



To: Bay Area UASI Advisory Group

From: Catherine Spaulding
Assistant General Manager, Bay Area UASI

Date: August 23, 2012

RE: Agenda Item 5: Project Change Requests

For Discussion and Approval:

1. Project change request form
2. Project timeline changes
3. Project scope changes
4. Project budget changes
5. Funding of “next-in-line” projects

Attachments:

1. Project change request form
2. Project changes under \$250,000 in UASI 2010 and 2011 (forthcoming)

The Management Team presents this agenda item to clarify and improve processes when sub-recipient jurisdictions seek changes to projects. Requests to change projects include timeline, scope, and budget. The Management Team would also like to present changes to projects to date as required by Section 8.6 of the Approval Authority Bylaws as well as clarify the process for unspent funds.

1. Project Change Request Form

In all instances of project change requests, from this point forward, sub-recipient jurisdictions will be required to complete the attached form. This is necessary to streamline the request process by collecting all of the required information to evaluate the request at one time, share the information appropriately, as well as to maintain needed documentation. The form is intended for requested changes to timeline, scope, and/or budget, and collects standard information on the nature of the request and why it is needed. The form must be routed through the appropriate Management Team Project Manager.



2. Project Timeline Changes

Per the Bay Area UASI Grants and Projects Policies and Procedures Manual, the General Manager must report to the Advisory Group/Approval Authority any timeline change for projects with budgets over \$250,000 that delay the final project completion date by more than six months.

When a jurisdiction would like to extend the timeline of an approved project beyond the grant effectiveness date, that jurisdiction may request to “swap” funds with another approved project that can be completed by the jurisdiction within the grant effectiveness period. Such requests will be approved by the General Manager at his discretion if there is a reasonable expectation that the funds will be spent as stated.

The Management Team will closely monitor projects per identified milestones. The General Manager will require jurisdictions that are not on track towards timely completion to identify such “swapping” opportunities or return funds (see “Funding of Next-in-Line Projects” below).

3. Project Scope Changes

The General Manager will review project scope change requests for consistency with the original project goals and objectives as stated in the project proposal/plan, the Bay Area Homeland Security Strategy, and DHS grant requirements. Requested changes that are not consistent with the above criteria will be denied.

Per the Bay Area UASI Grants and Projects Policies and Procedures Manual, the General Manager must report to the Advisory Group/Approval Authority any project scope change for projects with budgets over \$250,000 that result in significant changes in key deliverables or stakeholders. Note that the Policies and Procedures also require notification when there is an MOU or contract change, but the Management Team requests to remove these requirements as an unnecessary detailed level of reporting.

4. Project Budget Changes

Section 8.6 of the July 2011 Approval Authority Bylaws as well as the Bay Area UASI Grants and Projects Policies and Procedures Manual governs grant modifications. The General Manager must bring any modification that exceeds \$250,000 individually or cumulatively for a project to the Approval Authority and Advisory Group for approval prior to the modification.

Within a grant project, the Bay Area UASI General Manager may reallocate funds up to a cumulative total of \$250,000. The General Manager must report such reallocations to the Approval Authority and Advisory Group. Attached is a report of changes to date in current grants. The Management Team proposes to present such reporting on a biannual basis.



5. Funding of “Next-in-Line” Projects

In the proposed FY 2013 UASI proposal process, hubs are tasked with identifying projects to be funded if and when additional funding becomes available in the course of the grant period, including “six month timeline” projects. Funding may become available if:

- A jurisdiction is unable to implement project goals and objectives as originally stated and approved by the Approval Authority; or
- Expenditures for a project are lower than originally budgeted

In both of these instances, the jurisdiction is required to return the funds to the hub to fund project/s “next-in-line” for funding. Projects should be funded in order of priority as funds become available. However, a hub may decide by mutual agreement to adjust the order or adjust the cost allocated to projects.

When a project is funded from a core city allocation and funding becomes available, the next-in-line project for that city should be funded. Core cities may also decide to adjust the order or adjust the cost allocated to projects.

If an allocation is made to fund a part of a project (as defined in the project proposal/plan), and funding subsequently becomes available due to the fact that costs of the project were less than originally anticipated, the remaining funds may be allocated towards new purposes within that project. This is subject to the approval of the General Manager, and the Approval Authority must clearly state that this is permissible at the time of the original project allocation approval.