



**Project Proposal Guidance  
for Fiscal Year 2014**

**(INTERIM)**

September 12, 2013  
DRAFT FOR APPROVAL AUTHORITY REVIEW

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## **APPENDIX A - PROJECT PROPOSAL TEMPLATE**

**This UASI guidance remains interim until such time that the Federal DHS funding allocation and grant guidance is released. It does not include the updated rules governing allowable expenses under the UASI grant for FY 2014 such as personnel costs, etc. In addition, this guidance will be updated in October pending Approval Authority review of the FY14 priority capability objectives.**

## **1. UASI Grant Program Overview**

Since its inception in FY 2003, the intent of the 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 FY 2014 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.

Activities implemented with UASI funds must support terrorism preparedness. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards, including natural disasters and other major accidents. Any FY 2014 Bay Area UASI funded projects must demonstrate the dual-use quality for any activities implemented that are not explicitly focused on terrorism preparedness.

## **2. 2014 Federal Budget**

It is expected that Congress will pass the DHS FY 2014 budget by the end of calendar year 2013 and the Department of Homeland Security (DHS) will issue a Funding Opportunity Announcement (FOA) for the Homeland Security Grant Program early in 2014. 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.

## **3. Bay Area Homeland Security Strategy**

Each year, the Bay Area Urban Area Security Initiative (UASI) conducts a region-wide risk validation analysis and capabilities assessment across the region's twelve counties and three major cities. The outcome of these efforts will result in priority capability objectives, which will be used to guide proposal selection for the FY14 process and will be available in October 2013.

Ultimately, the risk validation and capabilities assessment results in the updated Bay Area Homeland Security Strategy, which is required by the Department of Homeland Security (DHS). The Bay Area Homeland Security Strategy is a comprehensive, data driven document that outlines the Bay Area's risks, capabilities, vision, structure, and goals and objectives for homeland security. Having such a strategy ensures the Bay Area is in the best possible position to clearly track and articulate its risks and capability needs to local leaders, the State of California and DHS when seeking resources to reduce that risk and satisfy those capability needs.

## 4. Proposal Submission Process

Regional projects may be developed from and/or solicited by operational areas, special districts, or sub-regions within the twelve county Bay Area UASI. Bay Area UASI Management Team project managers, hub planners, Bay Area UASI work group members, and other regional stakeholders will work with the UASI counties/major cities to engage in outreach to solicit proposals.

Proposals are invited from government organizations within the UASI footprint, including all work group and hub participants. **All proposals must meet the following criteria:**

- Be submitted by the person who will be primarily responsible for project implementation
- Have the approval of the relevant department head
- Have a clear nexus to terrorism
- Enhance the region's priority capabilities
- Be regional insofar that the project directly benefits at least two operational areas

Note that community-based and nonprofit groups are welcome to submit proposals but must do so through a government sponsor/partner.

**Proposals may only be submitted using an online form to the Management Team from October 15<sup>th</sup> – November 15<sup>th</sup>, 2013.** All proposals must be **submitted by 5pm on Friday November 15<sup>th</sup>**, and late proposals will be considered ineligible. **Please note that all proposals – including those using core city and sustainment allocations – must be submitted by the November 15<sup>th</sup> deadline.**

Upon receipt of the proposals, the Management Team will share them with the appropriate Approval Authority members for review. This review will take place before proposals are distributed to the hubs for prioritization.

Many Bay Area UASI jurisdictions undergo an internal vetting process of their own to identify which proposals should be submitted for UASI funding. Please note that such processes are the responsibility of each jurisdiction. UASI jurisdictions that wish to undertake internal vetting processes should do so before the November 15<sup>th</sup> deadline.

The proposal template can be found in Appendix A of this guidance. Submitters are strongly encouraged to integrate Federal, State and local grant and general funds when developing FY 2014 projects, with an understanding that the rules governing the use of those funds may vary from funding source to funding source. Please see section 11 of this guidance for important information on allowable expenses for UASI federal funds.

## 5. Role of the Work Groups

The Bay Area encourages regional subject matter experts to discuss possible projects through the venue of the Bay Area UASI work groups.

*Work group composition:*

- Work group meetings are open to all who would like to participate within the twelve county Bay Area UASI.
- Bay Area UASI Approval Authority and Advisory Group members should attempt to ensure their jurisdiction is represented in all work groups for optimum inclusion in all UASI project discussions.
- Work group meetings are chaired by project managers representing the UASI Management Team.
- Each work group is assigned a goal or set of goals from the *Bay Area Homeland Security Strategy*. The work groups and their areas of responsibility concerning projects for FY 2014 are:

Goal #	Bay Area Homeland Security Strategy Goal	Work group Title
1	Regional planning and risk management	Risk Management/Information Analysis and Infrastructure Protection
2	Regional intelligence, information sharing and infrastructure protection	
3	Regional interoperable communications	Interoperable Communications
4	Chemical, Biologic, Radiologic, Nuclear and Explosive (CBRNE)	Regional Training & Exercise and CBRNE
8	Regional training and exercise	
5	Regional public and medical health	Regional Catastrophic Planning Team and Whole Communities
6	Regional emergency planning and citizen preparedness	
7	Regional recovery	

Note that training and exercise proposals will be referred to the training and exercise program, as in prior years. However, exercise requests that exceed \$50,000 and that benefit the entire Bay Area region will be referred to the Advisory Group to consider as a regional project. Exercise requests above the \$50,000 threshold that do not benefit the entire Bay Area region will be referred to the General Manager to determine an appropriate review process.

*“Informal” work group proposal discussions:*

At their regularly scheduled meetings in September, work groups will meet to discuss gaps and capability needs of the region. Topics to discuss could include:

- What projects would enhance the region’s priority capabilities?
- Does the proposed project have a direct nexus to terrorism?
- Is the proposed project regional insofar that it directly benefits at least two operational areas? Could it benefit a larger area?
- Is the proposed project budget of a reasonable amount?
- Why is the proposed investment critical and important?

Bay Area UASI project managers who chair the work group discussions will take notes on this discussion and pass this information along to the hub decision-makers for their consideration in prioritizing project proposals (see next section). All project proposal originators are welcome to attend work group meetings in order to share proposal ideas and gather work group members’ input on regional gaps and capabilities to best inform project proposal development.

**\*\*\*NOTE THAT THE UASI MANAGEMENT TEAM WILL NOT FORMALLY COORDINATE A DISCUSSION OF EACH PROPOSAL AT THE WORK GROUP LEVEL AS WAS CONDUCTED LAST YEAR.**

*Participation of work group members in hub selection processes:*

Work group participants and other subject matter experts may have an opportunity to participate in hub meetings, at the discretion of the hub voting members. Please see next section.

## 6. Role of the Hubs

In FY14 as in the past couple of years, the Bay Area is utilizing hub groups to prioritize proposed projects.

### *Hub composition:*

- As in prior years, the hubs will be based on the geographical location of the agencies based on North, East, South and West Bay Areas.
- Each Approval Authority Member will be asked to assign three to five people to represent his or her operational area/core city at the hub project proposal prioritization meetings. These hub representatives are referred to as hub voting members. Approval Authority Members are urged to appoint representatives that reflect the diversity of the Bay Area Homeland Security Strategy goals.
- Hub meetings will be coordinated and facilitated by “hub coordinators,” who are hub planners and/or UASI Management Team members.

### *Preparations for hub project proposal prioritization meeting:*

In advance of the hub meetings, the Management Team will provide hub participants with all submitted proposals for their hubs as well as discussion notes from the work groups. These read-ahead materials will also include a review by the UASI Management Team as to whether proposals meet the criteria laid on page 3 of this guidance. Hub planners will solicit any questions hub voting members may have for regional subject matter experts in advance of the meetings.

### *Project prioritization process:*

Hubs will meet in January 2014 to decide on the final prioritized list of projects for recommendation to the Advisory Group. 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 what was provided to the hub from last year’s (FY13) allocation (see Section 8 Allocation of Funding). The hubs’ prioritized lists of projects should include projects in order of importance to be funded by the forthcoming FY14 allocation. The hub voting members will prioritize projects proposals and funding amounts to match the planned hub funding allocation as “above the line” projects. Each hub should also carefully develop a list of “below the line” projects for if/when additional funds become available in the future. This should include short time frame projects.

Hub voting members may make modifications to proposals during the meeting with the agreement of the original project proposers as long as these modifications are consistent with the original goals and objectives 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 3 above.

*Participation at hub meetings:*

The Bay Area UASI Management Team encourages “open” hub selection meetings, whereby proposers and subject matter experts such as work group participants are invited to listen and participate in the prioritization process. However, it will be at the discretion of the hub voting members to determine whether proposers and other subject matter experts such as work group participants are invited to their deliberation meetings, and the nature of subject matter expert participation at such meetings.

## 7. Role of the Advisory Group

The UASI Advisory Group plays two critical roles in the project proposal prioritization process – (1) prioritizing regional projects for Approval Authority approval, and (2) reviewing hub-selected projects for recommendation to the Approval Authority for approval.

### *Prioritize sustainment/regional projects:*

The Advisory Group will review and prioritize proposals that are regional in nature, “off the top,” and/or sustainment projects for approval by the Approval Authority. Similar to the process conducted by hub voting members at the hub level, the Advisory Group will develop a list of prioritized projects based on regional need and local capabilities. Ideally prioritization will be done by consensus, but voting may occur as needed. The Management Team will provide the Advisory Group with a planning amount based on what was provided for regional/sustainment projects from last year’s (FY13) allocation. The prioritized list of projects should include projects in order of importance to be funded by the forthcoming FY14 allocation. This list should also develop “below the line” projects for if/when additional funds become available in the future. This should include short time frame projects.

The Advisory Group will meet in January 2014 to conduct this review. In advance of this meeting, the Management Team will provide Advisory Group participants with submitted regional/sustainment proposals as well as discussion notes from the work groups. These read-ahead materials will also include a review by the Management Team as to whether proposals meet the criteria laid on page 3 of this guidance. Management Team staff will solicit any questions Advisory Group members may have for regional subject matter experts in advance of the meeting.

The Management Team encourages “open” selection meetings, whereby proposers and subject matter experts are invited to listen and participate in the prioritization process. However, it will be at the discretion of the Advisory Group members to determine whether proposers and other subject matter experts are invited to their deliberation meeting and the nature of subject matter expert participation. The Management Team will be responsible for organizing the meeting given the direction provided to them by the Advisory Group members.

### *Review proposed projects prioritized by the hubs.*

The other key responsibility of the Advisory Group is to provide a review of hub-selected projects to reduce duplication of effort and confirm prioritization of projects based on attainable mitigation of regional risk. This meeting will take place in February 2014, and the deliverable will be recommendations to the Approval Authority for the March Approval Authority meeting.

## 8. Allocation of Funding

In the next Approval Authority meeting following the announcement of the FY 2014 grant award, the Approval Authority will approve specific allocation amounts among the categories of core city allocations, regional/sustainment projects, and hub projects. Projects within those categories will then be funded in order of priority, as specified by hubs/Advisory Group, and as approved by the Approval Authority.

Until the FY 2014 grant award is announced, for planning purposes, the Bay Area will operate under the assumption that the FY 2014 funding will be approximately equal to the amount allocated in FY 2013 – \$27,252,169. For reference, below please find the FY13 hub and regional/sustainment allocations. These will be used in the FY14 cycle for planning purposes:

### FY 13 Hub and Regional/Sustainment Allocations

East Hub	\$1,141,961
North Hub	\$366,787
South Hub	\$1,302,272
West Hub	\$2,262,108
Regional/Sustainment	\$11,175,308
Core City	\$3,000,000
Management Team	\$3,330,000
State Holdback	\$4,673,733
<b>TOTAL</b>	<b>\$27,252,169</b>

## 9. Priority Capability Objectives

*These priority capability objectives are based on the Bay Area Homeland Security Strategy and were applied to the FY13 UASI funding cycle. The updated objectives for FY14 cycle will be presented to the Approval Authority on October 10, 2013 for approval. The capability objectives from the FY13 cycle should be used as guidance until October when the updated objectives are available. **In order to be eligible for FY14 funding, all proposed projects must fulfill at least one of these priority capability objectives.***

<b>Goal 1 Strengthen the Regional Risk Management and Planning Program</b>
Objective 1.1 Enhance Planning, Threat and Hazard Identification, and Risk Management Capabilities
<b>Goal 2 Enhance Information Analysis and Infrastructure Protection Capabilities</b>
Objective 2.2 Strengthen Terrorism Attribution, Interdiction and Disruption Capabilities
Objective 2.3 Increase Critical Infrastructure Protection
<b>Goal 3 Strengthen Communications Capabilities</b>
Objective 3.1 Enhance Operational Communications Capabilities
<b>Goal 4 Strengthen CBRNE Detection, Response, and Decontamination Capabilities</b>
Objective 4.1 Improve Public and Private Services and Resources Management through Fire Incident Response Support
Objective 4.2 Strengthen Mass Search and Rescue Capabilities
Objective 4.4 Strengthen On-Scene Security and Protection through Explosive Device Response Operations
Objective 4.6 Enhance Environmental Response/Health and Safety through WMD/HazMat Response and Decontamination Capabilities
Objective 4.7 Strengthen Operational Coordination Capabilities
Objective 4.8 Improve Environmental Response/Health and Safety through Responder Safety and Health
Objective 4.9 Enhance On-Scene Security and Protection through Emergency Public Safety and Security Response
<b>Goal 5 Enhance Medical and Public Health Preparedness</b>
Objective 5.1 Enhance Emergency Triage and Pre-Hospital Treatment
Objective 5.3 Strengthen Medical Countermeasure Dispensing
Objective 5.8 Enhance Fatality Management
<b>Goal 6 Strengthen Emergency Planning and Citizen Preparedness Capabilities</b>
Objective 6.1 Strengthen Emergency Public Information and Warning Capabilities
Objective 6.2 Enhance Critical Transportation Capabilities
Objective 6.3 Improve Mass Care
Objective 6.4 Increase Community Resiliency
<b>Goal 7 Enhance Recovery Capabilities</b>
Objective 7.1 Strengthen Infrastructure Systems
Objective 7.2 Enable Economic Recovery

Detailed description of the priority capability objectives is as follows:

<b>Goal 1 Strengthen the Regional Risk Management and Planning Program</b>
<b>Objective 1.1 Enhance Planning, Threat and Hazard Identification, and Risk Management Capabilities:</b> The Bay Area is able to identify and assess the threats and hazards that pose the greatest risk to the whole community. The region can prioritize and select appropriate capability-based planning investments and solutions for prevention, protection, mitigation, response, and recovery concerning those risks; monitor the outcomes of allocation decisions; and undertake corrective and sustainment actions.
<b>Goal 2 Enhance Information Analysis and Infrastructure Protection Capabilities</b>
<b>Objective 2.2 Strengthen Terrorism Attribution, Interdiction and Disruption Capabilities:</b> The Bay Area's law enforcement community (federal, state and local) and other public safety agencies can conduct forensic analysis and attribute terrorist threats and acts to help ensure that suspects involved in terrorist and criminal activities related to homeland security are successfully identified, deterred, detected, disrupted, investigated, and apprehended.
<b>Objective 2.3 Increase Critical Infrastructure Protection:</b> The region can assess the risk to physical & cyber critical infrastructure and key resources from acts of terrorism, crime, and natural hazards and deploy a suite of actions to enhance protection and reduce the risk to the region's critical infrastructure and key resources from all hazards. This includes a risk-assessment process and tools for identifying, assessing, cataloging, and prioritizing physical and cyber assets from across the region.
<b>Goal 3 Strengthen Communications Capabilities</b>
<b>Objective 3.1 Enhance Operational Communications Capabilities:</b> The emergency response community in the Bay Area has the ability to provide a continuous flow of mission critical voice, data and imagery/video information among multi-jurisdictional and multidisciplinary emergency responders, command posts, agencies, and Bay Area governmental officials for the duration of an emergency response operation. The Bay Area can also re-establish sufficient communications infrastructure within the affected areas of an incident, whatever the cause, to support ongoing life-sustaining activities, provide basic human needs, and transition to recovery.
<b>Goal 4 Strengthen CBRNE Detection, Response, and Decontamination Capabilities</b>
<b>Objective 4.1 Improve Public and Private Services and Resources Management through Fire Incident Response Support:</b> Fire service agencies across the Bay Area can dispatch initial fire suppression resources within jurisdictional response time objectives, and firefighting activities are conducted safely with fire hazards contained, controlled, extinguished, and investigated, with the incident managed in accordance with local and state response plans and procedures.
<b>Objective 4.2 Strengthen Mass Search and Rescue Capabilities:</b> Public safety personnel in the Bay Area are able to conduct search and rescue operations to locate and rescue persons in distress and initiate community-based search and rescue support-operations across a geographically dispersed area. The region is able to synchronize the deployment of local, regional, national, and international teams to support search and rescue efforts and transition to recovery.

<p><b>Objective 4.4 Strengthen On-Scene Security and Protection through Explosive Device Response Operations:</b> Public safety bomb squads in the Bay Area are able to conduct threat assessments; render safe explosives and/or hazardous devices; and clear an area of explosive hazards in a safe, timely, and effective manner. This involves the following steps in priority order: ensure public safety; safeguard the officers on the scene (including the bomb technician); collect and preserve evidence; protect and preserve public and private property; and restore public services.</p>
<p><b>Objective 4.6 Enhance Environmental Response/Health and Safety through WMD/HazMat Response and Decontamination Capabilities:</b> Responders in the Bay Area are able to conduct health and safety hazard assessments and disseminate guidance and resources, including deploying HazMat response and decontamination teams, to support immediate environmental health and safety operations in the affected area(s) following a WMD or HazMat incident. Responders are also able to assess, monitor, clean up, and provide resources necessary to transition from immediate response to sustained response and short-term recovery.</p>
<p><b>Objective 4.7 Strengthen Operational Coordination Capabilities:</b> The Bay Area has a fully integrated response system through a common framework of the Standardized Emergency Management System, Incident Command System and Unified Command including the use of emergency operations centers, incident command posts, emergency plans and standard operating procedures, incident action plans and the tracking of on-site resources in order to manage major incidents safely, effectively and efficiently. EOCs in the Bay Area can effectively plan, direct and coordinate information and activities internally within EOC functions, and externally with other multi-agency coordination entities, command posts and other agencies to effectively coordinate disaster response operations.</p>
<p><b>Objective 4.8 Improve Environmental Response/Health and Safety through Responder Safety and Health:</b> The Bay Area can reduce the risk of illnesses or injury to first responder, first receiver, medical facility staff member, or other skilled support personnel as a result of preventable exposure to secondary trauma, chemical/radiological release, infectious disease, or physical/emotional stress after the initial incident or during decontamination and recovery.</p>
<p><b>Objective 4.9 Enhance On-Scene Security and Protection through Emergency Public Safety and Security Response:</b> Public safety agencies within the Bay Area are able to keep the public and critical infrastructure safe by securing a particular incident scene and maintaining law and order following an incident or emergency to include managing the criminal justice prisoner population.</p>
<p><b>Goal 5 Enhance Medical and Public Health Preparedness</b></p>
<p><b>Objective 5.1 Enhance Emergency Triage and Pre-Hospital Treatment:</b> Emergency medical services (EMS) resources across the Bay Area can effectively and appropriately be dispatched (including with law enforcement tactical teams) to provide pre-hospital triage, treatment, transport, tracking of patients, and documentation of care appropriate for the incident, while maintaining the capabilities of the EMS system for continued operations up to and including for mass casualty incidents.</p>
<p><b>Objective 5.3 Strengthen Medical Countermeasure Dispensing:</b> With the onset of an incident, the Bay Area is able to provide appropriate medical countermeasures (including vaccines, antiviral drugs, antibiotics, antitoxin, etc.) in support of treatment or prophylaxis (oral or vaccination) to the identified population in accordance with local, state and federal public health guidelines and/or recommendations.</p>

**Objective 5.8 Enhance Fatality Management:** Bay Area agencies, e.g., law enforcement, public health, healthcare, emergency management, and medical examiner/coroner) are able to coordinate (to ensure the proper recovery, handling, identification, transportation, tracking, storage, and disposal of human remains and personal effects; certify cause of death; and facilitate access to mental/ behavioral health services to the family members, responders, and survivors of an incident.

**Goal 6 Strengthen Emergency Planning and Citizen Preparedness Capabilities**

**Objective 6.1 Strengthen Emergency Public Information and Warning Capabilities:** The region has an interoperable and standards-based system of multiple emergency public information and warning systems that allows Bay Area leaders and public health and safety personnel to disseminate prompt, clear, specific, accurate, and actionable emergency public information and warnings to all affected members of the community in order to save lives and property concerning known threats or hazards.

**Objective 6.2 Enhance Critical Transportation Capabilities:** The Bay Area can provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people, including those with access and functional needs, and animals, and the delivery of vital response personnel, equipment, and services into the affected incident areas to save lives and to meet the needs of disaster survivors.

**Objective 6.3 Improve Mass Care:** Mass care services, including sheltering, feeding, and bulk distribution, are rapidly, effectively and efficiently provided for the impacted population, including those with access and functional needs, in a manner consistent with all applicable laws, regulations and guidelines.

**Objective 6.4 Increase Community Resiliency:** The Bay Area has a formal structure and process for ongoing collaboration between government and nongovernmental resources at all levels to prevent, protect/mitigate, prepare for, respond to and recover from all known threats and hazards.

**Goal 7 Enhance Recovery Capabilities**

**Objective 7.1 Strengthen Infrastructure Systems:** The Bay Area can provide accurate situation needs and damage assessments by utilizing the full range of engineering, building inspection, and code enforcement services in a way that maximizes the use of resources, aids emergency response, implements recovery operations, and restores the affected area to pre-incident conditions as quickly as possible. The Bay Area can coordinate activities between critical lifeline operations and government operations to include a process for getting the appropriate personnel and equipment to the disaster scene so that lifelines can be restored as quickly and as safely as possible to support ongoing emergency response operations, life sustainment, community functionality, and a transition to recovery

**Objective 7.2 Enable Economic Recovery:** During and following an incident, the Bay Area can estimate economic impact, prioritize recovery activities, minimize business disruption, and provide individuals and families with appropriate levels and types of relief with minimal delay.

## 10. Summary Timeline

WHO	WHAT	WHEN	DETAILS
UASI Management Team	Outreach	September 2013	Management Team sends the FY14 implementation guidance to UASI stakeholders as well notice of the webinar kick off.
UASI Work Groups	Informal proposal discussions	September 2013	Work groups discuss projects ideas as well as regional gaps and priorities. Management Team staff will provide notes on proposal discussions to hub voting members.
UASI Management Team	Kick off webinar	October 3, 2013	Management Team hosts webinar for those interested to submit proposals; open to any UASI stakeholder. Staff will review project proposal template, grant requirements, and proposal selection criteria and process. The webinar will be recorded and will be available on the Bay Area UASI website for later viewing.
UASI Stakeholders	Proposal submissions	October 15 – November 15, 2013	Proposals must have a clear nexus to terrorism, enhance the region’s priority capabilities, and be regional insofar that there are direct benefits to at least two operational areas.
Approval Authority	Approval Authority electronic review	December 2 – 8, 2013	Management Team sends all proposals for each OA/core city to the relevant Approval Authority Member for review.
Hubs	Prioritize	January 2013	Hubs list projects in order of importance to be funded, including “above” and “below” the line, based on the estimated funding available
Advisory Group	Prioritize regional projects	January 2013	The Advisory Group lists sustainment/regional projects in order of importance to be funded including “above” and “below” the line, based on the estimated funding available
Advisory Group	Recommend	February 2013	The Advisory Group reviews hub-selected projects and makes recommendations to the Approval Authority
Approval Authority	Approve	March 2014	Approve hub and regional project submissions.

## 11. Allowable Spending Guidelines

*Please note that DHS has yet to issue guidelines for FY14. In the absence of this information, below please find the allowable spending information for FY13. The Management Team will update these guidelines when FY13 information becomes available.*

The following is a summary of allowable spending areas under the UASI program as it pertains to the Bay Area UASI. If hubs have questions regarding allowable cost items they should contact the Bay Area UASI Management Team for clarification. The spending areas are broken out largely under the planning, organization, equipment, training and exercises (POETE) spending areas. This matches the Bay Area Strategy, which also 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 simply outline what is allowable. They are not a list of what hubs should or must purchase. Rather, the spending areas in this guidance must be viewed in the context of the Bay Area Homeland Security Strategy's goals and objectives. The spending areas serve as a guide for what hubs can purchase in their efforts to implement the Bay Area Strategy, which is the document that should drive hub expenditures. The following are definitions for the terms as used in this interim guidance:

**Hiring** – Hubs may use grant funding to cover the salary of newly hired personnel who are exclusively undertaking allowable DHS/FEMA program activities as specified in this guidance. This may not include new personnel who are hired to fulfill any non-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 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 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 shall not replace (supplant) funds that have been appropriated for the same purpose. Applicants or grantees 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.

## 11.1 Planning

FY 2014 funds may be used for a range of emergency preparedness and management planning activities and that support Performance Objectives such as THIRA and Planning, by placing an emphasis on updating and maintaining a current EOP that conforms to the guidelines outlined in CPG 101 v.2 as well as development and maintenance of a THIRA. Planning must include participation from all stakeholders in the community who are able to contribute critical perspectives and may have a role in executing the plan. Planning should be flexible enough to address incidents of varying types and magnitudes. Grantees must use the *CPG 101: Developing and Maintaining Emergency Operations Plans* in order to develop robust and effective plans. For additional information, please see

[http://www.fema.gov/pdf/about/divisions/npd/CPG\\_101\\_V2.pdf](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
- DHS national initiatives including but not limited to the following:
  - Implementing the NPG and the Whole Community Approach to Security and Emergency Management
  - Pre-event recovery planning
  - Implementing the National Infrastructure Protection Plan (NIPP) and associated Sector Specific Plans
  - Enhancing and implementing Statewide Communication Interoperable Plan (SCIP) and Tactical Interoperable Communications Plans (TICP) that align with the goals, objectives, and initiatives of the *National Emergency Communications Plan* (NECP)
  - Costs associated with the adoption, implementation, and adherence to NIMS compliance requirements, including implementing the NIMS National Credentialing Framework
  - Modifying existing incident management and EOPs to ensure proper alignment with the National Response Framework (NRF) coordinating structures, processes, and protocols
  - Establishing or enhancing mutual aid agreements
  - Developing communications and interoperability protocols and solutions
  - Conducting local, regional, and tribal program implementation meetings
  - Developing or updating resource inventory assets in accordance to typed resource definitions issued by the NIC
  - Designing State and local geospatial data systems
  - Developing and conducting public education and outreach campaigns, including promoting individual, family, and organizational emergency preparedness; alerts and warnings education; promoting training, exercise, and volunteer opportunities; informing the public about emergency plans, evacuation routes, shelter locations; and evacuation plans as well as CBRNE prevention awareness

- Designing programs to address targeting at-risk populations and engaging them in emergency management planning efforts
- Activities, materials, services, tools and equipment to achieve planning, protection, mitigation, response and recovery that is inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities)
- Preparing materials for State Preparedness Reports (SPRs)
- Developing related terrorism prevention activities including:
  - Developing THIRA that reflects a representative make up and composition of the jurisdiction
  - Developing initiatives that directly support local efforts to understand, recognize, prepare for, prevent, mitigate, and respond to pre-operational activity and other crimes that are precursors or indicators of terrorist activity, in accordance with civil rights/civil liberties protections
  - Developing law enforcement prevention activities, to include establishing and/or enhancing a fusion center
  - Hiring an IT specialist to plan, develop, and implement the IT applications necessary for a fusion center
  - Developing and planning for information/intelligence sharing groups
- Integrating and coordinating the fire service, emergency management, public health care, public safety, and health security data-gathering (threats to human and animal health) within fusion centers to achieve early warning, monitoring, and mitigation of threats:
  - Integrating and coordinating private sector participation with fusion center activities
  - Developing and implementing preventive radiological/nuclear detection activities
  - Acquiring systems allowing connectivity to State, local, tribal, territorial, and Federal data networks, such as the National Crime Information Center (NCIC) and Integrated Automated Fingerprint Identification System (IAFIS), as appropriate
  - Planning to enhance security during heightened alerts, terrorist incidents, and/or during mitigation and recovery
  - Multi-discipline preparation across first responder community, including EMS for response to catastrophic events and acts of terrorism
  - Accessible public information/education: printed and electronic materials, public service announcements, seminars/town hall meetings, and web postings coordinated through local Citizen Corps Councils or their equivalent
  - Volunteer programs and other activities to strengthen citizen participation
  - Conducting public education campaigns including promoting suspicious activity reporting and preparedness; individual, family, and organizational emergency preparedness; promoting the *Ready* campaign; and/or creating State, regional, or local emergency preparedness efforts that build upon the *Ready* campaign
  - Evaluating Critical Infrastructure Protection (CIP) security equipment and/or personnel requirements to protect and secure sites
  - CIP cost assessments, including resources (e.g., financial, personnel) required for security enhancements/deployments
  - Multi-Jurisdiction Bombing Prevention Plans (MJBPP)

- Underwater Terrorist Protection Plans
- Developing and enhancing plans and protocols, including but not limited to:
  - Community-based planning to advance “whole community” security and emergency management
  - Incorporating government/non-governmental collaboration, citizen preparedness, and volunteer participation into State and local government homeland security strategies, policies, guidance, plans, and evaluations
  - Developing, enhancing, maintaining a current EOP that conforms to the guidelines outlined in the CPG 101 v.2
  - Developing or enhancing local, regional, or Statewide strategic or tactical interoperable emergency communications plans
  - Activities associated with a conversion from wideband to narrowband voice channels to support interoperability
  - Implementing SCIP and TICPs that align with the goals, objectives, and initiatives of the NECP
  - Developing protocols or standard operating procedures for specialized teams to incorporate the use of equipment acquired through this grant program
  - Developing terrorism prevention/protection plans
  - Developing plans, procedures, and requirements for the management of infrastructure and resources related to HSGP and implementation of State or Urban Area Homeland Security Strategies
  - Developing plans for mass evacuation and pre-positioning equipment
  - Developing or enhancing plans for responding to mass casualty incidents caused by any hazards
  - Developing or enhancing applicable procedures and operational guides to implement the response actions within the local plan including patient tracking that addresses identifying and tracking children, access and functional needs population, and the elderly and keeping families intact where possible
  - Developing or enhancing border security plans
  - Developing or enhancing cyber security and risk mitigation plans
  - Developing or enhancing secondary health screening protocols at major points of entry (e.g., air, rail, port)
  - Developing or enhancing agriculture/food security risk mitigation, response, and recovery plans
  - Developing public/private sector partnership emergency response, assessment, and resource sharing plans
  - Developing or enhancing plans to engage and interface with, and to increase the capacity of, private sector/non-governmental entities working to meet the human service response and recovery needs of survivors
  - Developing or updating local or regional communications plans
  - Developing plans to support and assist jurisdictions, such as port authorities and rail and mass transit agencies
  - Developing or enhancing continuity of operations and continuity of government plans
  - Developing or enhancing existing catastrophic incident response and recovery plans to include and integrate Federal assets provided under theNRF

- Developing plans and response procedures for adjudicating, validating and responding to an alarm from a chemical or biological detector (response procedures should include emergency response procedures integrating local first responders)
- Developing or enhancing evacuation plans
- Developing mechanisms for utilizing the National Emergency Family Registry and Locator System (NEFRLS)
- Developing or enhancing plans to prepare for surge capacity of volunteers
- Developing or enhancing the State emergency medical services systems
- Developing or enhancing plans for donations and volunteer management and the engagement/integration of private sector/non-governmental entities in preparedness, mitigation, response, and recovery activities
- Developing or enhancing Bombing Prevention Plans
- Developing school preparedness plans
- Developing preparedness plans for child congregate care facilities, including group residential facilities, juvenile detention facilities, and public/private child care facilities
- Developing plans to educate youth on disaster preparedness
- Ensuring EOPs adequately address warnings, emergency public information, evacuation, sheltering, mass care, resource management from non-governmental sources, unaffiliated volunteer and donations management, and volunteer resource integration to support each Emergency Support Function, to include appropriate considerations for integrating activities, materials, services, tools and equipment to achieve planning inclusive of people with disabilities (physical, programmatic and communications access for people with physical, sensory, mental health, intellectual and cognitive disabilities). Developing and implementing civil rights, civil liberties, and privacy policies, procedures, and protocols
- Designing and developing State, local, tribal, and territorial geospatial data systems
- Developing and implementing statewide electronic patient care reporting systems compliant with the National Emergency Medical Services
- Information System (NEMESIS)
  - Costs associated with inclusive practices and the provision of reasonable accommodations and modifications to provide full access for children and adults with disabilities
- Developing or conducting assessments, including but not limited to:
  - Conducting point vulnerability assessments at critical infrastructure sites/key assets and develop remediation/security plans
  - Conducting or updating interoperable emergency communications capabilities assessments at the local, regional, or Statewide level
  - Developing border security operations plans in coordination with CBP
  - Developing, implementing, and reviewing Area Maritime Security Plans for ports, waterways, and coastal areas
  - Updating and refining threat matrices
  - Conducting cyber risk and vulnerability assessments

- Conducting assessments and exercising existing catastrophic incident response and recovery plans and capabilities to identify critical gaps that cannot be met by existing local, regional, and State resources
- Conducting Bombing Prevention Capability Analysis
- Activities that directly support the identification of specific catastrophic incident priority response and recovery projected needs across disciplines (e.g., law enforcement, fire, EMS, public health, behavioral health, public works, agriculture, information technology, and citizen preparedness)
- Activities that directly support the identification of pre-designated temporary housing sites
- Activities that support the identification and development of alternate care sites
- Conducting community assessments, surveys, and research of vulnerabilities and resource needs to determine how to meet needs and build effective and tailored strategies for educating individuals conducting assessments of the extent to which compliance with the integration mandate of disability laws is being achieved
- Soft target security planning (e.g., public gatherings)
- Identifying resources for medical supplies necessary to support children during an emergency, including pharmaceuticals and pediatric-sized equipment on which first responders and medical providers are trained
- Ensuring subject matter experts, durable medical equipment, consumable medical supplies and other resources required to assist children and adults with disabilities to maintain health, safety and usual levels of independence in general population environments
- Developing and implementing a community preparedness strategy for the State/local jurisdiction
- Establishing, expanding, and maintaining volunteer programs and volunteer recruitment efforts that support disaster preparedness and/or response
  - Citizen support for emergency responders is critical through year-round volunteer programs and as surge capacity in disaster response, including but not limited to: Citizen Corps Affiliate Programs and Organizations, Community Emergency Response Teams (CERT), Fire Corps, Medical Reserve Corps (MRC), Neighborhood Watch/USAonWatch, Volunteers in Police Service (VIPS), and jurisdiction specific volunteer efforts
- Establishing and sustaining Citizen Corps Councils or their equivalent
- Working with youth-serving organizations to develop and sustain a youth preparedness program

## 11.2 Organization

Organizational activities include:

- Program management;
- Development of whole community partnerships;
- Structures and mechanisms for information sharing between the public and private sector;

- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors;
- Operational Support;
- As identified in priority one 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.
- Proposed expenditures of funds to support organization activities within the project submission must use historical data or other analysis.
- Up to 50 percent (50%) of FY 2013 funding may be used for personnel costs.

**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. These include subject-matter expertise, analytic methodologies, customer-service ethics, information handling and processing skills, critical thinking skills, computer literacy, and objectivity and intellectual honesty. 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 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. FY 2013 UASI 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:

The following organization activities in support of public-private partnerships are allowable expenses:

- Program management:
  - Salary for a dedicated liaison who acts as the primary point of contact, coordinates the public-private partnership and ensures proper implementation of the strategic plan
  - Facilities, including meeting space and work space for private sector liaisons. Grantees are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
  - Supplies needed to support regular communications
- 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
- Sustain partnership efforts to include:
  - Support for in-person meetings, events, and conferences that bring the public and private sectors together. Grantees are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
  - Web-based and social media tactics (webinars, emails, newsletters, alerts, databases, online collaboration tools, website development and maintenance, etc)
  - Innovative approaches for reaching the Whole Community to include translated material for individuals who are blind and or have low vision capability and those with English as a second language and coalitions among citizens.
  - Leverage already existing structures and mechanisms, such as Citizen Corps, for sharing information and engaging members of the Whole Community to include: for-profit and not-for-profit entities, faith based and community organizations, youth-serving and youth advocates, those that support socio-economic and diverse cultures
- Structures and mechanisms for information sharing between the public and private sector:
  - Tools, software, programs, and other mechanisms that support two-way information sharing during normal and emergency operations
  - Means to receive input or feedback from the private sector, and encourage participation from civic leaders from all sectors
  - Regular and timely communications on subjects relating to all phases of emergency management, such as newsletters, emails, and alerts

- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors
  - Web-based and new media platforms that allow real-time information exchange
  - Asset mapping, such as participation in FEMA’s Total Asset Visibility and LogViz initiatives
  - A seat(s) in the emergency operation center, or virtual EOC Operational Support:
  - Tools for identifying and tracking available paid and unpaid disaster response resources
  - Dedicated space and equipment for private sector representation within a State, county, or city emergency operation center
  - A dedicated business emergency operations center that works with the State, county or city EOC (not construction)
  - Tools for real time information sharing between the public and private sector
  - Licensing, screening, or other requirements for access to real EOC or virtual EOC
- Backfill and overtime expenses for staffing fusion centers;
  - Hiring of contracted security for critical infrastructure sites;
  - Public safety overtime (as defined in this FOA);
  - 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, as outlined in Information Bulletin 135.

The following organization activities in support of **public-private** partnerships are allowable expenses:

- Program management:
  - Salary for a dedicated liaison who acts as the primary point of contact, coordinates the public-private partnership and ensures proper implementation of the strategic plan
  - Facilities, including meeting space and work space for private sector liaisons. Sub-recipients are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities
  - Supplies needed to support regular communications
- 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
- Sustain partnership efforts to include:
  - Support for in-person meetings, events, and conferences that bring the public and private sectors together. Grantees are encouraged to use free space/locations/facilities, whenever possible, prior to the rental of space/locations/facilities

- Web-based and social media tactics (webinars, emails, newsletters, alerts, databases, online collaboration tools, website development and maintenance, etc)
- Innovative approaches for reaching the Whole Community to include translated material for individuals who are blind and or have low vision capability and those with English as a second language and coalitions among citizens.
- Leverage already existing structures and mechanisms, such as Citizen Corps, for sharing information and engaging members of the Whole Community to include: for-profit and not-for-profit entities, faith based and community organizations, youth-serving and youth advocates, those that support socio-economic and diverse cultures
- Structures and mechanisms for information sharing between the public and private sector:
  - Tools, software, programs, and other mechanisms that support two-way information sharing during normal and emergency operations
  - Means to receive input or feedback from the private sector, and encourage participation from civic leaders from all sectors
  - Regular and timely communications on subjects relating to all phases of emergency management, such as newsletters, emails, and alerts
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors
  - Web-based and new media platforms that allow real-time information exchange
  - Asset mapping, such as participation in FEMA's Total Asset Visibility and LogViz initiatives
  - A seat(s) in the emergency operation center, or virtual EOC Operational Support:
  - Tools for identifying and tracking available paid and unpaid disaster response resources
  - Dedicated space and equipment for private sector representation within a county or city emergency operation center
  - A dedicated business emergency operations center that works with the county or city EOC (not construction)
  - Tools for real time information sharing between the public and private sector
  - Licensing, screening, or other requirements for access to real EOC or virtual EOC

### **11.3 Equipment**

The 21 allowable prevention, protection, mitigation, response, and recovery equipment categories and equipment standards for FY 2013 HSGP are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), at <https://www.rkb.us>. 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.

FY 2013 HSGP funds used to support emergency communications activities should comply with the *FY 2013 SAFECOM Guidance for Emergency Communication Grants*, including provisions on technical standards that ensure and enhance interoperable communications. Emergency

communications activities include the purchase of Interoperable Communications Equipment and technologies such as voice-over-internet protocol bridging or gateway devices, or equipment to support the build out of wireless broadband networks in the 700 MHz public safety band under the Federal Communications Commission Waiver Order. SAFECOM guidance can be found at <http://www.safecomprogram.gov>. Grant funds may be used for the procurement of medical countermeasures. Procurement of medical countermeasures must be conducted in collaboration with State/city/local health department who administer Federal funds from the Department of Health and Human Services for this purpose. 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, grantees must have in place an inventory management plan to avoid large periodic variations in supplies due to coinciding purchase and expiration dates. Hubs 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 the period of performance of the FY 2013 HSGP. The cost of disposal cannot be carried over to another FEMA grant or grant period.

#### **11.4 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).

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
- 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
- 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.

#### **11.5 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://hseep.dhs.gov>. 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
- Travel
- Supplies

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>.

## **Maintenance and Sustainment**

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable under all active and future grant awards, unless otherwise noted.

FY 2013 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 Information Bulletin 336 (Maintenance and Sustainment) has been expanded to allow for the support of equipment that has previously been purchased with both Federal grant and non-Federal grant funding. Hubs need to ensure that eligible costs for maintenance and sustainment be an allowable expenditure under applicable grant programs and support one of the core capabilities in the five mission areas contained within the NPG and be deployable through EMAC, where applicable.

### **11.6 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;
- 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 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.

### **11.7 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 viable inventory management plan, an effective distribution strategy, sustainment costs for such an effort, and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning.

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.

### **11.8 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 FY 2013 HSGP grant funds. To avoid unnecessary delays in starting a project, proposers are encouraged to pay close attention to the reporting requirements for an EHP review. For more information on FEMA's EHP requirements, please refer to Information Bulletins 329 and 345 (<http://www.fema.gov/government/grant/bulletins/index.shtm>).

FY 2013 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 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>.

## **11.9 Personnel**

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable FY 2013 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. FY 2013 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.

Definitions for hiring, overtime, backfill-related overtime, and supplanting remain unchanged from FY 2011 HSGP.

## **11.10 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 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.

Proposers are reminded that personnel-related activities associated with OPacks will be subject to the PRICE Act requirements in which up to 50 percent (50%) of FY 2013 funding may be used for personnel costs.

# Appendix A - FY14 Proposal Template



# FY2014 UASI PROJECT PROPOSAL FORM

This form is for informational purposes only  
**DO NOT USE THIS FORM TO SUBMIT A PROJECT!**

## 1. OVERVIEW

**HUB, Core City or Regional**

**Operational Area**

**Agency**

**Project Name**

**Total Project Cost**

**Allocation Requested**

**Minimum Allocation Request**

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## PROJECT LEAD CONTACT INFORMATION

<b>Name</b>	<b>Title</b>
<b>Business Phone</b>	<b>E-mail</b>
<b>Cell</b>	<b>Fax</b>

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## DEPARTMENT HEAD CONTACT INFORMATION

<b>Name</b>	<b>Title</b>
<b>Phone</b>	<b>E-mail</b>
<b>Department Head Approval</b>	Yes      No

## 2. PROJECT DESCRIPTION

Provide a description of this Project, including the planning, organization, equipment, training, and/or exercises that will be involved

### PROJECT SUMMARY

*Provide a brief description of your project.*

*A maximum of 375 character limit is allowed for this response*

## PROJECT DESCRIPTION

*Provide a brief narrative describing the items or services being funded.*

*POETE elements (Planning, Organization, Equipment, Training and Exercises)*

*A maximum of 1850 character limit is allowed for this response.*

## PROJECT ACCOMPLISHMENT SUMMARY

*Provide a brief description of the outcomes that will be achieved as a result of this investment.*

*A maximum of 375 character limit is allowed for this response*

## DESCRIBE EXISTING CAPABILITY LEVELS THAT SUPPORT THE IDENTIFIED GOAL AND OBJECTIVE (BASELINE)

*Provide a brief description of your existing capabilities.*

*A maximum of 550 character limit is allowed for this response.*

## EXPLAIN THE CAPABILITY GAP(S) THAT THIS PROJECT IS INTENDED TO ADDRESS

*Provide a brief description of the gaps your project addresses.*

*A maximum of 550 character limit is allowed for this response.*

### 3. CORE CAPABILITIES For more information [CLICK HERE](#) to go to the FEMA Core Capabilities web page

Core Capability	Amount	%	
Core Capability	Amount	%	
Core Capability	Amount	%	
			TOTAL 100%

## 4. COMPLIANCE REQUIREMENTS

**Check Corresponding Box**  
**Check all that apply**

- This project will require a Request For Proposal
- This project will require a Performance Bond
- This project will require a Sole Source
- This project will require an Environmental & Historic Preservation
- This project will require an Emergency Operation Center Request Form
- This project will require an Watercraft Request Form
- This project will require an Aviation Request Form
- This project will require grant funded personnel (no supplanting)

State Forms Hyper Links: [SOLE SOURCE](#) [EHP](#) [EOC](#) [WATERCRAFT](#) [AVIATION](#)

## 5. POETE SOLUTION AREA

Provide the proposed funding amount to be obligated from this Investment towards the primary Planning, Organization, Equipment, Training, and Exercises (POETE) Solution Area. (Please provide amounts for all that apply)

Planning

Organization

**THE ORGANIZATION FIELD IS FOR FUSION CENTER USE ONLY**

Equipment

Training

Exercises

**Total**

**LETPA Amount**

(Law Enforcement Terrorism Prevention Activities)

## EQUIPMENT

**Optional, this space can be used to provide additional information about the equipment items**

*A maximum of 375 character limit is allowed for this response*

For more information [CLICK HERE](#) to go to the FEMA Preparedness Grants Authorized Equipment List (RKB)

AEL#		QTY	Amount
AEL#	21GN-00-STAX Sales Tax		Amount
AEL#	21GN-00-SHIP Shipping		Amount
AEL#	21GN-00-INST Installation		Amount
PERFORMANCE BOND ESTIMATION (1-4% OF EQUIPMENT COST)			Amount
			TOTAL

## 6. ALIGNMENT WITH THE BAY AREA HOMELAND SECURITY STRATEGY

For more information [CLICK HERE](#) to go to the 2013 Bay Area Homeland Security Strategy Goals and Objectives

**SELECT ONLY ONE GOAL** and up to two Objectives within that goal for this project      Goal

Goal 1. Strengthen the Regional Risk Management and Planning Program

**Objective**

---

Goal 2. Enhance Information Analysis and Infrastructure Protection Capabilities

**Objective**

**Objective**

---

Goal 3. Strengthen Communications Capabilities

**Objective**

---

Goal 4. Strengthen CBRNE Detection, Response, and Decontamination Capabilities

**Objective**

**Objective**

---

Goal 5. Enhance Medical and Public Health Preparedness

**Objective**

**Objective**

---

Goal 6. Strengthen Emergency Planning and Citizen Preparedness Capabilities

**Objective**

**Objective**

---

Goal 7. Enhance Recovery Capabilities

**Objective**

**Objective**

---

Goal 8. Enhance Homeland Security Exercise, Evaluation and Training Programs

**Objective**

**Objective**

## 7. PROJECT MILESTONES

Identify up to ten milestones to be achieved before the end of the twelve month period of performance under the FY 2014 UASI grant. Exact start and end dates of the period of performance are highly subject to change, due to currently unknown state and federal guidance. Our current best guess of the time frame is December 1, 2014 to December 31, 2015. Some Milestones can be achieved prior to the allocation of funding. No purchases can be made prior to completing the execution of your MOU. **For dates use (mm-dd-yyyy). Project Time is the number of months, round up**

Project Start

Project End

Project Time

### Milestone #1

# of days from the Project Start Date to complete this Milestone:

### Milestone #2

# of days from the Project Start Date to complete this Milestone:

### Milestone #3

# of days from the Project Start Date to complete this Milestone:

### Milestone #4

# of days from the Project Start Date to complete this Milestone:

### Milestone #5

# of days from the Project Start Date to complete this Milestone:

### Milestone #6

# of days from the Project Start Date to complete this Milestone:

### Milestone #7

# of days from the Project Start Date to complete this Milestone:

### Milestone #8

# of days from the Project Start Date to complete this Milestone:

### Milestone #9

# of days from the Project Start Date to complete this Milestone:

### Milestone #10

# of days from the Project Start Date to complete this Milestone:

## 8. RESOURCE TYPING

**Complete this section for Equipment and Training Projects only**

### Instructions:

1. Choose from the drop-down menu to select whether the project is equipment or training, the NIMS Typed Discipline, NIMS Typed Resource and NIMS Type #, as published by FEMA's National Integration Center (NIC) that the equipment supports, if NIMS Typed.
  - 1a. If equipment or training is not NIMS Typed, choose "State/Local Other" in drop-down menu and provide State/Local typing or Community of Interest information in the Comments.
2. Choose whether the piece of equipment or training is to "Sustain Current" existing capabilities or will increase or "Add New" capability .
3. Choose the Primary Core Capability that the Typed Resource supports.
4. Enter the cost of the equipment or training.
5. Enter additional information in the Comments, including a brief description of whether the training or equipment purchased sustains existing capabilities; adds or improves an existing capability; or builds a new capability from scratch.

For more information [CLICK HERE](#) to go to the FEMA Resource Typing web site

### Equipment or Training

#### NIMS Typed Disciplines

#### NIMS Typed Resource Supported

#### NIMS Type #

#### State/Local Typed Resource Supported (if applicable)

#### Typed Equipment to be Purchased

#### # of Personnel Trained for Typed Teams

#### # of Typed Teams Trained

#### Sustain Current Capability or Add New Capability

#### Primary Core Capability Supported

#### Cost of Typed Equipment or Training

#### Comments

*A maximum of 300 character  
limit is allowed for this  
response*

**BEFORE YOU SUBMIT YOUR PROJECT PROPOSAL, PLEASE SAVE THE FILE AND EMAIL IT TO [jeff.blau@sfgov.org](mailto:jeff.blau@sfgov.org).  
Report any problems to Jeff Blau at 415-353-5234.**