practice operational coordination supporting the procurement of resources or activation of emergency agreements to restore critical lifelines.

The Bay Area UASI's Training and Exercise Program offers Finance/Admin and Logistics Section EOC section training at no cost to local government staff within the Bay Area. The RCPT Training & Exercise Sub-Committee should work with the UASI Training & Exercise Workgroup to vet and confirm the course curriculum to ensure it meets the needs of training EOC staff on how to activate emergency agreements.

Gap 2	Recommendation
1.	UASI Management Team to vet and confirm Finance/Admin and/or Logistics EOC Section training curriculum as it relates to emergency vendor agreements.
2.	UASI to conduct Finance/Admin and/or Logistics EOC Section training
3.	Clarify the role of the OES Manager in establishing emergency agreements
4.	UASI to conduct operational coordination trainings and exercises (i.e. Yellow Command)

Transportation Agency Roles

GAP 3

Transportation agencies' plans for restoring service following a disaster are not well understood in local jurisdictions.

Analysis

Transportation agencies are critical partners in establishing transportation routes and services following a disaster event. Often times, Bay Area transportation agencies prepare emergency operations plans (EOPs) separate from those of local government. It is critical for local government EOPs to coordinate with transportation agency EOPs to facilitate an effective emergency response and recovery. It is only when such plans are better understood that the region can investigate the potential for overlapping emergency agreements in this sector.

Recommendation

Working through the RCPT, the Bay Area UASI should conduct a regional workshop discussion to review EOP efforts regarding transportation resources and procedures in a disaster. In partnership with the Metropolitan Transportation Commission (MTC), and through the RCPT, the Bay Area UASI should establish a regional working group to confirm/validate transportation agency roles in a disaster and investigate the potential for overlapping emergency agreements in this sector.

Gap 3	Recommendation
1.	UASI and MTC to create a Regional Transportation Working Group through the RCPT
2.	UASI to review and implement After Action Improvement items from 2015 Yellow Command Exercise which tested regional transportation and evacuation roles/responsibilities.
3.	In partnership with MTC, UASI to conduct a transportation coordination workshop discussion to further understand emergency planning between local OES staff and transportation agencies.

Electrical Power Restoration and Fuel Distribution

Gap 4

Many OES managers expressed concern that, unlike their electrical power capabilities, their jurisdiction's fuel capabilities and needs following a large scale emergency are not effectively anticipated, pre-planned, or documented in a clear manner, which in turn has made it difficult to prepare vendor agreements in advance.

Analysis

Coordination between local government and private sector fuel companies / transportation agencies regarding plans for accessing and distributing fuel in an emergency critical. In many jurisdictions the everyday processes of the General Services Agency may be leveraged to understand local government fuel needs and resources for procurement. PG&E is the primary electrical service provider for the Bay Area. Since PG&E is integrated into the local EOCs, where they hold a seat, and exercises regularly with the jurisdictions there is no real concern about establishing emergency agreements. PG&E partnerships currently follow the ICS Agency Liaison model.

Recommendation

Working through the RCPT, the Bay Area UASI should conduct a regional workshop discussion to review local continuity of operations planning efforts regarding fuel distribution in a disaster. Based on the results of the workshop discussion, the Bay Area UASI should conduct a regional assessment to document jurisdictional fuel type needs, existing resources, and storage and distribution capabilities, as well as document gaps and provide recommendations

Gap 4	Recommendation
1.	UASI to conduct a fuel focused regional workshop discussion to identify fuel resources and private sector partners.
2.	As determined by the workshop results, UASI to complete a regional assessment of fuel type needs, available resources, and storage and distribution capabilities.

Water Systems Restoration

GAP 5

It is unclear to many EOC staff within the Bay Area which agencies or districts should be coordinated with for restoration of water systems in a disaster.

Analysis

The restoration of water is a major concern for many OES managers since they have little knowledge about emergency agreements in this area and are lacking strong partnerships with water/wastewater service providers. OES managers expressed uncertainty regarding how water will be transported into and stored in areas where water systems are hindered. The California Water/Wastewater Agency Response Network (CalWARN) coordinates mutual assistance processes for public and private water and wastewater utility agencies. EOCs must coordinate with the water and wastewater utilities serving their jurisdiction to effectively respond to and recover from a disaster. In many cases, working with CalWARN can streamline that coordination.

Recommendation

Working through the RCPT, and in partnership with CalWARN, the Bay Area UASI should conduct a regional workshop discussion to review local water system restoration and distribution capabilities. Based on the results of the workshop discussion, the Bay Area UASI should conduct a regional assessment to document existing water service provider resources and distribution capabilities, such as water system equipment repair needs and mobile water truck availability. The assessment should also document other water storage gaps and capabilities within Bay Area jurisdictions as well as provide recommendations.

Gap 5	Recommendation
1.	UASI and CalWARN to create Regional Water Systems Coordination Working Group through the RCPT
2.	In partnership with CalWARN, UASI to conduct a regional workshop with water service providers to further understand emergency planning efforts and coordinate EOPs between the utilities and local government.
3.	As determined by the workshop results, UASI to complete a regional assessment of water service provider resources and distribution capabilities as well as local water storage capabilities.

Communications Restoration

GAP 6

Following a large scale emergency, damaged communications infrastructure may often lie within a secured area as determined by safety protocols. As a result, private sector service providers often face challenges in accessing the infrastructure to complete repairs. Some jurisdictions believe these are logistical issues that could be solved through development of an emergency agreement.

Analysis

Advance planning and coordination among the local government OES and communications systems providers is needed to facilitate access and efficient restoration of communications systems following a large scale disaster. Private sector partners such as Cisco can deploy mobile units to a disaster scene that provide additional capacity for cellular communications. EOC staff need to be familiar with the availability of and how to request these types of resources.

Recommendation

Working through the RCPT and BayRICS, the UASI should conduct a regional emergency communications systems workshop discussion to plan for allowing emergency access to private sector repair services. UASI should research the protocols for requesting mobile communications systems resources such as Cell On Wheels (COWs).

Gap 6	Recommendation
1.	UASI to create Regional Communications Working Group through the RCPT and BayRICS.
2.	UASI to conduct a regional workshop with communications entities and private sector partners to plan for allowing emergency access to private sector repair services.

Private Partnerships

Gap 7

Protocols for public private partnerships have been researched and established, but not well socialized in all Bay Area EOCs. Many jurisdictions cited struggles with establishing ongoing public private partnerships, specifically with large corporate businesses, for the purpose of efficient disaster response and recovery.

Analysis

The California Governor's Office of Emergency Services (Cal OES) has MOUs with global businesses to support local disaster response and recovery efforts. Many large businesses prefer to receive and coordinate resource requests through the Business Operations Center (BOC) at the State Operations Center (SOC) rather than working with multiple operational areas or cities. Most local jurisdictions are unaware of how to access such resources at the state level. On the other hand, most jurisdictions feel comfortable reaching out to local business or organizations, such as churches, community centers, or fairgrounds, for response assistance. However, further research should be conducted to ensure that jurisdictions are not creating conflicting commitments, such as booking the same community center as a shelter and a point of distribution, with key facilities and straining local resources.

Recommendation

The Bay Area RCPT recently developed and delivered guidance materials for local governments to establish public private partnerships within their EOCs. Jurisdictions should utilize these materials for training. These guides provide information and guidelines on how to best facilitate communication and coordination with the private sector and a government Emergency Operation Center. These guidelines can also be used to better develop and track relationships and communicate effectively with local resources, such as community centers and local fairgrounds, the two most cited local resources. The UASI Management Team is available to support training and implementation of these materials to local jurisdictions. Please see www.bayareauasi.org or contact Janell Myhre at Janell.myhre@sfgov.org for more information

The Bay Area UASI should expand the work completed on the June 2015 public private partnership guidance materials to include instruction on how Operational Areas can leverage the State established partnerships. The revised materials should clarify how local governments can order resources through the State BOC.

Gap 7	Recommendation
1.	UASI to expand public private partnership guidance materials to include resource ordering protocol through the State BOC.
2.	UASI to conduct training on public private partnerships in the EOC.
3.	UASI to organize workshops by Hub to discuss major facilities such as fairgrounds and identify any overlapping commitments for use in a disaster.

4. Conclusion

Path Forward

The RCPT expressed concern that taking action on all of the above recommendations simultaneously would be too ambitious to accomplish meaningful results. Therefore, the recommended path forward for carrying out the above recommendations is for the UASI Management Team to work with the RCPT to prioritize the recommendations and develop a program plan for one gap each year. For example, the focus during 2016 may be on accomplishing the Water System Restoration (Gap 6) recommendations. During 2017, the UASI Management Team would develop a program plan and implement it for a different gap. The prioritizations of which gaps to work towards first will be determined based on the potential consequences of overlapping vendor agreements and/or the current regional response capability in that area.

Action Items

The UASI Management Team will work with the RCPT to identify a gap area to focus on for calendar year 2016. Then the UASI Management Team will develop a project plan detailing the actions required to approach that gap including further research on existing vendor agreements, determination of potential consequences due to overlapping agreements, development of regional work groups, and appropriate collaboration through workshops and planning to establish appropriate agreements.

Summary Comments

The Bay Area Emergency Agreements Analysis project has brought to the forefront the importance of having up to date and combined documentation of emergency vendor contracts, agreements, and partnerships in order to ensure a swift and effective emergency response. There is a role for the Office of Emergency Services to coordinate and/or track emergency agreements throughout the jurisdiction. In many jurisdictions this particular role for OES needs to be recognized and further refined. The RCPT recommendations are intended to continue improving response and recovery capabilities for all jurisdictions within the Bay Area.

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Appendix A: Interview Results

This appendix summarizes the information gathered from interviews with OES managers and subject matter experts from Bay Area jurisdictions. The interviews focused on the types of agreements jurisdictions have in place to respond to emergencies, including partnerships. One key issue discovered through these efforts is that many jurisdictions place high importance on the existence and development of relationships and partnerships with entities, organizations, and key departments in order to collectively respond to emergencies.

General Analysis

Each interview began with general questions to find out what, if any, emergency agreements are held by the jurisdiction. It then continued to address specific topic areas relevant to disaster recovery processes regarding transportation, debris removal, electrical power, fuel distribution, water systems, communication connectivity, and partnerships.

Table 2 General Analysis: Points Discussed
• **Overarching pattern: the majority of jurisdictions are expecting to utilize the California Master Mutual Aid Agreement (CMMAS) as their primary emergency agreement.** • **4 jurisdictions did not cite or directly recognize the California Master Mutual Aid Agreement as an emergency agreement.** • **Most common results included agreements/ undocumented relationships with:**   o **Local military bases, local food banks, local faith groups, schools/ college campuses** • **Inter-jurisdictional agreements are the second most mentioned form of emergency agreement. Jurisdictions are expecting to be able to utilize the resources of their surrounding jurisdictions if disaster strikes. These types of agreements are predominantly very broad and do not specifically outline expected aid.**
• **Relationships with the local Voluntary Organizations Active in Disaster (VOAD) appear to be important to many jurisdictions, but do not necessarily have official written agreements to outline aid.**
• **4 jurisdictions stated they have some sort of official policy for emergency purchasing.** • **2 jurisdictions expressed uncertainty as to how updated procurement agreements were, or if they were still in existence.** • **3 jurisdictions said they have no process or protocol to practice emergency procurement.**
• **Only half of the jurisdictions claimed that the OES is the agency that holds the most emergency agreements in the jurisdiction.**

ANALYSIS

After the opening questions, it became apparent that the main agreement jurisdictions have in place to help them respond to a large scale emergency is the California Master Mutual Aid Agreement and mutual aid with local jurisdictions within the operational area.

Under the Master Mutual Aid Agreement, jurisdictions are guaranteed assistance if local capabilities have been exhausted. The statewide mutual aid system does allow the mobilization of resources to and from local governments, operational areas, regions and the state after a state of emergency has been declared and requests have been submitted.

Although this may seem very effective in theory, it highlights that local jurisdictions are depending on each other to have resources. Additionally many OES managers do not have a clear understanding or awareness as to which departments hold emergency agreements. Only half of the jurisdictions reported that the OES is the agency that holds the majority of emergency agreements. When asked about emergency procurement, less than half were certain there was official documentation somewhere in their jurisdiction to make emergency purchases.

In order to ensure truly efficient use and allocation of resources, individual jurisdictions should centralize an inventory of their emergency agreements to better understand what aid is actually available to support emergency response. Master mutual aid agreements are made with reciprocity in mind, and it is critical that operational areas bolster their own official documentation to better track and execute aid.

The rest of this report goes into further detail of the agreements in place to support disaster response regarding transportation and debris removal, electrical power restoration and fuel distribution, water systems, communication capabilities, and partnerships.

Transportation and Debris Removal

The operability of transportation networks will critically impact a jurisdiction's ability to facilitate the movement of people and supplies in responding to a large scale emergency. Due to this, a section of the interview process was dedicated to understanding what kinds of agreements jurisdictions have in place to repair and/ or clear transportation routes. The following key issues were discussed during this conversation.

Table 3 Restoration of Transportation lines and Debris Removal: Points Discussed
• **3 operational areas confirmed they have a debris removal or debris management contract; all 3 are with AshBritt Environmental, a debris management contractor.**   o **In addition one operational area explained they had begun conversation with AshBritt, but had nothing finalized yet.** • **8 jurisdictions do not have agreements in place to manage debris removal. This was generally expressed as confidence that mutual aid between jurisdictions or in-house capability is strong enough to not have to contract out.**
• **Across the board, jurisdictions reported the Department of Public Works (DPW) has a pool of contractors that can be utilized for road repair/management. Set agreements for transportation restoration are not held by any jurisdiction.**
• **Repairs of public transportation networks are the responsibility of local transportation agencies in all of the jurisdictions.**   o **Many described that transportation representatives have a seat in the Emergency Operations Center (EOC) if they so choose to utilize it.**
• **There are no agreements to manage large scale traffic control.**   o **Operational areas expect to utilize the CMMAS and relationships with police, California Highway Patrol (CHP), Disaster Service Workers (DSW) and in one case the military presence.**

ANALYSIS

It should be noted that several operational areas have contracted with AshBritt Environmental for debris removal and/or management. AshBritt is a national rapid- response disaster recovery and special environmental services contractor based in Florida. Although AshBritt is technically committing to overlapping contracts all of their recovery efforts are conducted under the authority and oversight of the Federal Emergency Management Agency (FEMA) and it appears that they would be unlikely to express strain in terms of providing aid to several jurisdictions at once.

Besides AshBritt contracts, jurisdictions did not express having any official agreements with any particular debris management agency or company. The majority of jurisdictions are expecting that the combination of in-house capabilities and mutual aid with neighboring jurisdictions will be strong enough. In particular, there appears to be a shared understanding by most jurisdictions that their operational area's Department of Public Works will be a resource they can utilize. Across the board, OES managers were under the impression that DPW has an existing pool of vendors to whom they would contract out in case of an emergency. However, many OES managers were unfamiliar with the specific details of which vendors are in this pool. This could potentially be a pool of overlapping responsibilities, and is therefore

addressed in the recommendations section of this report. The state owns and is responsible for the restoration of major highways, road and bridge infrastructure.

When discussing the maintenance of transportation networks, all jurisdictions agreed that restoration of public transportation is predominantly the responsibility of individual local transportation agencies. The jurisdictions may utilize relationships with California Highway Patrol (CHP) other police enforcement that often manages traffic control or road side assistance equipment. In addition, transportation agency representatives are welcome to participate in the EOC during times of exercise or actual disaster.

Electrical Power Restoration and Fuel Distribution

Comprehensive and actionable restoration of electrical power and fuel distribution has consistently been an intricate and key issue when discussing response and recovery in a large scale emergency. In particular, conversations focusing on the impacts of fuel restrictions have highlighted physical access, not just fuel availability, to fuel as a significant gap. The following data depicts a broad analysis of the emergency agreements in place to address electric power restoration and fuel distribution.

Table 4. Restoration of Power and Fuel: Points Discussed

• **PG&E is the primary electrical power provider for the Bay Area region.**
  o **There is no written agreement describing the role of PG&E in restoring electricity. The main reason being the expectation that, as an enterprise, it is in the best interest of PG&E to restore power as soon as possible.**
  o **The majority of OES managers explained they have provided PG&E a prioritization list outlining the key infrastructure that needs critical attention.**

• **Local fueling stations are expected to be available for emergency procurement, largest concern lies in the availability of equipment to make the actual fuel extraction. Relationships with fuel stations are not consistently documented.** • **4 jurisdictions reported to have a contract in place to acquire generators in case of an emergency.** • **2 said they had no agreements because they have in house availability of generators** • **6 appear to have no agreements or generators in house.**
• **In most jurisdictions, the General Services Administration (GSA) coordinates fuel logistics on an everyday basis.**

ANALYSIS

Although it has already been recommended that comprehensive planning efforts between service providers and governments are crucial in developing a realistic and operational restoration plan for electrical power and fuel distribution, this report suggests that more joint planning is needed.

As the main electrical power provider, PG&E is encouraged to participate in local and operational area EOCs. Although many have, not all jurisdictions have provided a prioritization list for PG&E outlining where to focus restoration efforts; nor are there any official written agreement describing the role of PG&E in restoration. However this appears to be due to the fact that PG&E is an enterprise, and operational areas are confident that it is in PG&E's best interest to restore services as soon as possible.

On the other hand, fuel availability appears to be a much larger concern for jurisdictions. Only four out of twelve jurisdictions reported having agreements in place to either acquire generators or fuel for generators in case of an emergency. Of the eight jurisdictions without agreements, only two have no agreements because they are confident in their in house capabilities. The need for adequate fuel distribution capabilities is also a predominant pattern that arose from the data collection. Many jurisdictions expressed concerns about their ability to bring in fuel, both due to closed transportation routes and limited transportation resources.

Although there are many oil refineries in the Bay Area, they could all experience varying degrees of damage. In order to bolster fuel distribution capabilities, jurisdictions should consider creating fuel agreements, or at least relationships, with agencies outside of the Bay Area. Sonoma County's contract with a trucking company outside of the Bay Area that specializes in fuel delivery will be exceptionally helpful as an immediate connection to fuel in the event fuel sources in the region are compromised.

Overall, many jurisdictions expressed the importance of maintaining close relationships to the General Services Administration (GSA) because of their everyday involvement in providing the cities with services. For example, Sonoma County has a full list of the services their GSA provides for the operational area, ranging from tree services to employment investigations. Part of this list includes agreements that are particularly meant to be used during an emergency that will provide the city with commodities such as batteries and groceries, as well as sandbags and equipment rentals. Clearly these are important resources for the OES to have at hand after an emergency. In particular to fuel distribution, the GSA is involved in coordinating fuel logistics through a daily process. It is important for jurisdictions to consider how these daily processes could be modified to support an emergency response.

Water Systems

The Bay Area region is particularly vulnerable to water system infrastructure damages for many reasons, one of them being the sheer amount of water providers in the region. Knowing that there is an aging water system, it is critical that our ability to move water above ground in a comprehensive distribution network is addressed. The following section briefly illustrates the region's ability to help distribute water.

Table 5. Restoration and Access to Water: Points Discussed
• **All jurisdictions cited local water providers as those responsible in restoring water.**   o **Water providers/ service representatives are encouraged to participate in the activation of the EOC.** • **No jurisdictions have agreements to manage water leaks** • **2 mentioned East Bay MUD as the responsible party for restoring water systems.**
• **All participating operational areas expressed that their main responsibility is providing safe drinking water via bottled water or large water trucks, to communities who do not have access to their usual water sources.** • **Many jurisdictions are concerned with their ability to render and move large quantities of water.**
• **Operational areas across the board would like to see more joint planning efforts between water providers within the jurisdiction, as well as efforts between water districts and the OES.**

ANALYSIS

All twelve OES managers explained they are not responsible for any kind of structural water system repairs, nor do they have any plans to help manage leaks due to disasters. Across the board, operational areas are expecting their local water service providers to utilize their own internal continuity of operations plans to ensure timely restoration. All twelve jurisdictions encourage water providers to partake in the activation of the EOC during an emergency.

The number of water districts/ providers in the entire region is quite large, and coordination between services would be difficult for the OES to manage on their own. Water districts all have their own governmental boards which make developing agreements very complex. Nevertheless, several jurisdictions expressed a desire to be more aware of the plans water districts and water providers have in place. Therefore, jurisdictions should consider encouraging their water and wastewater providers to join the California Water/ Wastewater Agency Response Network (CalWARN) which offers membership to all public and private entities in the State of California. Water and wastewater utilities who enter into the CalWARN agreement participate in an Intrastate Program for Mutual Aid and Assistance to coordinate response activities and share resources during emergencies, recognizing that emergencies may require assistance in the form of personnel, equipment, and supplies from outside the area of impact.

Issues to consider are the effect of the statewide drought on how operational areas are preparing for water disruptions during times of emergency. Operational areas are aware that limited water will be an issue, but are more concerned with the ability to access that water. Very similarly to the concerns over fuel distribution, many operational areas are apprehensive with their ability to render and move large quantities of water in and out of their jurisdictions, so official contracts with water trucks are particularly important in this particular situation.

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Communication Connectivity

In order to recover from a disaster, response efforts need to be timely and effectively coordinated. With the development of intricate communication technologies, jurisdictions are able to react and disperse needed information faster than ever to save lives and property. Nevertheless, with the threat of damaged infrastructure obstructing those communication networks, information sharing requires considerable planning efforts.

Table 6. Restoration of Internet and Phone Connectivity: Points Discussed

• **All jurisdictions stated they have unofficial relationships with the telecommunication and internet service providers in their operational area in lieu of official written agreements.**
  o **The hands-off approach is preferred because they trust that it is in the best interest of the service providers to restore connectivity as quickly as possible.**
• **Top service providers in the Bay Area are Verizon and AT&T.**
• **Several jurisdictions also have relationships with:**
  o **CISCO**
  o **ECOM**
  o **RACES (Radio Amateur Civil Emergency Service)**
  o **SVRIA (Silicon Valley Regional Interoperability Authority)**

• **3 jurisdictions referred to the Government Emergency Telecommunications Service (GETS) as their main agreement for communications aid and coordination.**
• **Many jurisdictions claimed that the biggest concern facing restoration of connectivity will be access to damaged infrastructure.**   o **OES role lies in granting service workers safe access into areas that need restoration.** • **Multiple jurisdictions wished they had contracts in place to receive telecommunication services on wheels.**

ANALYSIS

When discussing communication with operational areas, the focus on understanding not just interoperable communications across emergency response agencies, but also the connectivity of the region. Due to this, discussion included access to mobile and landline services as well as internet connectivity. All twelve jurisdictions stated they had unofficial relationships with service providers, but no formalized agreements. Relationships generally consist of service providers being given a prioritization list, similar to that for power restoration, and trusting service providers to restore services because it is in their enterprise's best interest to do so swiftly.

Relationships instead of official agreements tend to be the primary pattern of this report, and communications isn't an exception. Although there is an array of agencies that can provide communication support to operational areas, there is a lack of tangible and immediate contracts. For example, several jurisdictions suggested their operational area could strongly benefit from access to mobile "cell on wheels" services. This would require an agreement between an operational area and their service providers. Unfortunately, most operational areas are utilizing the same service providers, so contracting out may in fact create the overlapping commitments that this analysis wanted to highlight in order to deconflict.

Although there are repetitive relationships in the region, due to the nature of limited service providers, there is little that can be done in the realm of having independent service providers. However, it is interesting to note that multiple jurisdictions cited the Government Emergency Telecommunications Service (GETS) as a support resource. GETS is a White House directed emergency telephone service provided by a division of the Department of Homeland Security that use enhancements based on existing commercial technology to provide connectivity coordination. Although this is an overlapping commitment because multiple jurisdictions are utilizing it, it is very unlikely that this will pose a danger since they provide such far reaching, high level service.

Similar to the other difficulties that come with coordinating with service providers, a major concern with communications is that the service providers will struggle to gain access to critical areas. Jurisdictions explained that often areas with structural damage are deemed unsafe and service staff are prevented from making repairs.

Partnerships

This section of the data collection process aimed to illustrate the types of agreements in place that connect jurisdictions to their surrounding communities through partnerships. When discussing partnerships, interviewees were encouraged to address other government agencies, NGOs, and the private sector. Partnerships can be critical assets when it comes to providing both commodities and coordination to areas in need.

Table 7. Utilization of Partnerships: Points Discussed

• **All jurisdictions have a relationship with the American Red Cross (ARC), but no official written documents.**
  o **ARC can, and does, enter into Memorandums of Understanding (MOU) with operational areas to define a working relationship and provide a broad framework for cooperation, rendering assistance and service to victims of disaster, as well as other services for which cooperation may be mutually beneficial.**
• **Other organizations that the Bay Area jurisdictions have relationships with include:**
  o **Salvation Army, Goodwill, Community Emergency Response Teams (CERT), National Voluntary Organizations Active in Disaster (VOAD), local churches, food banks.**

• **All jurisdictions have agreements in place to assist with animals in an emergency.**   o **Popular agencies are: the Humane Society, local Animal Care and Control, the Food and Drug Administration (FDA) mutual aid agreement, one case of the local sheriff's office and one case utilizes a Pets Act.**
• **11 jurisdictions stated they do not have direct agreements with big box stores (global businesses).**   o **The California Governor's Office of Emergency Services (Cal OES) has a MOU with global businesses, so agreements are conducted above the local government level. Many businesses may prefer to receive and coordinate resource requests through the Business Operations Center (BOC) at the State Operations Center (SOC) rather than working with multiple affected operational areas or cities, even if the retailer may have locations, employees, and customers in the local area. Many of these companies have national Emergency Operations or Incident Command Centers that manage critical incidents.**

ANALYSIS

When it comes to partnerships, Bay Area jurisdictions tend to have a significant amount of unofficial relationships. The Bay Area is fortunate to have access to a wide variety of relief organizations. The most popular partnership is with the American Red Cross. As one of the longest standing relief organizations since its inception in 1881, it is no surprise that all operational areas would have a relationship with the humanitarian organization. Similar relationships are held with the Salvation Army and Goodwill. On a more local-specific level, many jurisdictions cited their CERT and VOAD organizations providing secure partnerships. Local food banks and churches have been particularly helpful in terms of organizing donations for relief efforts during emergencies. The reasoning behind keeping these relationships contract free tends to revolve around the notion that a contract may actually be limiting if it is overly specific.

However, an area in which jurisdictions would prefer to have written documentation of agreements is with big box stores. Eleven out of the twelve jurisdictions stated they do not have any agreements with stores. Currently, these types of agreements happen between the state and corporate headquarters. Across the board, all operational areas want to have more direct access to commodities. Some expressed that they would prefer to have the local agreements broken down by district. Solano County has ensured that their dispatch center at least has the contact information for big box stores as

well as the manager's direct phone to call after hours in case of an emergency. The manner in which big box stores can be utilized would be similar to the ways emergency procurement was discussed in the opening section of this report. Jurisdictions would use store specific credit cards to make large scale purchases. However, the most common complication with big box stores that jurisdictions cited is that nearly all operational areas will rely on the same stores. Having official emergency procurement clauses written into the jurisdiction's administrative code appear to be key in having timely access to resources. Through their emergency procurement, Santa Cruz County has been able to exercise acquiring showers, port-a-potties, and hay for horses.

The Cities of Oakland and San Jose, as well as the Counties of San Mateo and Solano described their partnerships with schools, including universities/ colleges, as invaluable additions to their emergency response capabilities. School facilities are predominantly utilized for shelter operations, and appear to require quite a bit of negotiation due to liability issues. The most common challenge is finding the right point of contact in the school system to develop a partnership with. Inviting school representatives to sit on strategic planning committees or meetings ensures school staff/ facility will be ready to respond to the needs of the jurisdictions.

Another partnership system that seems to be particularly strong is that with animal and disaster related organizations. All twelve jurisdictions have agreements in place to assist with animal coordination. The most cited is the Humane Society, as well as the local Animal and Control Unit. Unlike many of the other points discussed in this report, this seems to be the least complicated in terms of legality issues and wait time.

Appendix B: Interview Questions for OES Managers

Opening Questions

- Does your Operational Area (OA) have official, written agreements with outside agencies or organizations to assist you in responding to and recovering from disasters?
- What types of organizations or agencies are these agreements with?
- Can you please name the organizations?
- When was the last time these agreements were updated?
- Do you have any provisions for Emergency Procurement during a disaster?
    - Is there anything written into your jurisdiction's admin code when you contract out to vendors?
- Is the Office of Emergency Services the agency that holds the most agreements with outside organizations for disaster response and/or recovery work?
- Have you practiced or exercised the activation or operations of any of these agreements?
    - What kinds of scenarios have you practiced using these agreements?
    - Can you share some of the lessons learned?

Transportation and Debris Removal Needs

- Do you have agreements with outside organizations to manage large scale debris removal operations, for the primary purpose of opening transportation routes?
- Do you have agreements for assisting in repairing roads and bridges that your jurisdiction is responsible for?
- Do you have any agreements to assist with repairs of public transportation resources that your jurisdiction might use such as buses, trains, subways, etc.?
- Do you have agreements with any local agencies to manage large amounts of traffic due to road closures or evacuation, whether that is equipment or personnel for traffic control?
- Do you have any other agreements that pertain to transportation that we have not yet discussed?
- When was the last time these agreements were updated?
- Have you practiced or exercised the activation or operations of any of these agreements?
    - What kinds of scenarios have you practiced using these agreements?
    - Can you share some of the lessons learned?
- Are there any agreements you wish you had that are not currently in place?

Electrical Power and Fuel Needs

- Do you have agreements with electrical power providers such as PG&E to restore electrical power?
- Are there agreements of what key facilities in your OA will be prioritized, in terms of restoring power?
- Do you have any agreements to receive generators and/or fuel for generators?
- Do you have any other agreements that pertain to power or fuel that we have not yet discussed?
- When was the last time these agreements were updated?
- Have you practiced or exercised the activation or operations of any of these agreements?
    - What kinds of scenarios have you practiced using these agreements?
    - Can you share some of the lessons learned?
- Are there any agreements you wish you had that are not currently in place?

Water System Needs

- What agreements do you have to repair multiple leaks or damages to the water system?
    - What agency turns water on/off?
- What kinds of agreements are in place to support communities without access to water?
- Do you have any other agreements that pertain to restoring water systems or securing drinking water that we have not yet discussed?
- When was the last time these agreements were updated?
- Have you practiced or exercised the activation or operations of any of these agreements?
    - What kinds of scenarios have you practiced using these agreements?
    - Can you share some of the lessons learned?
    - Are there any agreements you wish you had that are not currently in place?

Communication Needs

- Do you have any agreements with wireless service providers?
- Do you have any agreements to restore or maintain internet connectivity?
- Do you have any other agreements that pertain to restoration of communication systems that we have not yet discussed?
- When was the last time these agreements were updated?
- Have you practiced or exercised the activation or operations of any of these agreements?
    - What kinds of scenarios have you practiced using these agreements?
    - Can you share some of the lessons learned?
- Are there any agreements you wish you had?

Additional Partnerships within Your Jurisdiction

- What are your agreements with the American Red Cross and other relief organizations?
- Do you have agreements with private property owners?
- Do you have any agreements regarding animals and disaster?
- Does your operational area have any agreements with big box stores?
- Do you have any other agreements that we have not yet discussed?
- When was the last time these agreements were updated?
- Have you practiced or exercised the activation or operations of any of these agreements?
    - What kinds of scenarios have you practiced using these agreements?
    - Can you share some of the lessons learned?
- Are there any agreements you wish you had?

Closing

- Do you have any final suggestions or comments?
- Anyone in another department whom you think would be able to provide further details?

Appendix C: Sample Vendor Tracking Tool

In order to continue vendor data collection efforts and development of a combined emergency vendor agreement database for the Bay Area, the UASI management team developed a vendor tracking tool using Excel. This tool includes areas to input the following information regarding vendor agreements:

- Vendor Name
- Agency: Who "owns" the vendor agreement/where the vendor name is housed?
- Agreement Type: MOU, unofficial, lease, rental, etc.
- Services to be provided: Heavy equipment, traffic control, sandbags, etc.
- Critical Lifeline: Applicability of the support service to a critical lifeline
- City Location of Vendor: Where is this vendor coming from?
- Date of Last Update: When was the last time this vendor's contact information was verified?
- Date of Last Use: When was the last time this agreement was activated?

Per the recommendations of the RCPT and based on direction by the UASI Approval Authority, the UASI management team will continue to develop the vendor agreement database using the prepared vendor tracking tool. The tracking tool will be housed within the UASI Management Team internal server.

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Appendix D: Methodology

The analysis was conducted through phases as described in the following table.

Methodology		
Phase	**Description**	**Results**
I. November 2014	**Case Studies Research** Research was conducted on past emergency events (i.e. Hurricane Sandy, Hurricane Katrina, and the World Trade Center 9/11 attacks) to provide context and lessons learned regarding the importance of critical lifelines after large scale disasters. Review of these catastrophic events provided context to better compare/contrast the similarities/differences of natural vs. manmade emergencies, the effects of warning periods, and obstacles that can prevent a fast recovery. Case studies were then connected to the Bay Area's potential threats and hazards. This connection was used to refine the focus of the interview questions used to gather data.	**Case studies in Appendix C**
II. February 2015	**Office of Emergency Services (OES) Interview Development** OES managers and subject matter experts participated in interviews to identify existing emergency agreements held by their jurisdiction.	**Full list of interview questions in Appendix A**
III. March 2015	**Data Collection Through Interviews** The Data Collection phase primarily consisted of inventorying collected information and conducting relevant follow up research and interviews.	
IV. April 2015	**Data Analysis** Phase IV focused on analyzing the interview and data collection results to identify overarching patterns and highlight any overlapping vendor commitments as they relate to restoration of critical lifelines. In addition, best practices or lessons learned were identified.	**Data summaries and analysis on page 10-20**

Methodology		
Phase	**Description**	**Results**
V. May 2015	**Development of Initial Summary Report** This report summarizes the analysis results and will be used to present recommendations for next steps to the UASI Regional Catastrophic Planning Team (RCPT).	
VI. **June 2015-July 2015**	**Initial Distribution and Vendor Agreement Collection** Initial Report draft distributed to participating OES managers, time provided for feedback. Continued efforts made to create a combined list of vendors per jurisdiction in order to cross examine for overlapping commitments.	**Full List of Vendors will be available upon request**
VII. **August 2015**	**Project Closeout** Presentation to the Approval Authority to confirm project's Next Steps	

Appendix E: Project Points of Contact

Participating OES Managers/ Subject Matter Experts per Operational Area					
1	Alameda	Paul Hess	Emergency Services Manager	phess@acgov.org;	925.803.7803
		Lt. Pace Stokes	DOC Chief	pstokes@acgov.org	
2	Marin	Christopher Reilly	Emergency Services Manager	creilly@marinsheriff.org	415.473.6586
3	Monterey	Sherrie Collins	Emergency Services Manager	CollinsSL@co.monterey.ca.us	831.796-1901
5	Oakland	Cathey Eide	Interim Emergency Services Manager	ceide@oaklandnet.com	510.238.6069
5	San Benito	Kevin O'Neill	Emergency Services Manager	KONeill@cosb.us	831.630-5100
6	San Francisco	Rob Dudgeon	Director	Rob.Dudgeon@sfgov.org	415.760.8736
7	San Jose	Ryan Broughton	OES Director	DLRyan@SolanoCounty.com	408.794.7055
8	San Mateo	Jeff Kearnan	OES Director	jkearnan@smcgov.org	650.599.1295
		Steve Mahaley	District Coordinator	smahaley@smcgov.org	650.363.4955
		Don Mattei	District Coordinator Supervisor	dmattei@smcgov.org	650.599.1294
9	Santa Clara	David Flamm	Deputy Director of EM	David.Flamm@oes.sccgov.org	805.266.8512
10	Santa Cruz	Paul Horvat	Emergency Services Administrator	paul.horvat@co.santa-cruz.ca.us	831.458.7150
11	Solano	Don Ryan	Emergency Services Manager	DLRyan@SolanoCounty.com	707.784.1616
12	Sonoma	Brendan Kearney	UASI Program Manager Sonoma	Brendan.Kearney@sonoma-county.org	707.565.2820
		Chris Helgren	Emergency Manager	chelgren@sonoma-county.org	707.565.1152

Vendor List Points of Contact					
1	**Alameda**	**Chuck Swan**	**DPW**	**chuck@acpwa.org**	**925-803-7010**
2	**Marin**	**Dodie Goldberg**	**DPW and Fire**	**dgoldberg@marincounty.org**	**473-7067**
3	**San Benito**	**Kevin O'Neill**	**DPW**	**KONeill@cosb.us**	**831.630-5100**
4	**San Francisco**	**Cynthia Chono**	**DPW**	**Cynthia.Chono@sfdpw.org**	**415.554.6901**
5	**San Jose**	**Kevin O'Connor**	**Department of Transportation**	**kevin.o'connor@sanjoseca.gov**	**(408) 535-3563**
6	**San Mateo**	**Don Mattei**	**Sheriff's Office**	**dmattei@smcgov.org**	**650-599-1294**
7	**Santa Clara**	**Jenti Vandertuig**	**Procurement**	**jenti.vandertuig@prc.sccgov.org**	
8	**Santa Cruz**	**Mike Bennet**	DPW	**Michael.Bennett@santacruzcounty.us**	**831-477-3923**
9	**Solano**	**Perry A Sauro**	**Central Services**	PASauro@SolanoCounty.com	**(707) 784-6335**
10	**Sonoma**	**Brendan Kearney**	**General Services**	**Brendan.Kearney@sonoma-county.org**	**707.565.2820**

Appendix F: Case Studies Summary

Introduction

Knowing where to go and what critical functions need to be restored provides confidence when responding to a disaster. Hurricane Katrina, Superstorm Sandy and 9/11 are case studies from which emergency management can learn lessons about preparedness and recovery. These case studies will focus on lessons learned in regards to communication and transportation, the most common points of improvement as reported by those affected by the disasters, but asks the audience to keep in mind the implications that issues with transportation and communication have on, and are affected by, electricity, fuel, and water. The use of Katrina, Sandy, and 9/11 are particularly valuable due to the large scale nature of the events. Both Katrina and Sandy were caused by natural phenomenon and included a warning period during which jurisdictions had the opportunity to set a plan in motion; whereas 9/11 came with little warning and highlighted a much different kind of disaster.

Hurricane Katrina

By the morning of August 29, 2005, Hurricane Katrina had become the deadliest and most destructive Atlantic tropical cyclone of the season. Moving across the East coastline with 100-400 mph winds and massive flooding, its path resulted in thousands of deaths and $100 billion of damages. As one of the deadliest hurricanes in North American history, Katrina became widely publicized in the months that followed. Perhaps due to the wide media coverage of the event, the image of New Orleans flooded under many feet of water fueled the wave of heavy criticism towards local, state, and especially federal jurisdictions.

It is important for emergency management to use disasters like Katrina as sources of learning as it moves forward in making our communities safer and better prepared. In terms of Katrina, one of the biggest complaints communities had towards the local and federal jurisdictions was response time. Many have said that Katrina highlighted the unrealistic expectation that governments can work in isolation, and instead need to form comprehensive planning *within* local, state, and federal levels while simultaneously keeping an open line of communication *between* them.

Due to the scale of Katrina's destruction, Federal assistance was not able to reach state and local jurisdictions in a timely manner, which placed much of the responsibility on operational areas and local EOCs. Transportation was significantly impacted due to destruction of numerous bay and river crossings within southern Mississippi, Louisiana and Alabama, which were damaged by the storm's considerable storm surge, wave action, and the following debris. Local relief efforts were severely delayed in reaching the hardest hit areas due to local jurisdictions inability to utilize most of their response vehicles. The struggle over transportation, debris and aid delays highlighted the ineffective staffing strategies EOCs had in place.

The stress of working with little preparation meant that responder staff was exhausted even before impact. It is important for the Bay Area region to learn from Katrina as it looks to fine tune communications as well as transportation. Staffing strategies are especially important in areas like the West Bay, where there is a serious

potential for staffing shortages as very few of city employees actually live in the cities they work in. Developing, testing, and updating a contact list for senior management, employees, customers, vendors, and key government agencies with multiple communication platforms is very important.

In summary, Katrina showcased the need for a unified management plan for national response, command and control structures within the Federal government, and more effective regional planning and coordination within local jurisdictions.

Hurricane Sandy

Hurricane Sandy was the deadliest hurricane of the 2012 season; luckily, the government had seven years of hard learned lessons from Katrina waiting to apply to the disaster. Perhaps the biggest lesson Sandy responders utilized from Katrina was the need for early warning in order to prepare critical infrastructure. Prior to Sandy making landfall, East Coast local governments worked with utility providers in order to anticipate long-term power failures. Many power companies utilized connections with independent contractors in order to lay out quick storm repair plans. These plans helped anticipate how many areas would be without power and how rapidly they could restore them. This kind of planning creates a lot of necessary trust among communities and local jurisdictions, which clearly were not present in the after math of Katrina.

In addition to reaching out to public services, local governments made many attempts to maintain open and informative lines of communication with its residents in order to sustain awareness of community actions and needs. A major trend in social media use during hurricane Sandy was the centralization of information which allowed local jurisdictions, agencies, nonprofits, and volunteers to add information to a unified online source. This created an aggregate source of information that was reliable and more user friendly, unlike during hurricane Katrina, when the use of many separate websites made it extremely difficult to find information.

Although emergency response was depicted as much more positive overall than in 2005 when Katrina hit, Sandy still highlighted many struggles that emergency management can learn from. For example, New York, one of the hardest hit areas, suffered from intense transportation issues which were reminiscent of Katrina's transportation issues. New York's underground railway system was completely flooded and all rail activity was closed, which as a highly dense population city similar to much of the Bay Area, had massive amount of traffic for everyone trying to get back to normal after the storm. Although the Bay Area is unlikely to experience the kind of flooding that occurred during hurricane Sandy, it is important that we have plans to deal with the disruptions that a large scale earthquake could have in our underground systems as well as our roads and bridges. Looking to Sandy and Katrina's transportation disruptions as examples for how local jurisdictions should deal with mass congestion is a good way to prepare for a regional catastrophe. Although there are many response lessons to be taken away from both Katrina and Sandy, they were both disasters that were seen coming weeks ahead of time. With earthquakes being the largest natural risk in the region, the Bay Area needs to be prepared to react at the blink of an eye. Due to this, 9/11 can provide insight on some "best practices" when faced with the unexpected.

9/11 World Trade Center Attacks

Unlike hurricane Katrina and Sandy, which provided weeks' notice before making impact, the 9/11 attacks on the World Trade Center towers occurred with no time for warnings, evacuations, or precautions. Its sudden and devastating impact is much more similar to the kind of destruction that a large scale earthquake would bring to the Bay Area region. With multiple fault lines running through the Bay Area region, and a 63% likelihood of a 6.7 or larger earthquake in the next 30 years, the Bay Area needs to be prepared to respond to an emergency with little warning and massive impact.

Dissimilar to the hurricanes, which had city wide devastation, 9/11 had to respond to targeted and dense destruction. Arguably, the biggest issues in the 9/11 response was communication. Many communication facilities that had been in the immediate areas around the attacks were knocked down by the force and debris, which mean that the unusual traffic of calls from police, fire, and EMS quickly overwhelmed dispatchers and available phone systems. This is without even taking into account the numbers of individuals who simply missed each other because agencies were using incompatible equipment and different frequencies. This resulted in large scale confusion and hesitant response. Response was additionally hindered by a lack of communication plans; when discussing communications, infrastructure and equipment is generally what one tends to focus on. While it is undeniable that these aspects are vital, we must also discuss communication plans.

Many of the first responders were private-sector civilians who worked for businesses in the area. This highlighted the need for communication between emergency responders, governments and businesses. Managers and employees of telephone service providers, banks, and commodity stores need to be informed on emergency response, as they are generally the first on the ground presence. Some have marked 9/11 as a crisis of communication and post 9/11, it became very clear that there needed to be more communication plans set in order for local and state emergency response agencies to reach out to private businesses as well as federal governments in the event of a large scale unpredicted emergency.

Bay Area Context and Conclusions

Due to the key regional infrastructure, high density population, and frequent earthquake activity along the six regional fault lines, the Bay Area can be considered highly vulnerable to a large scale emergency. Preparedness is a cycle of planning, practicing, and learning from the past. Thus case studies are vital in gaining insight on effective emergency response. Although the Bay Area is constantly experiencing small seismic activity, the 1906 and 1986 earthquakes have been the most forceful and informative.

The 1906 earthquake has been the most devastating earthquake the Bay Area has ever experienced. Thousands of individuals lost their lives, were injured, and were left homeless. In terms of monetary loss, there was over $400 million worth of infrastructure lost. As a result of the astronomical destruction, particularly in San Francisco due to its proximity to the epicenter, the earthquake prompted sweeping building code changes as well as a revamping of fire and water protection practices. Those new standards helped result in a significantly different outcome to the 1989 earthquake, which although forceful, resulted in significantly less destruction and shorter recovery time. These changes, especially recovery time, can be attributed to the increase in emergency

preparedness and planning. Regional response determines the long-term recovery of the region's communities and economy. Comprehensive planning efforts require service providers and governments to develop operational relationships and plans in restoration efforts.

Such plans have been developed by the Regional Catastrophic Planning Team, who identifies, assesses, and prioritizes areas of concern using capabilities-based and scenario-based planning models. The RCPT worked on developing the Regional Emergency Coordination Plan (RECP) which provides an all-hazards framework for collaboration among responsible entities. Similarly, the Regional Catastrophic Earthquake Logistics Response Plan describes the general structure for how to respond to a large scale regional earthquake emergency. As part of its response capabilities development, the plan discusses the regions ability to restore activities, including the repair or replacement of critical lifelines infrastructure. However, the plan is meant to serve as a guideline and does not include detailed specifications of actual response. Following the Regional Catastrophic Earthquake Logistics Response Plan, a Gaps and Recommendations Report highlighted that "while the Plan briefly addressed critical lifelines and efforts to restore them post-disaster, actionable and comprehensive restoration plans for all critical lifelines either do not exist or have not been exercised." The Bay Area Emergency Agreements Analysis aims to fill that gap.

As part of the ongoing effort to best equip the Bay Area with updated and accurate emergency preparedness methods, the Bay Area Emergency Agreements Analysis hopes to provide information and recommendations for future comprehensive restorations plans. Although brief, analysis of these case studies highlights some gaps in our emergency responding techniques and depicts some of the lessons that have been learned as emergency management moves forward. That progress has been made is irrefutable, but we mustn't forget to look back occasionally in order to avoid making the same mistakes twice.

References

Hurricane Katrina:

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- Hurricane Katrina Author And Page Information by Anup Shah
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- Case Study of the Transportation Sector's Response to and Recovery from Hurricanes Katrina and Rita by Lance R. Grenzeback and Andrew T. Lukmann

World Trade Center Attacks:

- Emergency Preparedness and Emergency Communication Access Lessons Learned Since 9/11 and Recommendations by Claude Stout, Cheryl A. Heppner, and Kelby Brick from Northern Virginia Resource Center for Deaf and Hard of Hearing Persons
- Protecting Emergency Resonders: Lessons Learned From Terrorists Attacks by Brian A. Jackson, D. J. Peterson, James T. Bartis, Tom LaTourrette, Irene Brahmakulam, Ari Houser, and Jerry Sollinger
- Crisis Communication: Lessons from 9/11 by Paul A. Argenti
- Emergency Response in Large-Scale Disasters: Lessons Learned and Implications for National Security by Ashton Rohmer
- Urban Politics: Power in Metropolitan America by Bernard H. Ross

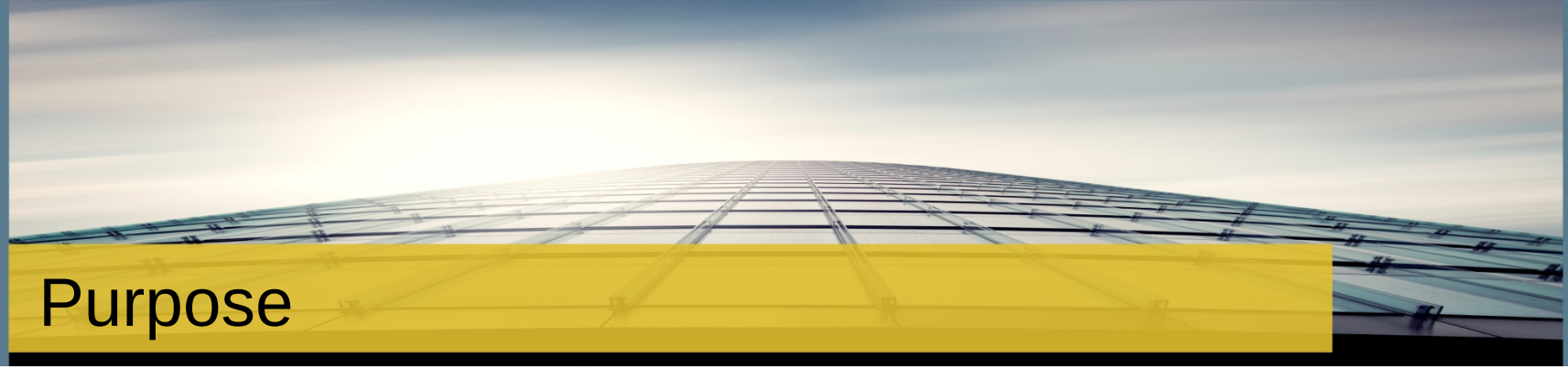
BAY AREA UASI

Bay Area Emergency Agreements Analysis

Summary Report

August 13, 2015

Corinne Bartshire
Regional Resilience and Recovery Project Manager
Bay Area UASI



Purpose

Background

- Bay Area Regional Catastrophic Earthquake Plans
  - 2013 Tabletop Exercise Series
- No prior research on emergency agreements
- Potential for shortage of resources
- Infrastructure systems core capability is top of the risk and gap list

Goal

- To evaluate the extent of overlapping emergency agreements in the Bay Area region.

Critical Lifelines Focus

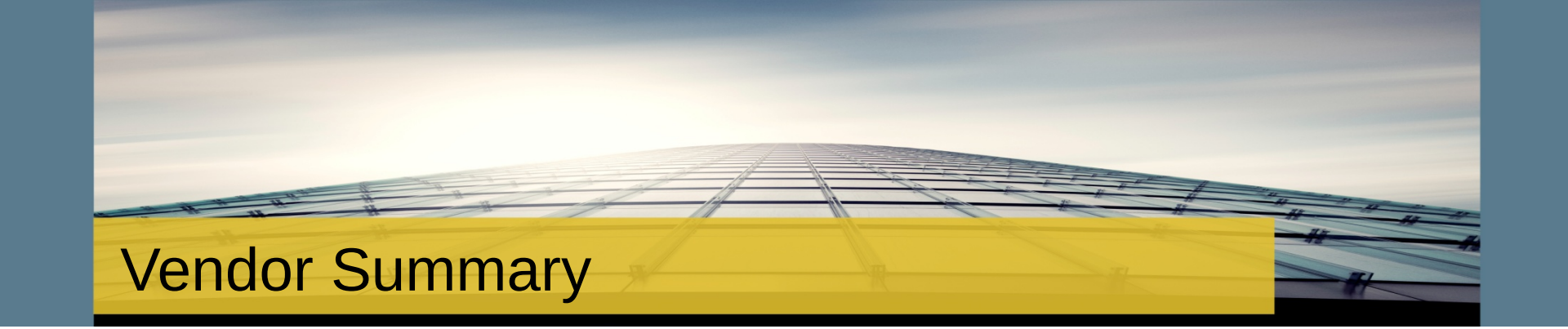
Transportation and Debris Removal

Electrical Power System and Fuel Distribution

Water System

Communication

Partnerships



Vendor Summary

Vendor	Service	Critical Lifeline	Alameda	Contra Costa	Marin	Monterey	Napa	Oakland	San Benito	San Francisco	San Jose	San Mateo	Santa Clara	Santa Cruz	Solano	Sonoma	State BOC	Total
IBM	business machines	Communications									x		x					2
MOTOROLA INC	mobile phone provider	Communications	x										x					2
COMCAST	Mass media services	Communications	x											x				2
AMERICAN REPROGRAPHICS CO LLC	technology enabled solutions to document and information management	Communications	x										x					2
ADVANCED COMMUNICATION DESIGNS INC	developer and manufacturer of interactive digital audio and video delivery systems	Communications	x								x							2
PITNEY BOWES INC	ecommerce solutions, shipping and mailing	Communications									x		x					2
U S BANK TRUST NATIONAL ASSOCIATION	banking services and solutions	Communications	x										x					2
VERIZON WIRELESS	wireless service provider	Communications	x										x					2
GRAINGER	commercial and industrial supplies	Debris	x								x					x	x	4
GRANITEROCK COMPANY	concrete, Building Materials	Debris	x							x	x	x	x	x				6
GRANITE CONSTRUCTION	construction materials and management	Debris	x						x		x							3
ASHBRITT	dump trucks	Debris	x		x	x										x		4
ENNIS PAINT INC	pavement marking	Debris	x								x		x					3
HERTZ EQUIPMENT RENTAL	rental equipment for heavy construction, industrial, government projects	Debris			x									x	x	x		4
GHILOTTI	road repair and construction	Debris	x		x					x						x		4
ALL AMERICAN RENTALS	construction materials and industrial equipment rentals	Debris								x					x			2
CRESCO EQUIPMENT RENTALS	equipment rentals	Debris										x		x	x	x		4
HILTI, INC	Production of construction tools and applications	Debris	x								x							2
NIXON EGLI EQUIPMENT COMPANY	road construction equipment specialists	Debris	x												x			2
PAPE MACHINERY INC	heavy equipment dealer	Debris	x								x				x	x		4

Interview Summary

- Overlapping contracts with AshBritt Environmental are held by three jurisdictions.

Transportation and Debris Removal

- Restoration priorities have been outlines with PG & E
- Fuel availability vs accessibility

Electrical Power System and Fuel Distribution

- Biggest concern: coordination and communication between service providers
- Bottled/ potable water

Water System

- Connectivity
- Responsibility of restoration falls on service providers
- Providers serves as liaisons in the EOC

Communication

- Discussion of big box stores
- Local resources
- Schools

Partnerships

Additional

- California Master Mutual Aid Agreement (CMMAA)
- Discussions about emergency Procurement
- Inter-jurisdictional communication

Key Findings

“Pool of Vendors”

- Intended Use vs Guaranteed Use
- Vendor Management methods

Documentation Centralization

- Longevity of Preventative Planning
- Nebulous Ownership

Relationships and Partnerships

- Flexibility and personalization
- Comfort fallacy

Recommendations

- Further document emergency agreements
- Additional discussions regarding ownership / management of agreements
  - Role of OES
  - Process for activating / using emergency agreements
- Execute RCPT recommendations
  - Consider one critical lifeline per year
  - Achieve tangible outcomes
  - Invite key decision makers to finalize agreements

Questions

BAY AREA UASI

To: **Bay Area UASI Approval Authority**

From: **Tristan Levardo, Chief Financial Officer**

Date: **August 13, 2015**

Re: **Item 11: FY14 UASI Spending Report**

Staff Recommendations:

None

Action or Discussion Items:

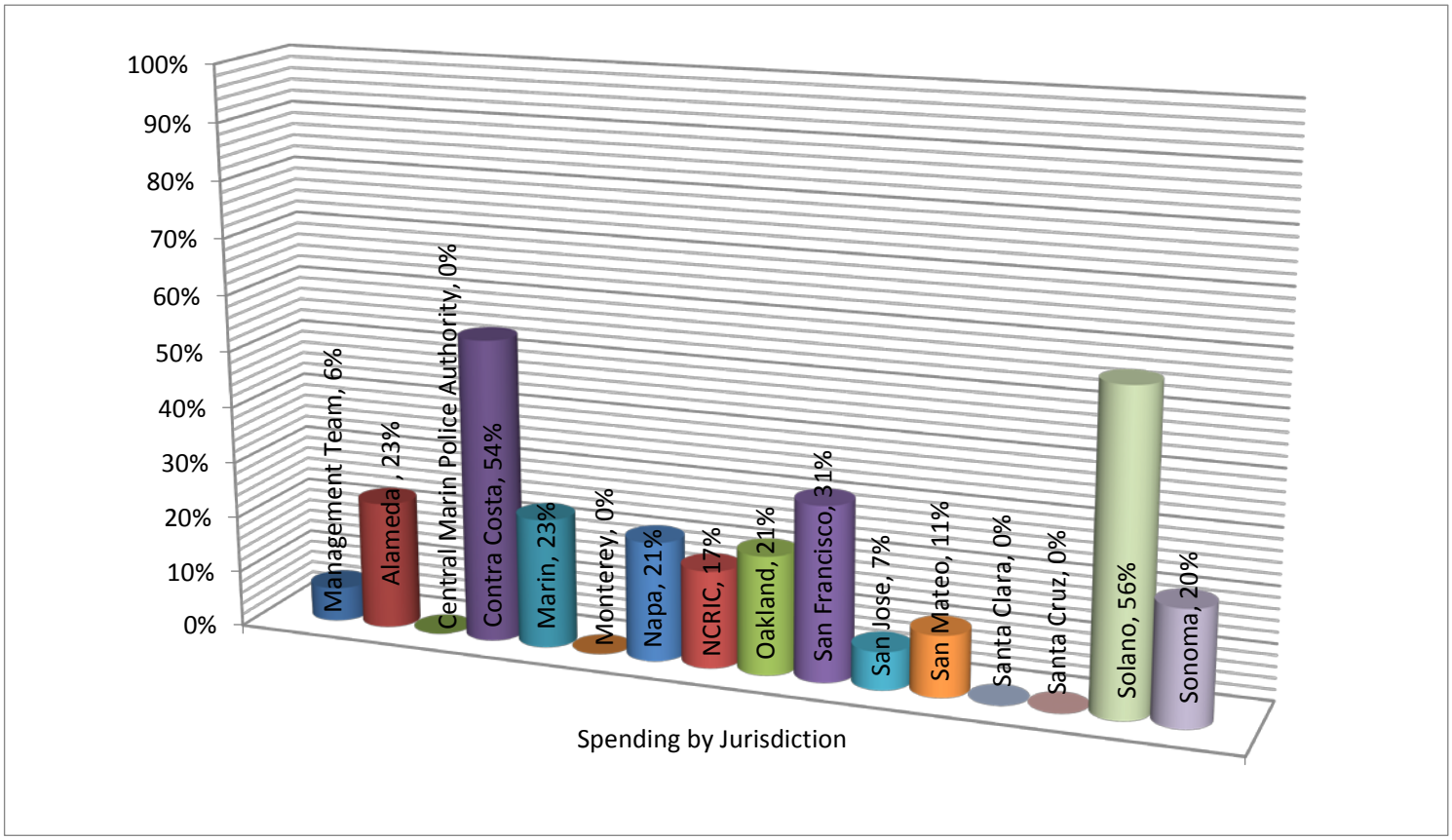
Discussion

Discussion:

The sub-recipient performance period for FY2014 UASI grant is November 1, 2014 – December 31, 2015, with final claim for reimbursement due no later than January 31, 2016.

The table shows spending by jurisdictions. 19% of the overall budget has been expended.

Jurisdiction	Budget	Spent	Spent %	Obligated
Management Team	2,975,397	179,138	6%	2,796,259
Alameda	6,289,697	1,430,911	23%	4,858,786
Central Marin Police Authority	132,554			132,554
Contra Costa	602,516	325,143	54%	277,373
Marin	109,934	25,397	23%	84,537
Monterey	1,050,000			1,050,000
Napa	78,541	16,666	21%	61,875

Jurisdiction	Budget	Spent	Spent %	Obligated
NCRIC	4,080,378	706,138	17%	3,374,240
Oakland	1,000,000	211,221	21%	788,779
San Francisco	3,122,579	970,264	31%	2,152,315
San Jose	1,000,000	67,660	7%	932,340
San Mateo	837,209	91,117	11%	746,092
Santa Clara	577,999			577,999
Santa Cruz	220,000			220,000
Solano	150,447	84,612	56%	65,835
Sonoma	514,749	105,244	20%	409,505
Total	**22,742,000**	**4,213,511**	**19%**	**18,528,489**

FY14 UASI SPENDING