



**Bay Area Urban Areas
Security Initiative (UASI)**

Grants Manual

October 2013

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I. INTRODUCTION

A. Scope and Purpose

This manual provides the standards, policies, and processes that govern grant and project management and administration for the Bay Area UASI. Its purpose is to provide clarity and transparency around Bay Area UASI grant and project management, ensure efficiency and compliance in implementation, and ultimately to maximize the impact of federal funds to enhance the safety of Bay Area residents. This manual includes:

- Roles and responsibilities of the various entities participating in grant and project management;
- The lifecycle for Bay Area UASI projects, from identification through planning, execution, close out, and evaluation;
- Compliance requirements;
- Procurement processes;
- Financial administration; and
- Required templates and forms.

This manual is mandated by the Bay Area UASI Approval Authority By-laws (August 2013 Section 8.8) and was first provided in 2012. This updated version was presented to and approved by the Approval Authority on October 10, 2013. In addition, the Department of Homeland Security requires documentation of grant management and administration in order to access funding from the Homeland Security Grant Program.

The Bay Area UASI General Manager will review and update this manual on a regular basis to ensure compliance with federal and state grant guidelines and to incorporate policies and procedures approved by the Approval Authority. The General Manager will present proposed changes to this manual to the Approval Authority for adoption.

B. Affected Parties

The standards, policies, and processes contained herein apply to all participants in the Bay Area UASI– the Approval Authority, Advisory Group, Management Team, Working Groups, Member Jurisdictions, Contractors, Affiliated Non-Employees, and other similar individuals.

C. Federal UASI Program Background

The Urban Areas Security Initiative (UASI) is administered at the federal level by the Department of Homeland Security through its Homeland Security Grant Program within the Federal Emergency Management Agency (FEMA). The Homeland Security Grant Program provides federal funding to help state and local agencies enhance their capabilities to prevent, deter, respond to, mitigate and recover from terrorist attacks, major disasters, and other emergencies. The Homeland Security Grant Program encompasses several interrelated federal grant programs, including UASI, that together fund a range of preparedness activities as well as management and administration costs.

Since its inception in 2003, the intent of the federal UASI program has been to enhance regional preparedness in major metropolitan areas in support of the National Preparedness Guidelines. The UASI grant program provides financial assistance to address the unique multi-discipline Planning, Organization, Equipment purchase, Training, and Exercise (POETE) needs of high-threat, high-density urban areas, and to assist these areas in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats or acts of terrorism. Activities implemented with UASI funds must support terrorism preparedness, response, and recovery in order to be considered eligible. However, many capabilities which support terrorism preparedness simultaneously support preparedness for other hazards. Grantees must demonstrate the dual-use quality for any activities implemented that are not explicitly focused on terrorism preparedness.

Urban areas must use UASI funds to employ a regional approach to overall preparedness and adopt regional response structures whenever appropriate. UASI program implementation and governance must include regional partners and should have balanced representation among entities with operational responsibilities for prevention, protection, response, and recovery activities within the region.

D. Bay Area UASI Background

The Bay Area UASI improves capacity to prevent, protect against, respond to, mitigate and recover from terrorist incidents or related catastrophic events by providing planning, training, equipment and exercises to the Bay Area UASI region. It enhances regional capability through regional collaboration and responsibly leverages funding to achieve optimal results with the dollars available. The Bay Area UASI also coordinates and administers risk management planning and regional strategy, as well as researches, learns from, and shares what works well and what does not to inform program/product development.

The Bay Area UASI's footprint is comprised of three major cities (Oakland, San Francisco, and San Jose); twelve counties (Alameda, Contra Costa, Marin, Napa, San Benito, San Francisco, San Mateo, Santa Clara, Santa Cruz, Monterey, Solano, and Sonoma); and more than 100

incorporated cities. The primary source of funds comes from the Homeland Security Grant Program (UASI program) administered by the Department of Homeland Security.

II. ROLES AND RESPONSIBILITIES

Governed by Memoranda of Understanding (MOUs) between participant jurisdictions, the Bay Area UASI is directed by an Approval Authority. Working Groups provide subject matter expertise and regional input, and management and administration is handled by the Bay Area UASI Management Team. Sub-recipient jurisdictions implement local procurement processes to expend grant funds.

A. Approval Authority

The top tier of governance in the Bay Area UASI is the twelve-member Approval Authority that includes representation from each of the three major cities of Oakland, San Francisco, and San Jose and the counties in which they are located (Alameda, San Francisco, and Santa Clara) as well as the counties of Contra Costa, Marin, Monterey, San Mateo, and Sonoma. The California Office of Emergency Services (Cal OES) Assistant Secretary is a non-voting member.

The Approval Authority provides policy direction and is responsible for final decisions regarding grant investments. The role of the Approval Authority in grants management includes:

- ***Regional Coordination and Strategy*** – Coordinating a regional approach to prevention, protection, response, mitigation, and recovery to homeland security threats as well as approving the Bay Area Homeland Security Strategy.
- ***Risk Management*** – Adopting a regional risk management framework to administer the UASI Homeland Security Grant Program and related grants, consistent with grant guidelines and direction provided by the Department of Homeland Security and the California Office of Emergency Services (Cal OES).
- ***Grant Approval*** – Approving UASI and related grant applications and grant allocation methodologies.
- ***Management Team Budget*** – Approving the annual budget for the Bay Area UASI Management Team, based on a July 1 – June 30 fiscal year.
- ***Participation in Implementation*** – Participating in the implementation of regional initiatives that are consistent with the mission and decisions of the Approval Authority.

Approval Authority meetings take place monthly. See the August 2013 Approval Authority By-laws and Memoranda of Understanding (MOU) for more information.

B. Advisory Group

The Advisory Group includes representation from the twelve Bay Area county operational areas, the three major cities, the Northern California Regional Intelligence Center (NCRIC)/Fusion Center, as well as the Coastal Regional Administrator for the California Office of Emergency Services (Cal OES). The Advisory Group may have both a Chair and a Vice-Chair that are selected from among the membership. It is facilitated by the Management Team, which participates in the group as a non-voting member to provide technical input.

The primary role of the Advisory Group is to review proposed projects as well as how these projects are identified and prioritized. At the request of the General Manager, the Advisory Group recommends projects for approval to the Approval Authority. The Advisory Group also provides oversight to the Training and Exercise Program as well as reviews key risk management documents, such as the Threat Hazard Identification Risk Assessment (THIRA) and priority capability objectives. Advisory Group meetings take place at least quarterly and/or on an as-needed basis.

C. Management Team

The Bay Area UASI Management Team is comprised of a general manager, assistant general manager, chief financial officer, as well as project, grant, and administrative staff. The General Manager appoints members to the Management Team to implement the policies of the Approval Authority. The members of this Team are employees of or contractors with the member jurisdictions of the Approval Authority, are assigned to work full-time on the Management Team, and are paid through grant funds.

The General Manager directs and manages the Management Team, including setting job duties and responsibilities and establishing performance goals and expectations. General office, staffing, and personnel policies and procedures for the Management Team staff are documented in the Management Team Policies and Procedures Manual.

The Bay Area UASI Management Team is responsible for the administration and management of the projects that have been endorsed by the Approval Authority and all other administrative and legislative responsibilities associated with running the UASI. This includes regional capability assessment, planning and strategy development, resource allocation, implementation, and evaluation of the Bay Area UASI program. In addition, the team is responsible for the liaison role between the City and County of San Francisco, which serves as the fiscal agent for grant

funds, and the grantors and sub-recipients. The Management Team also serves as the point of contact for all inquiries and issues from regional stakeholders and facilitates Approval Authority, Advisory Group, and other Work Group and stakeholder meetings.

The Management Team is responsible for:

- ***Needs Identification*** – Working with Bay Area stakeholders to obtain input and make recommendations to the Approval Authority on grant funded projects.
- ***Coordination and Collaboration*** – Coordinating and managing working groups and stakeholders to ensure regional coordination and collaboration.
- ***Grants Administration*** – Overseeing and executing all administrative tasks associated with application for and distribution of grant funds and programs. Administering federal grant awards to ensure compliance with federal laws, regulations, executive orders, Office of Management and Budget (OMB) circulars, departmental policy, award terms and conditions, and state and local requirements.
- ***Project Management*** – Providing regional coordination, monitoring, management, and oversight of grant-funded projects and programs.
- ***Procurement*** – Developing, reviewing, and/or approving contract procurement for sub-recipient projects.
- ***Accounting*** – Reconciling financial records, responding to internal and external audits, reimbursement of sub-recipients, processing of cash requests, and ensuring all activities carried out under the Bay Area UASI grant program are reasonable and allowable.
- ***Sub-recipient Partnerships*** – Preparing and modifying agreements between the Bay Area UASI and sub-recipients as well as monitoring sub-recipients to ensure compliance with grant requirements.

D. Working Groups

Bay Area UASI Working Groups are comprised of regional stakeholders who are subject matter experts. The Bay Area UASI General Manager is empowered by the By-laws to create discipline-specific and/or functionally-determined work groups. Members of the Approval Authority are requested to provide personnel with subject matter expertise to participate in Working Groups. The General Manager may also solicit subject matter experts to include representatives from member counties and cities. In addition, members of the Approval Authority are encouraged to identify participants with relevant subject matter expertise from outside government, including non-governmental and community-based organizations, who can participate in Working Groups, consistent with FEMA’s “whole community” approach.

The primary objective of the Working Groups is to provide a venue for subject matter experts to assess regional needs and capabilities based on risk, as well as review and discuss regional grant projects. All Working Groups are project-focused and do not set policy. The role of the Working Groups also includes providing technical input and oversight during project implementation, applying lessons learned from project implementation, and providing input for portfolio evaluation and performance metrics.

Currently, there are four Working Groups in the following areas, which are consistent with the Bay Area Homeland Security Strategy goals:

- Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE)/Training and Exercises;
- Risk Management and Information Sharing;
- Interoperable Communications; and
- Health, Medical, Citizen Preparedness, and Recovery

Working Groups meet at least monthly and are chaired by a project manager from the Bay Area UASI Management Team. The Project Manager is a subject matter expert, participates in all meetings, ensures the Working Group has needed information on a timely basis to meet their responsibilities, maintains documents and records, and is responsible for contributing to regular reporting to the General Manager and Approval Authority.

E. Sub-recipient Jurisdictions

Sub-recipient jurisdictions receive grant funds from the City and County of San Francisco in its capacity as the fiscal agent and sub-grantee to the State of California for federal UASI awards. Sub-recipient jurisdictions are responsible for adhering to the project management, procurement, and financial management policies and procedures outlined in this manual. Among other things, responsibilities include:

- Active participation as a project lead;
- Drafting, approving, and following MOUs (Memoranda of Understanding);
- Ensuring financial management systems are in place;
- Requesting modifications when necessary through the use of the change request form;
- Requesting reimbursements in a timely manner;
- Conducting sub-recipient monitoring, if applicable;
- Complying with performance milestones and completing projects within the grant performance period;
- Submitting reports to the Management Team documenting project progress; and
- Participating in risk and capabilities assessments and Bay Area Homeland Security Strategy updates, as well as attending work group meetings.

F. Summary Matrix – Grant Roles and Responsibilities

<i>Steps in Project Cycle</i>	Approval Authority	Management Team	Stakeholders	Sub-recipient Project Lead
Risk and Capability Assessment	--	Coordinate	Inform	--
Homeland Security Strategy	Approve	Implement	Inform	--
Proposal Guidance	Approve	Implement	Inform – Advisory Group	--
Project Prioritizing	Approve	Coordinate	Implement – hubs and Advisory Group	--
Project Approval	Approve	Coordinate	--	--
Investment Justifications	--	Implement	--	--
Grant Application	Approve	Implement	--	--
MOUs	--	Implement	--	Inform
Reporting	Notified	Implement	Inform - workgroups	Inform
Timeline Change	Notified (over \$250K and six months)	Approve	--	Inform
Budget Change	Approve (over \$250K)/notified	Approve	--	Inform
Monitoring	--	Implement	--	Inform
Close Out	--	Approve	--	Implement
Evaluation	Notified	Implement	Inform	Inform

G. Ethical Standards

All members of the Bay Area UASI are required at all times to carry out their roles and responsibilities according to the highest ethical, professional, and quality standards. This includes conduct which is professional and competent, is cooperative with partners and stakeholders, and avoids bringing the Bay Area UASI into disrepute or negatively reflecting upon it. Members are bound by all of the rules, procedures, and specific requirements related to ethical and professional behaviors that are promulgated by their respective jurisdictions.

Hatch Act Compliance

All Bay Area UASI members and sub-recipients understand and agree that federal funds will not be used, directly or indirectly, to support the enactment, repeal, modification or adoption of any law, regulation, or policy, at any level of government, without the express prior written approval from FEMA. They will comply with provisions of the Hatch Act (5 U.S.C. Sections 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with federal funds.

Conflicts of Interest

No member of the Bay Area UASI may use their position for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain for themselves or others, particularly those with whom they have family, business, or other ties. Personnel and other officials connected with Bay Area UASI funded programs must adhere to the following federal standards for avoiding conflict of interest in grants management and administration. Violations of conflict of interest standards may result in criminal, civil, or administrative penalties.

No official or employee of a state or unit of local government or a non-governmental recipient/sub-recipient shall participate personally through decisions, approval, disapproval, recommendation, the rendering of advice, investigation, or otherwise in any proceeding, application, request for a ruling or other determination, contract, award, cooperative agreement, claim, controversy, or other particular matter in which award funds (including program income or other funds generated by federally funded activities) are used, where to his/her knowledge, he/she or his/her immediate family, partners, organization other than a public agency in which he/she is serving as an officer, director, trustee, partner, or employee, or any person or organization with whom he/she is negotiating or has any arrangement concerning prospective employment, has a financial interest, or has less than an arms-length transaction.

In the use of Bay Area UASI funds, all officials, employees, and sub-recipients must avoid any action that might result in, or create the appearance of:

- Using his or her official position for private gain;
- Giving preferential treatment to any person;
- Losing complete independence or impartiality;

- Making an official decision outside official channels; and
- Affecting adversely the confidence of the public in the integrity of the government or the program.

Where a recipient of federal funds makes sub-awards under any competitive process and an actual conflict or an appearance of a conflict of interest exists, the person for whom the actual or apparent conflict of interest exists should recuse himself or herself not only from reviewing the application for which the conflict exists, but also from the evaluation of all competing applications. As detailed in Section III of this manual (see “Approval of Solicitations and Contracts” under “C. Planning”), participants in RFP screening and evaluation processes for Bay Area UASI projects will be required to sign and adhere to impartiality/confidentiality statements.

The Approval Authority’s conflict of interest procedure is detailed in the Memorandum of Understanding (August 2013 Section 19):

If and when a Party identifies an actual or potential conflict of interest among one or more of the Parties, that Party shall send written notification to all Parties. The Party with the actual or potential conflict shall respond to the notice within three business days. The response shall indicate whether the Party agrees or disagrees that a conflict exists. If the Party agrees, that Party may take appropriate action to cure the conflict, if possible, and shall describe its corrective actions in its response. If a Party disagrees, or cannot cure an actual conflict, the Approval Authority shall meet on the conflict within not less than 30 calendar days of the initial notice, in an effort to resolve the conflict. The Approval Authority shall schedule a special meeting if necessary to meet this timeline.

Fraud

The fight against fraud is strongly endorsed and supported by the Bay Area UASI Approval Authority. All employees of local jurisdictions comprising the Bay Area UASI have a responsibility for fraud prevention and detection concerning the use of grant funds.

Most grant fraud includes conflicts of interest, failure to properly support the use of grant funds, and theft. More generally, fraud includes:

- Any dishonest or fraudulent act
- Misappropriation of funds, securities, supplies or other assets
- Impropriety in the handling of money or financial transactions
- Profiteering as a result of insider knowledge of your organization’s activities
- Disclosing confidential or proprietary information to outside parties
- Accepting or soliciting anything of material value from contractors, vendors, or persons providing services to the company
- Destruction, removal, or inappropriate use of business assets

Members should immediately report any suspicion of fraud directly to the appropriate authorities within their home jurisdiction, the Bay Area UASI Management Team Chief Financial Officer, and/or the FEMA Office of the Inspector General hotline (see FEMA website).

The Bay Area UASI Chief Financial Officer shall be responsible for investigating fraud in conjunction with local jurisdictions, Cal OES, FEMA, and/or other parties as appropriate. Actions taken in the event of fraud may include debarment from receipt of future grant awards, termination of employment, and/or legal recourse.

Given the City and County of San Francisco's role as the fiscal agent for the Bay Area UASI, the City and County of San Francisco Whistleblower Program is also a resource for reporting suspected fraud. This program is available to City and County of San Francisco employees, contractors or vendors, and City residents who want to come forward with information about acts of waste, fraud or abuse. It can be accessed via www.sfgov.org/whistleblower.

III. PROJECT CYCLE

The term “project cycle” includes the standard phases of the project management lifecycle which are: identification, planning, execution, and closure. The Bay Area UASI Management Team is responsible for providing regional coordination, monitoring, management, and oversight of grant-funded projects. Stakeholders identify projects through a risk assessment and prioritization process, facilitated by the Management Team. The Project Lead is responsible for all aspects of the project planning phase, with support from project team members and the Bay Area UASI Management Team Project Manager. In execution, the project team carries out the project as defined in documented plans and agreements. Finally, in close out, lessons learned are documented and evaluation data is gathered.

A. Definition of Terms

Project – A project is a temporary endeavor undertaken to create a unique product, service or result. It has a defined beginning and end and is usually constrained by time and funding. In the Bay Area UASI context, projects are funded by sub-grant awards approved by the Approval Authority and made to participating UASI jurisdictions. Projects vary considerably in size and complexity, ranging in amounts from tens of thousands to millions of dollars, and can include multiple sub-recipient jurisdictions. Each project has a high threat, high density urban area terrorism focus, is regional in nature, and is associated with an investment justification that is approved at the state and federal level.

Project Management – Project management is the discipline of planning, organizing, securing, and managing resources to achieve the specific goals of a project. In the Bay Area UASI context, the Bay Area UASI Management Team is responsible for project management under the direction of the Approval Authority. Sub-recipient project leads are responsible for specific project funds allocated to them and for coordinating all aspects of project management, working closely with technical experts and partner jurisdictions as appropriate.

Grants Management – Grants management is the management and administration of grants. In the Bay Area UASI context, this refers to grants from the federal government which are then awarded to sub-recipients. Because projects are funded by sub-grant awards, the terms “grants management” and “project management” can often be used interchangeably. Typically, however, the term grants management is used to refer to the compliance, procurement, and financial management elements of federal sub-award funding. The Grants Management Unit of the Management Team has responsibility for Bay Area UASI grants management.

Project Cycle – The term “project cycle” includes the standard phases of the project management lifecycle which are identification (sometimes called initiation), planning, execution (sometimes called implementation), and closure.

Project Identification – Project identification is the process by which project scope, goals, budget, timeline, and deliverables are defined at a high level and confirmed to go forward by the appropriate authorities. In the Bay Area UASI context, projects are identified through a risk assessment and vetting process executed by stakeholders with support from the Management Team. Projects are then reviewed by the Advisory Group and approved by the Approval Authority. The UASI project identification process culminates in the Homeland Security Grant Program application.

Risk and Capability Assessment – A risk and capability assessment process begins with an understanding of threats, consequences, and vulnerabilities, and assigning a value to them. This is then paired with an assessment of regional capabilities, such as readiness to accomplish a mission, function, or objective, under specified conditions, to target levels of performance. Once an understanding of risk is paired with that of capability, gaps can be identified, thus informing priorities, developing or comparing courses of action, and informing decision making. In the Bay Area UASI context, the risk and capability assessment is a critical step in the project identification phase and articulates the link between critical local needs and national priorities.

Project Planning – In the project planning phase, the sub-recipient Project Lead, working closely with a team of technical experts as appropriate, defines the work tasks that are required to accomplish project deliverables and goals, and executes/supports required procurement processes. Depending on the complexity of the project, project planning refines understanding and estimates of timeline, budget, schedule, roles and responsibilities for the project team and stakeholders, as well as project communication needs. Key documents of the planning stage in the Bay Area UASI context are the MOU Appendix A, RFP/Q solicitations, and vendor contracts. A project plan is a recommended document for complex project with multiple stakeholders.

Project Execution – In the project execution phase, the Project Lead carries out the project as defined in the project documentation, supported by team members as applicable. The Lead also reports on the current status of the project, identifying and analyzing any variances between plan and actual. As necessary, the Project Lead takes corrective action to update time, scope, and budget. In the Bay Area UASI context, the oversight of project execution is carried out by the Management Team and through the associated Working Group.

Project Change Management – Project change management is the practice of controlling and documenting changes to the baseline project documentation. Managing the project during the execution phase means monitoring actual against planned (baseline) progress and making the necessary course changes in schedule, scope, and/or budget to meet user and stakeholder expectations. In the Bay Area UASI context, the sub-recipient project lead makes change requests to the Bay Area UASI Project Manager using the Project Change Request Form. Change requests are granted based on consistent criteria and processes documented in this Manual.

Project Close Out – In the project closure phase, the Project Lead carries out administrative and contractual procedures to end the project, working with the Management Team as necessary. This also includes defining lessons learned, which are key to improving similar projects in the future, as well as project and portfolio evaluation.

B. Identification

The Bay Area UASI Management Team guides the project identification process with input from subject matter experts. The process starts with asset updates to refine our regional understanding of risk, which is combined with capabilities assessments that result in a gap analysis. This analysis feeds into the update of the Bay Area Homeland Security Strategy. Regional stakeholders then identify projects to meet gaps and priorities and vet proposals, which are reviewed by the Advisory Group and ultimately approved by the Approval Authority. The process culminates in the Management Team completing the Homeland Security Grant Program application for approval by the Approval Authority.

In the process detailed below, approximate dates are provided for each step. However, note that these dates are highly variable based on changes in federal/state grant allocations and program schedules. The dates below reflect the FY14 grant cycle timeline. Note that for the FY15 grant cycle and subsequent years, we anticipate that the process will kick off in March rather than June as specified below. Working with relevant regional stakeholders, each year the Bay Area UASI Management Team will develop a project identification and risk management cycle timeline.

Risk and Capability Assessment

WHAT?	Assessment of assets and capability in order to produce a risk-based gap analysis
WHEN?	Annually- Kicks off in June and extends through August
WHO?	Risk Management and Information Sharing Working Group, Operational Areas, Management Team, NCRIC
DOCUMENTS:	Asset and capability updates in Digital Sandbox

The Approval Authority By-laws (August 2013 Section 8.1) 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 the Department of Homeland Security, that all levels of government establish a foundation to justify and guide preparedness activities and investments. In addition, as of 2011, the Department of Homeland Security requires all grantees to develop and maintain a Threat Hazard Identification and Risk Assessment (THIRA). The Bay Area UASI Management Team initiated such a regional collaborative planning, risk validation analysis, and capabilities assessment in 2010.

Using the Digital Sandbox software system, the risk and capability assessment process collects information and assigns a value to risks for the purpose of setting priorities, developing or comparing courses of action, and informing decision making. The determination of risk includes identification and characterization of threats, their consequences, and our vulnerabilities. Such an understanding of risk is paired with an assessment of regional capabilities. This includes assessing preparedness and levels of readiness to perform critical tasks to accomplish a mission,

function, or objective, under specified conditions, to target levels of performance. A capability may be delivered with any combination of properly planned, organized, equipped, trained, and exercised personnel that achieves the desired outcome. Once an understanding of risk is paired with that of capability, gaps can be identified, and thus we can best understand how to establish priorities and make resources decisions to address the region's most critical needs.

To be eligible for funding, jurisdictions within the Bay Area UASI must participate in the risk and capability assessment process on an annual basis. Starting in June, the risk assessment process lasts about three months and includes the following steps guided by the Bay Area UASI Management Team:

1. ***Kick Off*** – The Management Team, in conjunction with Digital Sandbox and the Northern California Regional Intelligence Center (NCRIC), develops data collection timelines, requirements, and avenues for receiving information on threats, vulnerabilities, and consequences of loss. The Management Team organizes a kick off meeting to provide an overview of the process, risk analysis tool (Digital Sandbox Risk Analysis Center (RAC) tool box), and Protected Critical Infrastructure Information (PCII) requirements to stakeholders. The Management Team provides follow up training as needed.
2. ***Risk Data Collection and Validation*** – Stakeholders gather, validate, and verify asset data in Digital Sandbox. The Northern California Regional Intelligence Center (NCRIC) conducts final review and validation, as well as provides information on threat, vulnerabilities, and consequences for the region.
3. ***Capability Assessment and Gap Analysis*** – The Management Team leads a process whereby stakeholders assess local and regional capabilities using the Department of Homeland Security's core capability list. This process typically cumulates in a one day regional workshop of subject matter experts. This information is added to the risk information in Digital Sandbox and mapped to produce a risk-based gap analysis.

The risk and capability assessment ensures that the Bay Area UASI directs its investments to the areas where the risks are greatest and the capabilities the weakest, and ensures that critical capabilities are sustained. The assessment is fundamental to the subsequent completion of the Bay Area Homeland Security Strategy and THIRA, and serves to inform the annual allocation and policy priorities approved by the Approval Authority.

Bay Area Homeland Security Strategy

WHAT?	Comprehensive data driven document that outlines the Bay Area UASI's risks, capabilities, vision, structure, goals and objectives for homeland security
WHEN?	Required at least every two years, to be completed as soon as possible after the risk and capability assessment and before project proposals are developed
WHO?	Management Team
DOCUMENTS:	Bay Area Homeland Security Strategy

Informed by the risk and capability assessment, the Bay Area Homeland Security Strategy is a comprehensive data driven document that outlines the Bay Area UASI's risks, capabilities, vision, structure, goals and objectives for homeland security. The goals and objectives are structured around closing identified risk and capability gaps. The associated implementation plan serves as a strategic guide for the region and jurisdictions to develop regional projects that will result in achievement of a particular objective. The Strategy outlines a comprehensive system for enhancing regional capability that guides the Bay Area UASI's efforts to:

- Prevent and disrupt terrorist attacks;
- Protect the people of the Bay Area, its critical infrastructure, and key resources;
- Respond to, and recover from, major incidents and all hazards that do occur;
- Continue to strengthen our preparedness foundation to ensure our long-term success; and
- Guide future investments, increase capabilities, and reduce risk.

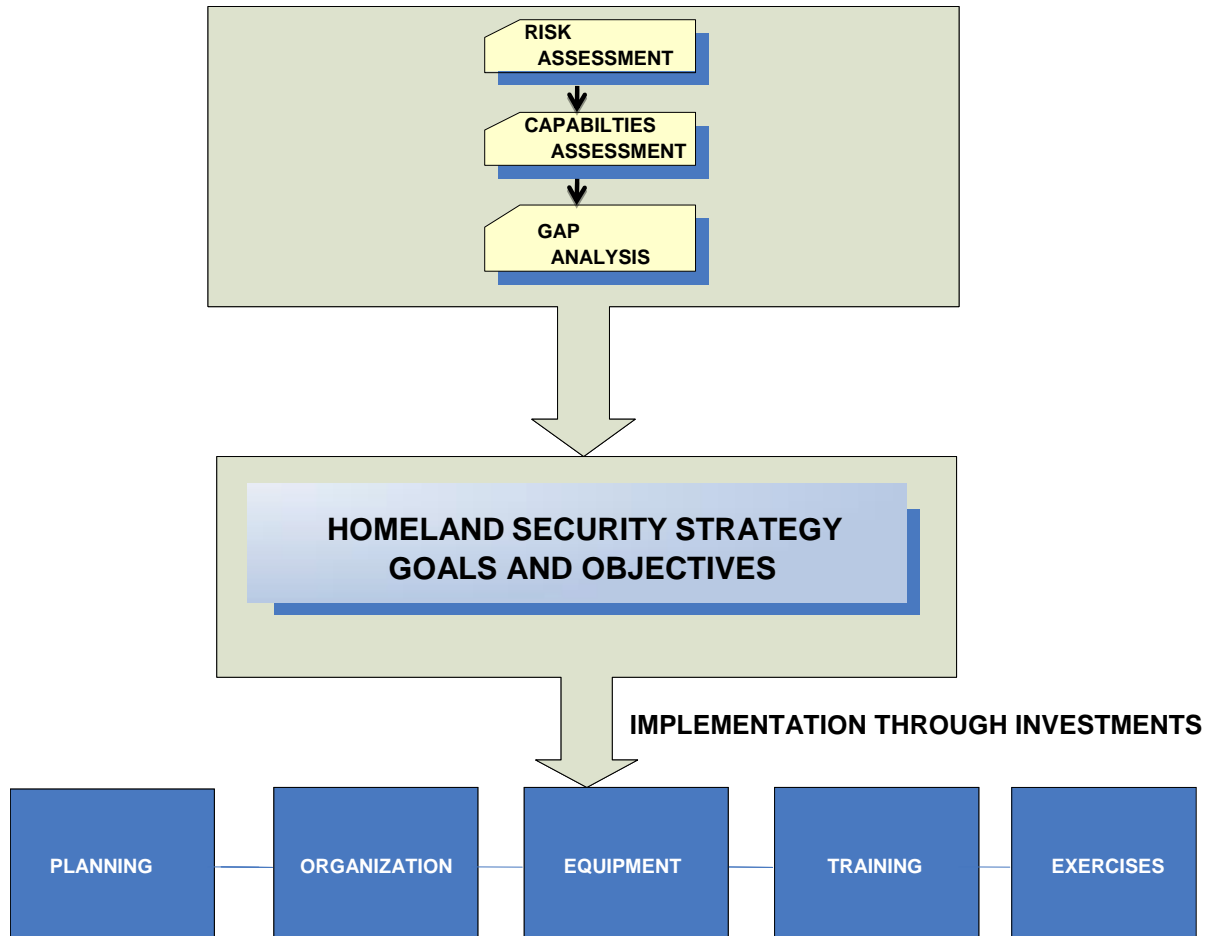
Having such a strategy allows the Bay Area to clearly track and articulate its risks and capability needs to local leaders, the State of California, and Department of Homeland Security. Homeland security strategies are the basis for requesting funds from the Homeland Security Grant Program, of which UASI funding is a part. As required, the Strategy addresses all FEMA mission areas—prepare for, protect against, respond to, recover from, and mitigate all hazards.

The Bay Area's homeland security goals are directly aligned with National Homeland Security Priorities (and/or the State of California Homeland Security Strategy Priorities) and are as follows:

- Develop a Regional Risk Management and Planning Program;
- Enhance Information Analysis and Infrastructure Protection Capabilities;
- Strengthen Communications and Interoperable Communications;
- Strengthen CBRNE Detection, Response, and Decontamination Capabilities;
- Enhance Medical, Public Health and Mass Care Preparedness;
- Strengthen Planning and Citizen Preparedness Capabilities;

- Enhance Recovery Capabilities; and
- Enhance Homeland Security Exercise, Evaluation and Training Programs.

The planning process used to develop the Strategy is shown below. From the risk and capability assessment process that culminates in a gap analysis, strategic goals and objectives are developed along with implementation steps to track objectives through a series of resource elements divided among the elements of capability: Planning, Organization, Equipment purchase, Training, and Exercises (POETE). The Bay Area UASI Management Team guides this process with technical input from subject matter experts in the region.



The Bay Area Homeland Security Strategy was last updated in November 2012. An update for 2013 is planned to incorporate new cyber security objectives.

Proposal Guidance

WHAT?	Application, criteria, and steps for applying for Bay Area UASI funding
WHEN?	Annually in September
WHO?	Management Team
DOCUMENTS:	Project Proposal Guidance

The Management Team develops a guidance document that includes the proposal template, criteria for funding (including priority capability objectives), the process for the funding of proposals, timeline, and allowable spending areas. The Management Team vets this document with regional stakeholders and presents it to the Approval Authority for approval. The FY14 Project Proposal Guidance, including the proposal template, is included in this document in Appendix A.

Proposals

WHAT?	Project proposals
WHEN?	Annually in November
WHO?	All UASI stakeholders
DOCUMENTS:	Proposal template

Regional projects may be developed from and/or solicited by operational areas, special districts, or sub-regions within the 12 county Bay Area UASI. Hub Planners, Bay Area UASI workgroups, and Management Team project managers 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 should be submitted by the person who will be primarily responsible for project implementation and should have the approval of the relevant department head. Community-based and nonprofit groups are welcome to submit a proposal, but must do so through a government sponsor/partner. Proposals must adhere to the criteria laid out in the Project Proposal Guidance. For the FY14 grant cycle, these criteria included:

- (1) The proposed project must enhance the region's priority capabilities – which are those capabilities most relevant and important based on the region's risk profile, and/or that have a low level of ability based upon the results of the 2013 Bay Area regional risk and capability assessment; and

- (2) The proposed project has a direct nexus to enhancing terrorism preparedness – either preventing, protecting against, mitigating the damage from, responding to or recovering from threats or acts of terrorism; and
- (3) Each project is regional insofar as it directly benefits two or more operational areas in the Bay Area region; and
- (4) The project budget is of a reasonable amount with each element of the project tied directly to a funding amount specified in the project budget section of the template.

See Section VII (Templates) of this manual for the proposal template and Appendix A for a copy of the Management Team’s project proposal guidance from September 2013.

Prioritizing

WHAT?	Hubs prioritize proposals
WHEN?	Annually in January
WHO?	Voting hub members, as selected by the Approval Authority
DOCUMENTS:	Project prioritization lists (“above” and “below” the line)

Hubs are based on the geographical location of jurisdictions in the North, East, South and West Bay. These hubs meet to decide on the list of projects for recommendation to the Advisory Group for funding. Each hub develops a list of prioritized projects based on regional need and local capabilities based on the set of goals from the *Bay Area Homeland Security Strategy*. Hubs may also designate other criteria as mutually agreed (e.g., provide scalable solutions, leverage other funding sources, and benefit the most operational areas.)

Project Approval

WHAT?	Advisory Group reviews project proposals and makes recommendations to Approval Authority for final project approval
WHEN?	Annually in March
WHO?	Advisory Group and Approval Authority
DOCUMENTS:	List of projects by hub in order of priority, to be funded as funds become available, as well as regional “off the top” allocations

The Management Team forwards project proposals in priority order from each hub to the Advisory Group for review. The Advisory Group also reviews sustainment projects/ regional projects. Upon review and additional analysis as needed, the Advisory Group forwards selected projects to the Approval Authority for final approval, which should take place by March.

Investment Justifications

WHAT?	Investment justifications are required by Department of Homeland Security and demonstrate how projects link to federal priorities
WHEN?	Annually in May
WHO?	Management Team prepares and submits to Cal OES
DOCUMENTS:	Investment Justification template/ user reference guide from Department of Homeland Security

The Department of Homeland Security requires detailed investment justifications as part of the Homeland Security Grant application process. The investment justification must demonstrate how proposed projects address gaps and deficiencies in current capabilities. Once the grant award is announced, and after projects are approved by the Approval Authority, the Bay Area UASI Management Team groups like projects together into investment categories. Typically, there are approximately ten investment categories that mirror the Bay Area Homeland Security Strategy (e.g., CBRNE, Information Analysis, Interoperability, etc.), and each investment category includes a range of associated projects.

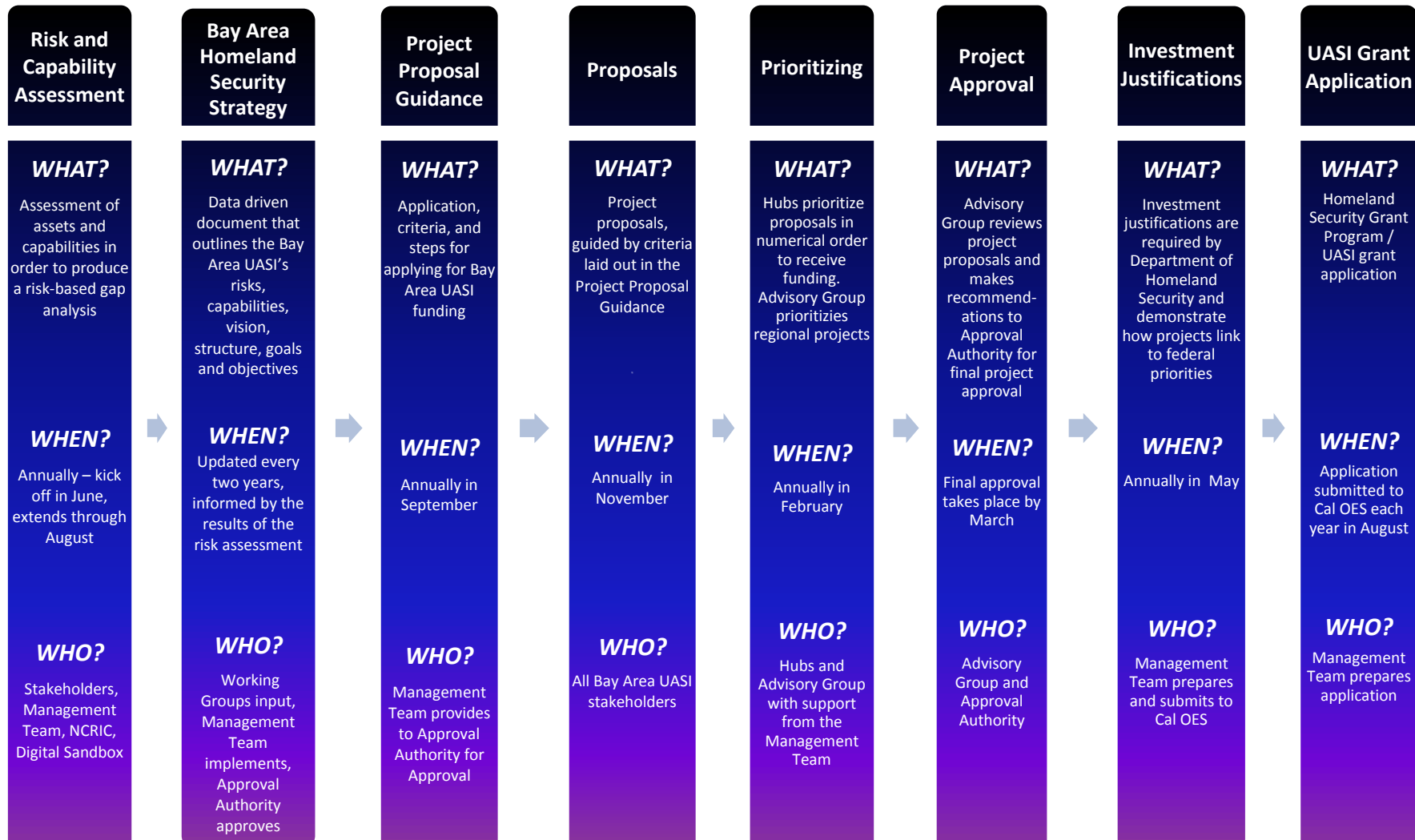
The Management Team prepares the Investment Justification document with guidance/templates from the Department of Homeland Security. These documents are prepared starting in May and submitted to the California Office of Emergency Services (Cal OES).

UASI Grant Application

WHAT?	Homeland Security Grant Program/UASI grant application
WHEN?	Submitted to Cal OES in August
WHO?	Management Team submits to Cal OES
DOCUMENTS:	Guidance and Application Kit

The Bay Area UASI Management Team completes the UASI grant application and sends it to the California Office of Emergency Services (Cal OES), which ultimately forwards it to the Department of Homeland Security. Per the Approval Authority By-laws (August 2013 Section 8.4), the General Manager reports to the Approval Authority on grant awards received from Cal OES at the next regular meeting following the award.

Project Identification Summary



Timelines may vary due to changes in federal/state grant allocation and program schedules

C. Planning

The sub-recipient Project Lead is responsible for all aspects of the project planning phase, with support from the Bay Area UASI Management Team Project Manager as well as partner jurisdictions and technical experts, as appropriate. Working with his or her team, the Project Lead defines the work tasks that are required to accomplish project deliverables and goals, and ensures required procurement processes are carried out.

A Bay Area UASI project is documented in detail in the original project proposal that is selected by the hub and approved by the Approval Authority – see “Identification” above. The planning phase starts once the proposal is approved for funding. Planning produces a refined understanding and estimates of timeline, budget, schedule, and roles and responsibilities for the Project Team and stakeholders. Key documents of the planning stage are Memoranda of Understanding (MOU), Request for Proposals (RFP)/Request for Qualifications (RFQ) solicitations, and vendor contracts. In addition, in cases of complex projects involving multiple stakeholders and significant investments, the Bay Area UASI Project Manager may request sub-recipient jurisdictions to participate in the development of a project plan document.

MOU Appendix A

The Memorandum of Understanding (MOU) document outlines an agreement between the sub-recipient and the City and County of San Francisco, which serves as the fiscal agent for the Bay Area UASI, to procure goods and services needed in project implementation.

The MOU contains an Appendix A entitled “Authorized Expenditures and Timelines” in which project information is detailed by solution area (Planning, Organization, Equipment purchase, Training, and Exercises–POETE), program description, deliverable due date, and amount. In order to provide accurate information in the Appendix A, the Project Lead must work from the originally approved project proposal. The Project Lead works with the Bay Area UASI Project Manager and appropriate sub-recipient jurisdiction representatives, team members, and/or technical experts as needed to define and describe work tasks. MOUs must be completed, signed, and approved as part of the project planning phase.

See Section V (Procurement) for more information on executing and modifying MOU agreements. In particular, see “Appendix A – Authorized Expenditures and Timelines” for more information on allowable costs and requirements. In addition, the MOU Appendix A template can be found in Section VII (Templates).

Vendor Procurement

Most Bay Area UASI projects require contracts with outside vendors, and usually the contracting entity is a sub-recipient jurisdiction. Sub-recipients should use their own procurement procedures, regulations, and best practices, provided these conform to applicable federal law and standards. Sub-recipients are required to provide the Management Team’s Grants Management

Unit a copy of their procurement policies for review. The sub-recipient jurisdiction must also comply with all relevant guidelines laid out in this manual, including those in Section V (Procurement), as well as meet the approval requirements listed in the next section. The sub-recipient project lead is responsible for procurement processes. The Management Team is available to support jurisdictions with best practices concerning vendor solicitation, selection, negotiation, and management.

In many cases sub-recipient jurisdictions may begin the vendor procurement process in advance of the finalization of the MOU. Such work can include doing market research and drafting the solicitation. In addition, some jurisdictions are able to post the solicitation as well as select a vendor and negotiate a contract. However, in no instances may a sub-recipient jurisdiction obligate the funds, incur costs, and submit a reimbursement request for work on a contract that is not consistent with the time period stated on an approved MOU document.

In cases when a project does not include sub-recipient jurisdiction funding, all procurement processes are the responsibility of the Bay Area UASI Management Team Project Manager, working in partnership with the Grants Management Unit and under the guidance of the Regional Program Manager. Such procurement should be conducted per the policies and procedures of the City and Country of San Francisco as the Bay Area UASI fiscal agent. Detail on this process is included in Section V on procurement below (see “San Francisco Procurement Process for Professional Services Contracts”).

In all vendor contracting processes, the Project Lead should work closely with their team/subject matter experts to develop solicitations and contracts that are technically accurate and consistent with details in the project proposal and MOU agreements.

Approval of Vendor Solicitations and Contracts

Jurisdictions issue a contract solicitation following a sub-grant award that has been reviewed by the Advisory Group and approved by the Approval Authority. (However, should there be any instance in which the Approval Authority has not already approved the allocation; the General Manager is responsible for informing the Approval Authority about any contract solicitation in an amount above \$500,000).

All solicitation processes/contracts must, at a minimum include the following elements:

Solicitation phase:

- ***Engage in a full and open competitive bidding process*** or a sole source process as determined by local policy, provided that such a process is not in conflict with federal regulations which supersede it.
- ***Obtain a state sole source approval*** if there is only one bid or only one vendor that can perform the services required and the contract is \$100,000 or more. In such cases the contracting entity must transmit a sole source request to the Bay Area UASI Grants Management Unit for submission to the State.

Selection phase:

- ***Include a selection panel that is comprised of subject matter experts*** from among regional stakeholders. The Project Lead and any team members who worked on the Request for Proposals (RFP)/Request for Qualifications (RFQ) may not serve on the selection panel, but may coordinate selection panel logistics, provide technical input, and/or observe the process. The selection panel should consist of an odd number of people ranging from three to seven members.
- ***Make a selection based on criteria that is published in the RFP/Q.*** Evaluating proposals or making comments based on previous experiences or hearsay should be discouraged. Panelists should be directed to focus on the information in the proposals and base their evaluation and selection on those materials.
- ***Observe confidentiality.*** Panelists should not, under any circumstances, contact or communicate with any of the proposers or anyone outside of the selection panel process, including members of the Approval Authority and the Management Team. Names of the proposed bidders should also be held in confidence. This lock-down of information is intended to preserve integrity and fairness.
- ***Include signed impartiality/conflict of interest statements for selection panel members.*** See template in Section VII. A panelist is prohibited from participating in an RFP/Q screening or evaluation process if he or she, or any member of his or her immediate family (including spouse/domestic partner and dependent children):
 - Has received income or gifts within the past year from any of the proposers;
 - Has any ownership interest or other direct or indirect investments, other than mutual funds, in any of the proposers;
 - Expects or intends to seek employment or any other relationship with any of the proposers; and/or
 - Has any other direct or indirect interest in any of the proposers that would prevent him or her from exercising fair and impartial judgment when participating in the RFP screening or evaluation process.

Where a recipient of federal funds makes sub-awards under any competitive process and an actual conflict or an appearance of a conflict of interest exists, the person for whom the actual or apparent conflict of interest exists should recuse himself or herself not only from reviewing the application for which the conflict exists, but also from the evaluation of all competing applications. See also Section II of this manual for more information on ethical and conflict of interest standards.

Negotiation/ contract stage:

- ***Ensure costs are reasonable and consistent*** with the amount paid for similar services in the market place—a reasonable cost/price analysis must be conducted by the Project Team.
- ***Include a clearly written scope of services***, tangible deliverables, clear performance periods, and a schedule of payments by deliverable.
- ***Be performed and paid in entirety within the grant performance period.***

Project Plan

A project plan develops the details of a project that are further fleshed out and updated from the proposal stage. In special cases when projects are particularly complex and involve multiple stakeholders and significant investments, the Bay Area UASI Project Manager may request sub-recipient jurisdictions to participate in the development of a project plan document. A project plan may also be required by the General Manager for special initiatives that are managed by the Management Team.

Project Leads should work with the Bay Area UASI Project Manager, their team members, and other subject matter experts to develop the project plan, working from the required template (See Section VII). In working collaboratively with team members, the Project Lead not only ensures that all technical bases are covered, but is also more likely to obtain the team's buy-in. The following elements are included in the project plan template. Note that the template also includes guidance which Project Leads should follow when completing the plan.

- Project goals and rationale;
- Project outcomes and requirements;
- Deliverables and requirements;
- Budget and timeline;
- Roles, responsibilities, and stakeholders;
- Communication;
- Risks and mitigation; and
- Approvals

The project plan is the core governing document for the project to which the Project Lead and team members are held accountable. Information in the project plan must be consistent with that in the MOU agreements and vendor solicitations and contracts, if applicable. The length of time to prepare a project plan will vary due to the complexity, size, and number of stakeholders involved in the project, but this should usually range from a couple of days to a few weeks. Project plans must be approved by the Bay Area UASI General Manager or designee and sub-recipient representatives, as appropriate.

D. Execution

The Project execution phase begins once vendor contracts and the MOU document are finalized. In execution, the sub-recipient project lead carries out the project as defined in the project proposal document and refined in any vendor contract and Memoranda of Understanding (MOU).

The Bay Area UASI Management Team Project Manager works closely with the sub-recipient project lead during execution. The Project Manager is tasked with ensuring the project is on time and on budget and to help follow up on deliverables and compliance as specified in the MOU, such as Environmental and Historic Preservation (EHP) approval, sole source approval, and performance bond acquisition. The Project Lead reports to the Project Manager on the current status of the project, identifying and analyzing any variances between plan and actual. As necessary, the Project Lead and Project Manager will seek corrective actions to update project timeline, scope, and budget. Oversight of project execution is carried out by the Bay Area UASI Management Team and, at a technical level, through the associated Working Group. The Bay Area UASI General Manager or designee is responsible for reporting on project progress and change management to the Approval Authority.

Kick Off

A project kick off meeting organized by the Project Lead is often an appropriate way to begin work on a new project and is an identified best practice in project management. This meeting involves relevant team members and stakeholders, and could include the following activities:

- Senior managers demonstrating to the project participants their support for the effort;
- Review of the project plan;
- Relationship building among team members;
- Explanations of operating procedures; and
- Work on immediate first steps as laid out in the project plan.

Document and Records Management

Sub-recipient jurisdictions are required to adhere to their home office policies and procedures regarding document and records management, the terms and conditions of their MOU agreements, as well as the provisions in the procurement and financial management sections of this manual. All sub-recipients are required to retain all documentation related to project implementation and expenses reimbursed under the Bay Area UASI for a period of three years after the close of the grant. All records associated with Bay Area UASI projects must be made available to the Bay Area UASI Management Team, and financial records are also subject to review by the California Office of Emergency Services (Cal OES) and the Department of Homeland Security staff.

Reporting

Successful project execution requires a variety of reporting at all levels of the Bay Area UASI. Reporting requirements include the following:

- ***Project Team*** – The sub-recipient Project Lead is responsible for checking in with his or her team, vendors, and/or partner jurisdictions to make progress on deliverables as stated in the project proposal/plan/vendor contract. For more complex projects, regular project team meetings may need to occur by phone, email, or in person. The Project Lead should work with team members on an ongoing basis to ensure that expectations are synchronized with what has been accomplished, what needs to be accomplished, and the challenges being encountered. The Project Lead should facilitate the communication between team members who own dependent tasks so that successor tasks can begin as soon as possible after predecessor tasks are complete.
- ***Working Group*** – The sub-recipient Project Lead is strongly urged to participate in the technical Working Group associated with the project. The subject matter experts in the Working Group play an important role in sharing lessons learned, developing regional cooperation, and providing technical oversight during project execution.
- ***Bay Area UASI Project Manager*** – The Project Lead is responsible for project reporting to the Bay Area UASI Project Manager. The Project Lead should discuss progress on scope, schedule, and budget, and deviations from that agreed to in project documentation.
- ***Grants Compliance*** – So that the Bay Area UASI may remain in compliance with federal and state policies and procedures, sub-recipient project leads are responsible for program and financial reporting as directed by the Grants Management Unit. For more information on sub-recipient monitoring and reporting see Section VI (Financial Management).
- ***Approval Authority*** – The Bay Area UASI General Manager or designee is responsible for reporting on project progress to the Approval Authority. The General Manager may single out high risk/cost/ impact projects for regular progress reporting, as directed by the Approval Authority. On a regular basis, the General Manager or designee will provide portfolio status and financial reports detailing progress by sub-recipient jurisdiction and grant source.

Change Management

Project change management is the practice of controlling and documenting changes to the baseline project documentation. Managing the project during the implementation stage means monitoring actual activity against planned (baseline) progress and making the necessary course changes in schedule, scope, and/or budget to meet user and stakeholder expectations. Section 8.6 of the August 2013 Approval Authority By-laws governs grant budget modifications for the Bay Area UASI.

Change Request Form: The Project Lead is responsible for project change management and must make requests for timeline, budget, and scope changes to the Bay Area UASI Project Manager in a timely manner using the Project Change Request Form (see template in Section VII). This form is necessary to collect all of the required information at one time to evaluate the request, 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 it collects information on the nature of the request and why it is needed.

Project Timeline Change Requests: The sub-recipient Project Lead should immediately notify the Bay Area UASI Project Manager in the event they are unable to meet their deliverable due dates and specifications as approved in their MOU document. See “E. Modifications to MOU/LOAs” in Section V on procurement below.

The General Manager must report to the Approval Authority any timeline changes for projects with budgets over \$250,000 in which the final project completion date is delayed by more than six months. When a jurisdiction needs 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 as long as there is a reasonable expectation that the funds can be spent as stated within the designated timelines. The Management Team will closely monitor projects per identified milestones. The General Manager will ask jurisdictions that are not on track towards timely completion to identify such “swapping” opportunities or return funds to the associated hub to fund the next-in-line project.

Project Budget Change Requests: The General Manager must bring any budget change for a project that exceeds \$250,000 to the Approval Authority for approval prior to the change. Within a grant project, the Bay Area UASI General Manager may reallocate funds up to a cumulative total of \$250,000. This authority allows the General Manager to add or subtract from the original allocation up to the total amount of \$250,000. Any changes must be consistent with the original project goals and objectives as stated in the project proposal, the Bay Area Homeland Security Strategy, and/or FEMA requirements. The General Manager will report such reallocations to the Approval Authority on a biannual basis.

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, the Bay Area Homeland Security Strategy, and FEMA grant requirements. Requested changes that are not consistent with the above criteria will be denied in order to maintain compliance and fidelity to previously vetted and approved spending. The General Manager must report to the Approval Authority any project scope change for projects with budgets over \$250,000 that results in significant changes in key deliverables or stakeholders.

Funding of “Next-in-Line” Projects: During the project “Identification” phase, hubs are asked to identify projects to be funded if and when additional funding becomes available in the course of the grant period. Funding may become available if a jurisdiction is unable/no longer interested in implementing 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, jurisdictions are 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.

In special cases, unused funds may be allocated towards new purposes within that same project when all of the following conditions are met as determined by the General Manager: the original allocation was made to fund a part of a project and funding subsequently became available due to the fact that costs of the project were less than originally anticipated; and the new purposes are clearly defined in the original project proposal that had been vetted and approved by the Approval Authority; and at the time of the original project allocation approval, the Approval Authority clearly states that it would be permissible to allocate any project savings towards new purposes in the project.

Appeal Process: The General Manager is granted discretion in approving project change requests as specified above. If a sub-recipient jurisdiction believes such discretion has been applied in a way that is not consistent with these guidelines, or is not in the spirit of fairness or effectiveness, he or she may seek to appeal the decision. Such an appeal should first be made directly to the General Manager and then, if still not resolved to the parties’ satisfaction, directly to the Approval Authority.

Monitoring

The Bay Area UASI Management Team Project Managers are responsible for monitoring sub-recipients to determine effectiveness and efficiency of operations, reliability of reporting and recordkeeping, and compliance level. Key concerns of the Project Managers are:

- The status of execution of the project (Is the project on time and on budget? Have the items been ordered? Are there any issues in the procurement process?)
- The status of reimbursement requests (Have they been submitted?)
- Have grant requirements been met? (EHPs, performance bonds, job descriptions, etc.)

The Grants Management Unit accomplishes monitoring through a combination of desk-based reviews and on-site monitoring visits. Monitoring involves review and analysis of financial, programmatic, performance and administrative issues, and identifies areas where technical assistance and other support may be needed. The sub-recipient is responsible for resolving any monitoring findings (i.e., findings of non-performance or non-compliance) in a timely manner by a corrective action plan and technical assistance in association with the Management Team. See “C. Sub-recipient Monitoring” in Section VI for more information.

Deliverable Quality Standards

The sub-recipient Project Lead is ultimately responsible for project quality and outcomes. He or she must ensure that project deliverables are of high quality and meet specifications in the project documentation. He or she is responsible for providing oversight and management of professional services consultants and ensuring deliverable quality and timeliness. Payments to

vendors should be structured by deliverable and should not be authorized by the contract holder until quality standards have been met by the vendor.

E. Close Out

Administrative Close Out

At project end, the Bay Area UASI Project Manager is responsible for ensuring that electronic and hard copy project files are archived in an orderly and easily accessible fashion. To preserve storage space, unnecessary documentation should be deleted. Hard copies of final products should be retained.

The Management Team's Grants Management Unit will work with sub-recipient jurisdictions as needed to make sure all sub-grant allocations are properly closed out. Please see Section VI (Grant Close out) for information about the process.

Sub-recipient jurisdictions are required to retain all documentation related to project implementation and expenses reimbursed under the Bay Area UASI for a period of three years after the close of the grant. This retention period will commence upon receipt of the final close-out letter by Cal OES.

Lessons Learned

Once a project is complete, the Bay Area UASI Project Manager is encouraged to prepare a "lessons learned" document or have a lessons learned discussion in the technical Working Group associated with the project. This would be useful for projects involving multiple stakeholders and jurisdictions and is key to improving similar work in the future. Some questions to consider include:

- Did the project achieve its outcomes/requirements as stated in the project documentation?
- What went well and why?
- What went wrong and why?
- What did we do about it?
- What else might we have done?
- What are lessons learned for future projects and teams?

Portfolio Evaluation and Performance Metrics

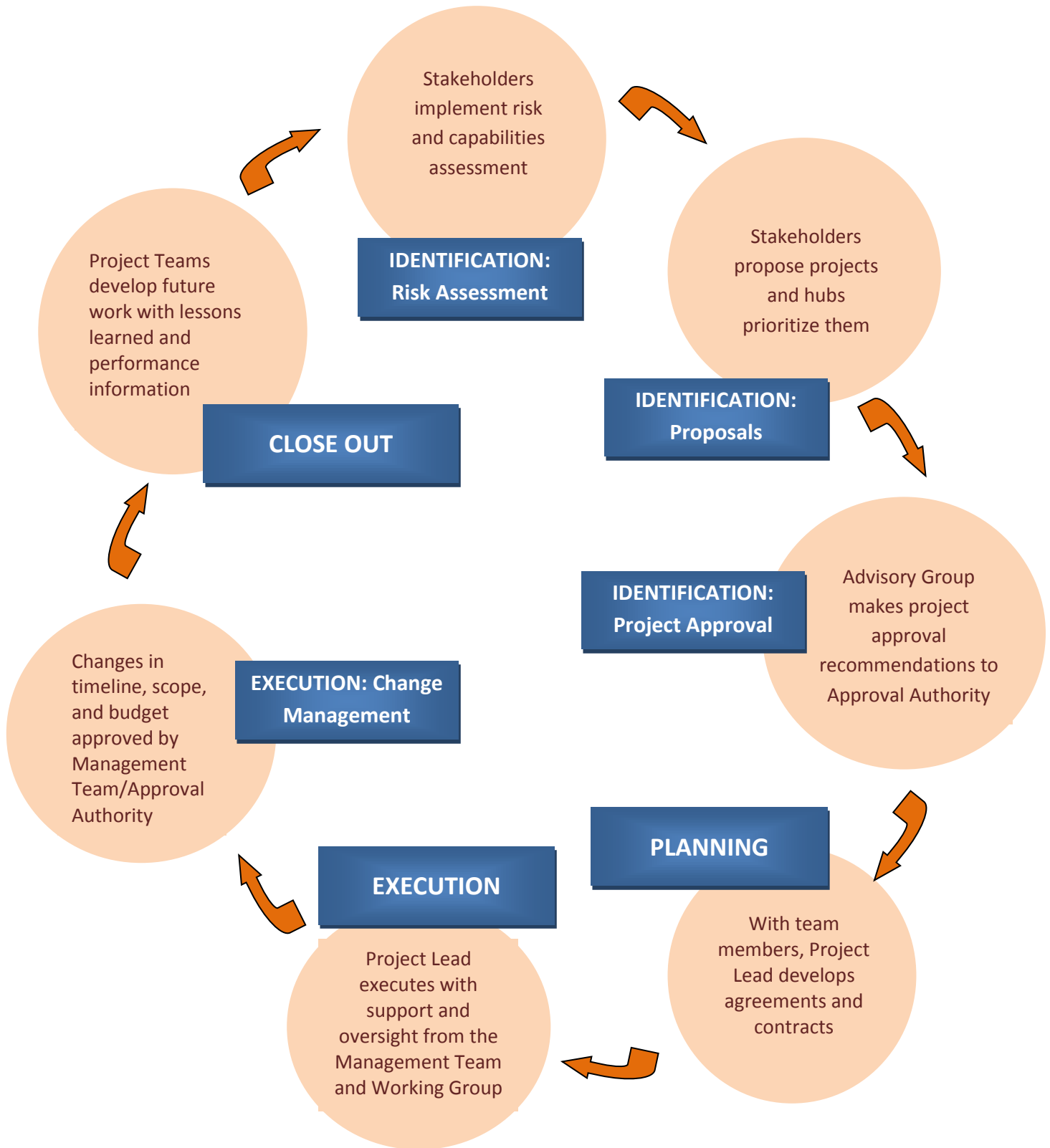
The Bay Area UASI analyzes the outcomes and effectiveness of its work through the Effectiveness Report, which was last issued in January 2013. This report evaluates how investments better position the Bay Area region to prevent, protect against, mitigate, respond to and recover from acts of terrorism and other hazards.

In addition, the Bay Area UASI introduced specific performance measures (“measures and metrics” project) within the Digital Sandbox software system that are tied to FEMA’s core capabilities in June 2013. This allows the region to locally define the core capabilities and thus more concretely track progress at the regional as well as each Operational Area level.

Other efforts to evaluate the portfolio of Bay Area UASI projects include reviewing and analyzing After Action Reports (AAR) and improvement plans to determine whether we are enhancing capabilities and overall preparedness, as well as identifying multi-year training and exercise plans to assess and test capabilities. Exercises should be designed around testing and evaluating the region’s ability to prevent, protect against, mitigate, respond to and recover from the highest risk terrorism scenarios.

The Bay Area UASI uses information on portfolio performance and metrics, as well as updates to the Bay Area Homeland Security Strategy, to inform the next cycle of project identification.

F. Summary of the Project Cycle



G. Summary of the Project Team

	Project Lead	Management Team Project Manager	Working Group
	<i>The Project Lead is the person in charge of the project from the sub-recipient jurisdiction</i>	<i>The Bay Area UASI Project Manager has relevant subject matter expertise as well as grants management expertise</i>	<i>Each project is associated with a technical Working Group, which is comprised of regional subject matter experts</i>
Planning	<i>With team members, responsible for project planning, including inputting into the MOU agreement and vendor solicitations and contracts.</i>	<i>Helps complete the project information in the MOU agreement and provides support on procurement if needed.</i>	<i>The Working Group may guide the Project Team in developing the project plan and the scope of work for any vendor solicitations and contracts.</i>
Execution	<i>Responsible for all aspects of project execution, including managing changes in budget, timeline, and scope; reports on progress to the Bay Area UASI Project Manager and Working Group.</i>	<i>Provides oversight and support to the Lead during implementation, and is the single point of contact for all project matters, including compliance matters and changes in budget, timeline, and scope.</i>	<i>The Working Group hears progress updates from the Lead and provides technical input during project execution.</i>
Close Out	<i>Encouraged to document lessons learned with the Working Group; works with the Management Team to close out sub-grant allocations per Cal OES specifications.</i>	<i>With the Project Lead, encouraged to document and discuss project lessons learned with the Working Group</i>	<i>The Working Group applies lessons learned and inputs into portfolio evaluation and performance metrics to improve future project outcomes.</i>

IV. COMPLIANCE

To successfully complete the grant process, every jurisdiction and agency receiving federal homeland security program funds must comply with the rules, laws, and guidelines that govern federal grant awards. The Bay Area UASI Management Team Grants Management Unit provides oversight of grant activities through a review of an organization's processes and supporting documentation to ensure compliance. This section includes a list of compliance requirements and forms.

A. Policies and Procedures

The *Code of Federal Regulations Title 44 (44 CFR) 13.20 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments* describes post award requirements for grantees and sub-recipients. These requirements include: financial reporting, the maintenance of accounting records, and internal controls (among others). In order to ensure compliance with grant guidelines, each Bay Area UASI sub-recipient agency is required to develop and maintain a written policies and procedures manual that can be provided upon request to the Grants Management Unit. This manual should describe in detail the requirements as well as monetary thresholds for obtaining approvals to expend grant funds. All local policies and procedures are to be followed as long as they do not conflict with federal regulations or guidelines.

In addition to a Policies and Procedures manual, all sub-recipient jurisdictions should develop and maintain a written fraud policy. In Section II (Roles and Responsibilities) of this document, Item G defines fraud and provides information on what should be included in this policy.

B. Required Forms

Under certain circumstances, sub-recipients may be required to submit forms to the Bay Area UASI Management Team and receive state and/or federal approval prior to beginning the purchasing process. The following forms – Environmental and Historic Preservation, Aircraft, Watercraft, EOC, and Sole Source – can all be downloaded from the Bay Area UASI website (www.bayareauasi.org) and are to be completed and submitted to the pertinent Bay Area UASI Project Manager for submission to the Cal OES. The Bay Area UASI Project Manager will support the sub-recipient jurisdiction in identifying and completing required compliance requirements.

Environmental & Historic Preservation (EHP)

Federal environmental and historic preservation laws and executive orders provide the basis and direction for the implementation of EHP review requirements for FEMA-funded projects. As

described below, the purchase of certain equipment and the conduct of field-based training or exercises trigger the need for an EHP review. Moreover, EHP approval is required prior to either the ordering of equipment or the conduct of any training or exercise.

- All equipment must have an Authorized Equipment List (AEL) number in order to be eligible for grant funding. Using the Responder Knowledge Base website (www.rkb.us), sub-recipients must check the AEL number of the equipment item in question. Each item that may have an EHP requirement has a green box with the following language, *“Certain products in this category have been identified as requiring an Environmental and Historic Preservation (EHP) review. This does not apply to mobile and portable equipment, however all other items must be submitted for review. Please contact your assigned GPD Program Analyst or the Centralized Scheduling and Information Desk (CSID) at 1-800-368-6498 for further information.”* As indicated, if there is no green box or if the item is mobile or portable, no EHP is required.
- For training classes, only field-based training classes require the submission of an EHP.
- For exercises, only field-based exercises require the submission of an EHP.

In order to complete the EHP Form, sub-recipient project leads will work with their respective Bay Area UASI Project Manager to answer the pertinent questions. The form must include a brief, clear description of the project. If equipment is being purchased, the equipment quantity must be included and if the equipment is to be installed, aerial and ground level photographs are also required. If the EHP is for training or exercise, the physical location of the site (including longitude and latitude) must be provided.

Aircraft Form

If a sub-recipient jurisdiction is purchasing an aircraft or any equipment item that attaches to an aircraft, the Aircraft Form must be completed, submitted, and approved prior to ordering the equipment. To complete this form, the sub-recipient project lead works with their respective Bay Area UASI Project Manager. The Aircraft Form requires:

- A brief, clear description of the area that will be served by the requested equipment;
- A description of the equipment, quantities, and AEL numbers;
- A justification of need and how this purchase compares to other options;
- Identification of the applicable goals and objectives in the Bay Area UASI Strategy;
- How this equipment fits into the State/Urban Area's integrated operational plans;
- An explanation of the types of terrorism incident response and prevention equipment included
- A description of how the aircraft will be used operationally;
- A description of the use of the aircraft on a regular, non-emergency basis; and
- A signed letter on agency letterhead certifying that an existing aviation unit is operating and will continue to operate independent of the requested funding; including: a description of the active, operating aviation unit and certification that no expenses will be charged against the grant award for the operation of such aviation unit; and certification

that licensing, registration fees, insurance, and all ongoing operational expenses are the agency's responsibility and are not allowable under the grant.

Watercraft Form

If a sub-recipient is purchasing a watercraft or any equipment item that attaches to the watercraft, the Watercraft Form must be completed, submitted, and approved prior to ordering the equipment. To complete this form, the sub-recipient project lead works with their respective Bay Area UASI Project Manager. The Watercraft Form requires the following elements:

- Brief, clear description of the area that will be served by the requested equipment;
- Description of the equipment, quantities, and AEL numbers;
- Justification of need and how this purchase compares to other options;
- A description of the active, operating waterway patrol unit;
- Identification of the applicable goals and objectives in the Bay Area UASI Strategy;
- How this equipment fits into the State/Urban Area's integrated operational plans;
- How the waterway has been identified as a critical asset requiring state and/or local prevention and response capabilities;
- How the requested watercraft fits into the State/Urban Area's integrated operational plans and vulnerability assessment;
- Types of terrorism incident response and prevention equipment (including any specialized navigational, communications, safety, and operational equipment);
- How the watercraft will be used operationally;
- The use of the watercraft on a regular, non-emergency basis.
- A signed letter on agency letterhead certifying that licensing, registration fees, insurance, and all ongoing operational expenses are the responsibility of the grantee or the local units of government and are not allowable under this grant.

Emergency Operation Center (EOC) Form

If a sub-recipient is establishing or enhancing either its primary EOC or an alternate EOC, the EOC Request Form must be completed, submitted, and approved prior to ordering the equipment. To complete this form, the sub-recipient project lead works with their respective Bay Area UASI Project Manager. The EOC Form has the following required elements:

- Physical address of the facility;
- How the establishment/enhancement of this EOC improves the organization's ability to prevent, plan for, respond to, and recover from a terrorism event;
- All sources and uses of additional funds that are assisting the project in any way;
- Itemized breakdown of equipment by AEL number and cost; and
- Justification that the costs requested for the EOC are reasonable.

Sole Source Request Form

The *Code of Federal Regulations Title 44 (44 CFR) 13.36 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments* provides guidance for procurement using federal funds. In the case of sole source procurement, sub-recipient jurisdictions may follow their local requirements for procurement under \$100,000 as long as they do not violate any federal regulation.

However, if a sub-recipient jurisdiction wishes to make a sole source purchase over \$100,000, the Sole Source Request Form must be completed, submitted, and approved prior to expending funds. To complete this form, the sub-recipient project lead works with their respective Bay Area UASI Project Manager to complete the form. The Sole Source Request Form requires the following elements:

- Brief, clear description of the proposed project or activity to be provided by the sole source vendor/contractor;
- Vendor's contact information;
- A list and description of the equipment as well as the AEL number and the cost if the proposed sole source is for equipment;
- Description of their agency's standard procedures when sole source contracting is considered;
- Why a sole source is needed (i.e., only available from one source, a public urgency or emergency, or only one bid received);
- Assurance that the contractor is not suspended or debarred;
- Guarantee that the funds can be spent prior to the end of the grant performance period; and
- Justification that costs are reasonable.

In addition, the sub-recipient jurisdiction must submit a cost benefit analysis as part of the Sole Source Request Form. This should include specific financial information and analysis that shows the financial benefit of the purchase to the agency. Examples of pertinent information in a cost benefit analysis may include information such as: savings involving personnel and staffing requirements; training cost savings as a result of interoperable equipment; or needing to make multiple purchases to otherwise obtain the same result with the requested item. The cost benefit analysis should not include information that is not pertinent to the financial analysis (i.e. safety benefits to the staff).

C. Performance Bonds

Many sub-recipient jurisdictions are unable to procure large equipment items with homeland security grant funds due to the fact that vendors are frequently unable to deliver such items within the federal grant period. To help address this issue and allow sub-recipients to be able to procure large equipment items with homeland security grant funds, FEMA allows sub-recipients to obtain a "performance bond."

To obtain a performance bond, the sub-recipient jurisdiction pays for the equipment item up front (upon receiving a valid vendor invoice prior to the stipulated delivery date) and receives an assurance from the vendor that the item will be delivered within 90 days of the state's performance period. The performance bond, therefore, acts as an insurance policy for the sub-recipient jurisdiction. Upon payment of the equipment cost and the performance bond, the sub-recipient jurisdiction may seek reimbursement from the Bay Area UASI Management Team, rather than having to wait to seek reimbursement until after the delivery of the equipment.

Per the California State Supplemental Guidance, sub-recipients must obtain a performance bond for any equipment item over \$250,000 or any vehicle, aircraft, or watercraft financed with homeland security dollars. Sub-recipient project leads should work with their respective Bay Area UASI Project Managers to determine the exact date that must be used in the performance bond. The cost of a Performance Bond is typically 1-3 % of the cost of the item.

D. Travel

If a sub-recipient jurisdiction requests funding for travel, the Bay Area UASI Travel Policies and Procedures Manual is to be followed (See Section VIII of this Manual). Sub-recipient project leads should consult with their Bay Area UASI Project Manager and must provide adequate written justification and documentation. All travel must fall within the intent of the overall travel policy. To be in compliance with the Bay Area UASI Travel policy, all travel requires a written request and approval by the requestor's direct supervisor and the Bay Area UASI General Manager. If the request is for travel for a national association or board, a written request must be submitted to, and approved by, the Bay Area UASI Approval Authority. Lastly, if the request is for travel to a non-continental US destination or for international travel, a written request and approval must be submitted to, and approved by, the Bay Area UASI Approval Authority, the Bay Area UASI General Manager, Cal OES, and FEMA. The international travel process takes over six months and requires extensive documentation.

E. Match

Cost sharing or matching means that a portion of the costs of a federally assisted project or program is borne by the sub-recipient and not by the federal government. In order to meet a cost share or match requirement, sub-recipient jurisdictions must provide either cash or in-kind contributions. In order for matching funds to be eligible, only allocable and allowable costs under the appropriate costs principles and program eligibility requirements are allowed. Further, they must have been expended within the performance period of the award and provide direct support for the program or project for which the funds were awarded. All matching funds must be supported by source documentation and cannot have been included as a cost or used to meet cost share or match requirements for another federal award unless authorized by statute. Lastly, any matching funds must be treated on a consistent basis by the sub-recipient.

F. Grant Extensions

Congressional concerns over unspent federal homeland security grant funds have led to shortened grant performance periods and stricter adherence to grant timelines. FEMA approves extension requests only due to compelling legal, policy, or operational challenges. Such requests are approved infrequently, on a case by case basis, and typically not until the very end of the performance period.

If an extension request is warranted, sub-recipient jurisdictions should first contact their Bay Area UASI Project Manager. If approved at the Bay Area UASI level, a request will be sent by the UASI Management Team to Cal OES for approval. Sub-recipients will be notified of the state's decision when it has been received by the UASI Management Team.

V. PROCUREMENT

Procurement includes hiring, purchasing of supplies, and soliciting for professional services. The Bay Area UASI Management Team has responsibility for oversight of procurement processes that utilize federal funds received by the Approval Authority. The Grants Management Unit of the Management Team ensures compliance with federal laws, regulations, executive orders, OMB circulars, departmental policy, award terms and conditions, and state and local requirements.

When a jurisdiction is the sub-recipient of award funds, the sub-recipient is responsible for procurement processes and should use procurement procedures and regulations from that jurisdiction, provided these procurement procedures and regulations conform to applicable federal law and standards.

In cases when a project does not include sub-recipient funding, all procurement processes are the responsibility of the Bay Area UASI Project Manager, working in partnership with the Grants Management Unit. Such procurements are conducted per the policies and procedures of the City and County of San Francisco as the Bay Area UASI fiscal agent.

A. Types of Agreements

The Bay Area UASI Program, through the Grants Management Unit, administers three types of contracting agreements:

- ***Memoranda of Understanding (MOU)*** – This is an agreement between the City and County of San Francisco, in its capacity as the fiscal agent for the Bay Area UASI, and a sub-recipient jurisdiction. This document is a requirement when a jurisdiction is a sub-recipient of federal award funds.
- ***Letters of Agreement (LOA)*** – This is an agreement between the Bay Area UASI, acting by and through the Bay Area UASI Management Team, and another department within the City and County of San Francisco.
- ***Professional Services Contract*** – This is an agreement between the City and County of San Francisco and a vendor for services that require advanced specialized knowledge or expertise.

B. Content of the MOU/LOA

MOUs and LOAs consist of the following sections:

- ***Boilerplate Agreement***

The boilerplate of an MOU contains the following twelve articles:

- Article 1 – Definitions
- Article 2 – Allocation and Certification of Grant Funds; Limitation on San Francisco’s Obligations
- Article 3 – Performance of the Agreement
- Article 4 – Reporting Requirements; Audits
- Article 5 – Representations and Warranties
- Article 6 – Indemnification and General Liability
- Article 7 – Events of Default and Remedies; Termination for Convenience
- Article 8 – Assignments
- Article 9 – Notice and Other Communications
- Article 10 – Miscellaneous
- Article 11 – Insurance
- Article 12 – Compliance

The boilerplate of an LOA contains the following two articles:

- Article 1 – Performance of the Agreement
 - Article 2 – Notices and Other Communications
- ***Appendix A*** – “Authorized Expenditures and Timelines,” which details information by solution area (Planning, Organization, Equipment purchase, Training, and Exercises–POETE), program description, deliverable due date, and amount. See next section, “C. Appendix A – Authorized Expenditures and Timelines,” for more information on allowable costs and requirements for reimbursement.
 - ***Appendix B*** – “Grant Assurances,” which outlines compliance requirements and the sub-recipient’s obligations under the grant. Each page of this document must be initialed and signed by an authorized agent. See the template in Section VII.
 - ***Appendix C*** – “Form of Reimbursement Request,” which must be submitted to the Bay Area UASI Management Team when requesting reimbursement along with Schedule 1 (list of authorized expenditures) and Schedule 2 (grant match documentation, if applicable). See the template in Section VII. Grant match documentation must include all cash appropriations of non-federal funds and all in-kind services (in dollar values) that the sub-recipient intends to use for its grant match. The sub-recipient may not submit a reimbursement request until the Grants Management Unit approves the grant match plan.

C. MOU/LOA Appendix A - Authorized Expenditures and Timelines

All allowable UASI sub-grant award expenditures must fall into one of six solution areas: Planning, Organization, Equipment purchase, Training, and Exercise (POETE). The MOU/LOA Appendix A template can be found in Section VII of this manual.

Planning

The MOU/LOA obligations regarding planning include:

- **Personnel** – Prior to any sub-recipient expenditures for personnel, sub-recipients must submit completed job descriptions to the Project Manager detailing the planning activities the personnel will complete and the deliverables that will be produced. Prior to reimbursement, the sub-recipient must submit the following: all functional time sheets or allocation plans, payroll documentation or cancelled checks showing payment of salaries and benefits, and work product or certification that work was completed.
- **Contracts** – All contracts must comply with the contracting laws and best practices of their jurisdictions. See “Approval of Vendor Solicitations and Contracts” under “C. Planning” in Section III on the project cycle above for more information on criteria that should be met and Section IV (Sole Source Request Form) as appropriate.
- **Travel** – Travel for planning activities must be pre-approved by the UASI General Manager or designee prior to scheduling, per the Bay Area UASI Travel Policy (see Appendix B) and Section IV (Travel) above. Invoices must include all backup documentation, including conference agendas, programs, brochures, lodging receipts, per diem calculations, airfare receipts/boarding passes, mileage calculations, and proof of payment.

Organization

Eligible organization expenses that must be documented in the MOU/LOA include:

- Responding to an increase in the threat level under the Homeland Security Advisory System or needs resulting from a National Special Security Event;
- Establishing, enhancing, and staffing State and Major Urban Area fusion Centers;
- Paying salaries and benefits for personnel to serve as qualified intelligence Analysts; and
- Paying related Overtime and Operational Overtime costs.

Equipment

The MOU/LOA obligations for equipment include:

- As allowable under federal guidelines, procurement of equipment must follow local policies and procedures for competitive purchasing.
- At a minimum, more than one quote or bid must be obtained, unless a sole source is justified (see Section IV- Sole Source Request Form- above). If sole source approval is needed, the sub-recipient project lead the sub-recipient project lead must transmit the request to the Project Manager for submission to the State. Such approval must be received prior to the purchase of the equipment.
- EHP approval, if required (see Section IV- EHP Form- above). If not previously identified, such a requirement will be conveyed by the Project Manager to the sub-recipient project lead the sub-recipient project lead during the project planning stage. When such an approval is required, the Project Manager will work with the sub-recipient jurisdiction Project Lead to complete the form.
- A performance bond for any aircraft, watercraft, or vehicle as well as any individual equipment item in excess of \$250,000 is required.
- Prior to reimbursement, the sub-recipient must submit to the Grants Management Unit all invoices, Authorized Equipment List (AEL) numbers, EHP or Sole Source approval letters, and a list of all equipment identification numbers and the deployed locations.

Training

The MOU/LOA obligations for training include:

- All training courses must be pre-approved by Cal OES. If the training should be field-based, EHP approval is required (see Section IV- EHP Form- above).
- Training course expenses may include backfill/overtime, travel, tuition, per diem or other grant eligible expenses.
- When seeking reimbursement for grant eligible expenses, the sub-recipient must submit the following:
 - Completed financial management workbook training ledger page indicating course title, feedback number, and sub category (e.g., overtime, backfill, course development);
 - Copy of the EHP approval letter (as applicable);
 - Registration receipts and agendas; and

- Copies of participant sign in sheets and certificate of completion.

Exercise

The MOU/LOA obligations for exercise include:

- All field-based exercises and associated sites require EHP approval.
- Exercise expenses may include backfill/overtime, travel, tuition, per diem or other grant eligible expenses.
- When seeking reimbursement for grant eligible expenses, sub-recipients must submit the following:
 - Completed financial management workbook exercise ledger page indicating exercise title and sub category (e.g., overtime, backfill, course development);
 - Copy of EHP approval letter (as applicable);
 - Copy of After Action Report (due to Cal OES no later than 60 days after the exercise; and
 - Copies of participant sign in sheets.

D. Executing the MOU

It takes approximately three months for an MOU to be drafted and approved, but may take longer depending on the workload of the participating parties, the complexity of the document, and especially the length of time it takes to get the agreement calendared for approval at local boards and city councils. The following is a sample process and timeline for MOU agreements. This applies both to MOUs drafted for the first time as well as modifications to existing agreements.

1. ***Drafting of Appendix A*** – The Bay Area UASI Management Team drafts the Appendix A of the agreement in close cooperation with both the sub-recipient jurisdiction and the Grants Management Unit (as needed) – (5 working days).
2. ***Grants Management Unit Review*** – The Grants Management Unit reviews and approves the Appendix A from a compliance perspective as well as compiles required documentation for the agreement, such as the boilerplate language and other appendices – (5 working days).
3. ***City Attorney Review*** – Once approved by the Grants Management Unit, the Grants Management Unit forwards the agreement to the City and County of San Francisco City Attorney for review – (10 working days).

4. ***Sub-recipient Signature*** – Once approved by the City Attorney, the Grants Management Unit PDFs the document and sends it to the sub-recipient jurisdiction/City department for signature. Typically, jurisdictions will calendar the MOU for approval at a board or city council meeting, which can take several weeks – (30 working days).
5. ***City Attorney Signature*** – Once two (2) original MOUs signed by the sub-recipient are returned, the Grants Management Unit sends the documents to the City and County of San Francisco City Attorney for signature – (5 working days).
6. ***DEM Signature*** – Once signed by the City Attorney, the Grants Management Unit sends the agreement to the Director of the City and County of San Francisco Department of Emergency Management (DEM) for signature – (5 working days).
7. ***Final Project Approval*** – The agreement is now finalized, and projects may now be reimbursed for expenses incurred during the time period specified in the MOU agreement.

E. Modifications to the MOU

Sub-recipients should immediately notify the Bay Area UASI Project Manager in the event they may not be able to meet their deliverable due dates and specifications as approved in their MOU document. Sub-recipient jurisdictions may request changes to project timeline, scope, and budget via the Project Change Request Form (see “Change Management” under “Execution” in Section III above). When such changes are approved and affect the final end date or overall amount of funding included in the MOU, the MOU must go through a formal amendment process, detailed in the section above. In all other instances of changes to the MOU, an approved Project Change Request Form will generate a Modification Notice detailing the approved revisions in the MOU, which must be signed by the General Manager or designee, City and County of San Francisco City Attorney, and the relevant sub-recipient jurisdiction to indicate agreement to the revisions.

Per the timeline above, an MOU modification request takes roughly three months to process and could take longer depending on the workload of applicable parties, the complexity of the document, the proposed changes, and length of time needed to calendar the approval before local boards and city councils. Sub-recipients should not expend funds until the MOU agreement has been formally updated and signed.

F. Cal OES Assurances and Certifications

The California Office of Emergency Services (Cal OES) is required by law to obtain written certification of compliance. It requires the Bay Area UASI to submit the Certification of Assurance of Compliance Form. This form is a binding affirmation to comply with:

- State and federal civil rights laws;
- Drug Free Workplace Program;
- California Environmental Quality Act;
- Federal grant fund requirements;
- Lobbying restrictions;
- Debarment/suspension requirements; and
- Proof of Authority from the city council/governing board.

Similarly, the Bay Area UASI Management Team requires sub-recipient jurisdictions to sign grant assurances for the items listed above and other statements as outlined in the Appendix B (Grant Assurances) of the MOU/LOA. See template in Section VII.

G. San Francisco Procurement Process for Professional Services Contracts

In cases in which a project does not include sub-recipient funding, all procurement processes are the responsibility of the Bay Area UASI Management Team Project Manager, working in partnership with the Grants Management Unit. In such instances, procurement is conducted according to the policies and procedures of the City and Country of San Francisco as the Bay Area UASI fiscal agent.

These general rules apply under San Francisco's procurement process for professional services contracts:

- ***Contract amount of \$0 - \$10,000*** – No solicitation is required. However, grant guidelines require some type of comparative pricing.
- ***Contract amount over \$10,000 but less than \$100,000*** – Informal solicitation required. The Project Manager must informally solicit bids. Ideally, at least three bids should be collected and evaluated by the Project Manager.
- ***Contract amount of \$100,000 or more*** – Formal solicitation is required. The Project Manager must follow the rules and procedures of a formal solicitation process as described next.

Additionally, in cases in which a project is following San Francisco procurement policies and procedures, and a contract amount is \$50,000 or more, the Bay Area UASI Management Team must seek review and approval from the San Francisco Civil Service Commission.

There are two main instruments used in the procurement of professional service contracts:

- **RFP (*Request for Proposals*)** – An RFP process evaluates specific proposals that perform a specific service. The highest scoring proposal wins the opportunity to negotiate a contract.
- **RFQ (*Request for Qualifications*)** – An RFQ evaluates qualifications (e.g., resumes, references, etc.) to establish whether proposers are qualified to perform the requested services and establishes such qualifications for a duration limited to two years. During this time, the City and County of San Francisco may enter into contract negotiations with any qualified firm for services specified within the original RFQ.

The Bay Area UASI Management Team, on behalf of the City and County of San Francisco, will advertise the RFP/RFQ opportunity on the San Francisco Office of Contract Administration website (<http://mission.sfgov.org/OCABidPublication/>) and the Bay Area UASI website. Once the proposals submission deadline has occurred, the Management Team will convene a panel comprised of regional subject matter experts to evaluate and vet the proposals. The panel will choose the best respondent and the Project Manager will lead negotiations with the winning respondent to develop the professional services contract. See “Approval of Vendor Solicitations and Contracts” under “C. Planning” in Section III on the project cycle above for details on requirements that must be met in the solicitation, selection, and negotiation/contract stage of contract development.

All vendors who do business with the City and County of San Francisco must also obtain a vendor number, submit a federal W-9 form, and provide a San Francisco P-25 Business Tax Declaration. They must also meet the City’s Equal Benefits Ordinance, Minimum Compensation Ordinance, and Healthcare Accountability Ordinance.

In the City and County of San Francisco, a sole source request must be made to the Office of Contract Administration/Purchaser’s Office if any of the following apply:

- The commodity or service is only available from one source;
- There is only one vendor willing to enter into a contract with San Francisco;
- The item has design and/or performance features that are unique and essential to San Francisco’s needs; and/or
- The product is a licensed or patented good or service that limits its availability.

An approval from Cal OES is also required for sole source processes using federal funds administered by the Bay Area UASI in amounts over \$100,000

H. Federal Procurement Guidelines

When a jurisdiction is the sub-recipient of award funds, the sub-recipient is responsible for procurement processes and may use their own procurement procedures and regulations, provided these conform to applicable federal law and standards. Sub-recipient jurisdictions are responsible for reviewing Title 44 on Emergency Management and Assistance in the Code of Federal Regulations (CFR) to confirm consistency.

Section 13.36 of Title 44 highlights the following due diligence requirements when procuring commodities/services with federal funds:

- Conduct reasonable cost/price analysis;
- Encourage the use of federal excess and surplus property;
- Reach out to Minority/Women Enterprise;
- No geographical preference allowed;
- Maintain full and open competition;
- Do not preclude vendors or conduct restrictive competition;
- Maintain written code of contracting standards;
- Include processes for hearing protests and disputes;
- No conflict of interest in selection process; and
- Maintain records to detail the history of procurement.

Section 13.36 also identifies four different types of procurement processes:

- 1) Procurement by small purchase procedure is a relatively simple and informal procurement method for securing services, supplies, or other property that doesn't cost more than \$100,000.
- 2) Procurement by sealed bid is when bids are publicly solicited and awarded to the responsible bidder whose bid, conforming to all the material terms and conditions of the invitation for bids, is the lowest in price.
- 3) Procurement by competitive proposal involves a method for evaluating all proposals and awarding to the firm whose proposal is most advantageous to the program, when price and other factors are considered.
- 4) Procurement by non-competitive proposals (sole source) may be used when the item is only available from a single source, is a public emergency, the grantor authorizes a noncompetitive process, or, after solicitation from a number of sources, competition is determined inadequate.

VI. FINANCIAL MANAGEMENT

The City and County of San Francisco serves as the fiscal agent for the Bay Area UASI through a resolution, passed by the Board of Supervisors of the City and County of San Francisco, recognizing this fiduciary role. This allows the Bay Area UASI Management Team, functioning as a separate arm of the San Francisco Department of Emergency Management, to execute projects with the upfront financial support of the City and County of San Francisco with reimbursement coming back to the City and County. The San Francisco Controller's Office, City Attorney's Office, and Office of Contract Administration provide fiscal, legal, and contract program support to the Bay Area UASI.

The Bay Area UASI Management Team's Grants Management Unit has responsibility for financial management of federal funds received by the Approval Authority. The Grants Management Unit is responsible for the administration of federal grant awards to ensure compliance with federal laws, regulations, executive orders, OMB circulars, departmental policy, award terms and conditions, and state and local requirements. The Grants Management Unit must also make certain all activities carried out under the Bay Area UASI grant program are reasonable and allowable, and maintain complete and accurate records of all program activities.

A. Grant Award

A grant award letter, when signed by the Director or designee of the California Office of Emergency Services (Cal OES), becomes a "Grant Award" which contains the terms and conditions of the grant. The Grant Award Letter is an agreement between Cal OES and the Bay Area UASI. All projects funded from the Grant Award must conform to the agreement as specified. Failure to do so may result in the withholding or disallowance of grant payments on current or future Cal OES grants, the reduction or termination of the Grant Award, and/or the denial of future Grant Awards. The Bay Area UASI must comply with all applicable federal/state laws and regulations.

B. Post-Award

As a condition of accepting federal funding, the Bay Area UASI is required to maintain an accounting system and financial records to accurately account for awarded funds. These records include both federal funds and all appropriate matching funds. The Bay Area UASI Management Team, through its Grants Management Unit, is responsible for all aspects of this, including proper accounting and financial recordkeeping by all sub-recipients. Responsibilities include: the accounting of receipts and expenditures, cash management, maintenance of adequate financial records, and refunding expenditures disallowed by audits.

Accounting Responsibilities

The Bay Area UASI Grants Management Unit and sub-recipient jurisdictions have the following accounting responsibilities:

- ***Reviewing Financial Operations*** – The Grants Management Unit must be familiar with, and periodically monitor, its sub-recipients’ financial operations, records, systems, and procedures. Particular attention is directed to the maintenance of current financial data.
- ***Recording Financial Activities*** – The Grants Management Unit and sub-recipients must record in summary form the sub-recipient’s award or contractual obligation as well as cash advances and other financial activities. Sub-recipients should record expenditures or evidence them by report forms duly filed to the Grants Management Unit. Non-federal contributions applied to programs or projects by sub-recipients should likewise be recorded by sub-recipients, as should any program income resulting from program operations. All financial records must validate expenditures related to the respective sub-recipient grant(s).
- ***Budgeting and Budget Review*** – The Grants Management Unit must ensure that each sub-recipient prepares an adequate budget on which its award commitment will be based. The detail of each project budget should be maintained on file by both the sub-recipient and the Grants Management Unit.
- ***Accounting for Non-federal Contributions*** – The Grants Management Unit and sub-recipients must ensure that the requirements, limitations, and regulations pertinent to non-federal contributions are applied.
- ***Audit Requirements*** – The Grants Management Unit must ensure that sub-recipients have met necessary audit requirements.
- ***Reporting Irregularities*** – Sub-recipients must promptly notify the Bay Area UASI Management Team, who in turn will notify the state and the federal cognizant audit agency, of any illegal acts or irregularities and of proposed and actual actions, if any.

Illegal acts and irregularities include conflicts of interest, falsification of records or reports, and misappropriation of funds or other assets. Should the Bay Area UASI Management Team become aware of any criminal activity related to federal assistance, these criminal acts should be reported to the appropriate law enforcement agency. Please see the fraud policy included in Section II of this Manual for more information.

- ***Debarred and Suspended Organizations*** – The Bay Area UASI and its sub-recipients must not award or permit any award at any level to any party that is debarred or suspended from participation in federal assistance programs.
- ***Bonding*** – The Bay Area UASI may require adequate fidelity bond coverage where the sub-recipient lacks sufficient coverage to protect the federal government interest (see OMB Circular A-110, Subpart C, paragraph 21© and OMB Circular A-122).

Grant Accept and Expend

For grants that are not included in the City and County of San Francisco's Annual Appropriation Ordinance (AAO) or gifts in amounts of \$100,000 or greater, special grant accept and expend processes must be followed in order to obtain spending authority from the San Francisco Board of Supervisors. In such circumstances, the Bay Area UASI must submit an Accept and Expend Resolution. Legislation in the form of an ordinance amending the San Francisco Annual Salary Ordinance (ASO) must be submitted if new positions are being created.

Financial System and Structure

The City and County of San Francisco's Financial Accounting and Management Information System (FAMIS) provides an accounting and internal administrative control system for Bay Area UASI funds. It includes a general ledger accounting structure, subsidiary accounting records, and procedures that define how, and by whom, the funds are handled. Accounting records identify the receipt and the expenditure of all Cal OES funds. The system also conforms to Generally Accepted Accounting Principles (GAAP), provides a record of the amount and disposition of all project funds, shows receipt of funds and expenditures by source (e.g., federal, state, or local), and separately identifies match funds and related expenditures.

Budgetary Controls

The Bay Area UASI Management Team utilizes the budgetary control features found in FAMIS to facilitate analysis of the budget and to ensure that separate tracking and reporting are properly performed. The system also allows accurate accounting of funds by project, sub-recipients, and categories/solution areas. These categories/solution areas are: Planning, Organization, Equipment purchase, Training, Exercises, and Management and Administration.

Obligation of Funds (Encumbrance)

Obligations (encumbrances) are a legal liability to pay, under a grant and/or contract, determinable sums for services or goods incurred during a period of performance. An encumbrance occurs when funds are set aside to pay for a particular expense. This includes, but is not limited to, orders placed, contracts and grants awarded, services received, and similar transactions that require payment during the same or a future period. The Bay Area UASI Grants Management Unit enters these into the FAMIS accounting system based on documents such as approved service contracts, Memoranda of Understanding (MOU), Letters of Agreement (LOA), or requisitions for supplies and services.

Once an encumbrance is made in the FAMIS system, the funds are committed to a specific use and are no longer available for other expenditures. However, since the goods or services have not yet been received, legally, the project does not yet owe anything to the vendor or supplier.

An encumbrance is defined by the following three characteristics:

- The expenditure is approved in the original MOU/LOA budget or a subsequent sub-grant award modification;
- A formal written order or request (i.e., requisition) is approved by the Bay Area UASI Management Team prior to the end of the grant period; and
- A purchase order/contract has been submitted to the vendor or supplier of goods or services.

Expenditure of Funds

The Bay Area UASI Grants Management Unit must make certain all activities carried out under the Bay Area UASI grant program are reasonable and allowable. All allowable UASI grant expenditures fall into one of six categories/solution areas, must support the eight National Priorities and the Bay Area and State homeland security strategies, as well as enhance regional capabilities. Typically, the Bay Area UASI Management Team has 90 days after the end of the MOU/LOA term to liquidate obligated funds.

To be allowable, costs must meet the following general criteria:

- Be necessary and reasonable for proper and efficient performance and administration of the sub-grant award;
- Be allocable under federal and/or state provisions;
- Be authorized or not prohibited under federal, state or local laws or regulations;
- Conform to any limitations or exclusions set forth in applicable federal cost principles, federal laws, terms and conditions of the award, or other governing regulations as to types or amounts of cost items;
- Be consistent with policies, regulations, and procedures that apply uniformly to both federal awards and other activities of the governmental unit;
- Be accorded consistent treatment;

- Be determined in accordance with Generally Accepted Accounting Principles (GAAP);
- Not be included as a cost or used to meet cost sharing or matching requirements of any other federal award in either the current or a prior period, except as specifically provided by federal law or regulation;
- Be the net of all applicable credits; and
- Be adequately documented.

Personnel Costs and Functional Timesheets

Salaries and benefits of personnel involved in more than one sub-recipient grant project must be charged to each based on the actual percentage of time spent. The annualized actual percentage charged for a particular position (e.g., Exercise Director) cannot exceed the annual percentage stated in the MOU. Similarly, the dollar amount charged for a particular position also must not exceed the approved dollar amount in the MOU or any subsequent modifications.

Functional timesheets must be maintained which support the time charged to grants. All grant-funded personnel must maintain time cards/sheets that indicate, on a daily basis, the actual time worked on each project and account for all the time worked by the employee during the pay period. Time cards/sheets must be signed by the employee and their supervisor.

Reimbursement

The UASI grant program is a reimbursement-based grant, meaning the grantee (State), sub-grantee (Bay Area UASI), and sub-recipient (local jurisdictions) must first expend funds prior to seeking reimbursement. The sub-recipient will first expend local general funds to pay for pre-approved and allowable UASI grants program expenses and then submit a request for reimbursement to the Bay Area UASI Grants Management Unit. The Grants Management Unit reimburses the sub-recipients and then may seek reimbursement from Cal OES.

The Grants Management Unit will reimburse sub-recipients within 30 business days as long as supporting documentation is complete and compliant. Partial reimbursements will be remitted for supporting documentation that is sufficient. The sub-recipient must submit requested supporting documentation within 45 business days of the final deadline for claims. The sub-recipient will not be reimbursed if the documentation is not submitted within this period. Sub-recipients are encouraged to submit claims when significant milestones are met and/or project completion is accomplished in advance of the deadline (subject to documentation requirements). See Section V above on authorized expenditures and timelines for details on documentation that sub-recipients must submit with their claims for reimbursement. See also Section VII for a reimbursement template for sub-recipients.

Reporting

Reporting requirements must be met throughout the life of all sub-grant awards. Cal OES utilizes grant tools such as the Financial Management Forms Workbook (FMFW) and Biannual Strategy Implementation Reports (BSIR) to accomplish reimbursement requests and other reporting requirements from the Bay Area UASI.

The FMFW is used for different grant programs as a resource for completing the Grants Reporting Tool required by FEMA. It also serves as a tool for the Bay Area UASI Management Team's portfolio analysis and tracking. This form consists of equipment inventory and organization, training, planning, exercise, and match rosters.

The Bay Area UASI is responsible for providing updated obligation and expenditure information on a semi-annual basis to Cal OES for the Semi Annual Progress Report, or SAPR. Cal OES, as the applicable State Administrative Agent (SAA), is responsible for completing and submitting the final BSIR reports which are a component of the SAPR. The BSIR submission satisfies the narrative requirement of the SAPR. The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). The Bay Area UASI Grants Management Unit must provide updated obligations and expenditure information with the BSIR to show progress made toward meeting strategic goals and objectives. Failure to submit a single BSIR report may result in a notification letter of delinquency to the San Francisco Board of Supervisors and the possible reduction of future funding awards by 10%. Additionally, the UASI risks having a hold placed on pending reimbursements.

Grants Reconciliation

Reconciliation is the process of bringing invoices, reports, and cash requests into balance with revenue and expenditure as of a particular period of time in FAMIS. The Bay Area UASI Grants Management Unit staff performs procedures that verify balances and transactions in FAMIS against supporting documentation such as vouchers, invoices, payroll records, etc. to comply with grant fiscal requirements. In addition to reviewing the Financial Management Forms Workbook and analyzing grant budgets, grants staff is also responsible for:

- Quarterly reconciliation of grants and responding to inquiries from the City and County of San Francisco Controller's Office; and
- Annual reconciliation of federal expenditures by Catalog of Federal Domestic Assistance (CFDA) number in compliance with Single Audit requirements.

Audit

The Controller's Office of the City and County of San Francisco is responsible for producing an annual Single Audit Report in which major UASI sub-grant awards are audited by an independent CPA firm. This is in accordance with the requirements for audits established by OMB Circular A-133, to safeguard Cal OES assets, and to ensure accounting for all grant funds. The Management Team is required to forward a copy of the audit report to Cal OES within nine months after the fiscal year of the grant ending date. All sub-recipients of UASI sub-grant awards must maintain appropriate records to document grant compliance and are subject to audit by representatives of Cal OES, the State of California, and the United States Government.

C. Sub-recipient Financial Monitoring

A key component of post award financial management is sub-recipient monitoring. The Bay Area UASI Grants Management Unit is responsible for monitoring sub-recipients to determine:

- Effectiveness and efficiency of operations;
- Reliability of reporting and recordkeeping; and
- Compliance level.

The Grants Management Unit utilizes both desk-based reviews and annual on-site visits to monitor sub-recipients. Monitoring involves review and analysis of financial, programmatic, performance and administrative issues relative to sub-grant awards, and identifies areas where technical assistance and other support may be needed.

Desk-based

The Grants Management Unit reviews all transactions through a desk review prior to processing reimbursement requests to ensure compliance with federal regulations and the terms and conditions of the MOU with sub-recipient jurisdictions. Desk-based financial monitoring can result in the identification of exceptions and potential issues related to a sub-recipient's administration of grant funds. Examples of potential issues include financial reporting anomalies, inaccurate expenditure reporting, or a misunderstanding of or non-compliance with federal cash management requirements. Desk reviews provide high-level assurance for grants financial monitoring in which the Grants Management Unit can centrally collect and analyze information to assess a sub-recipient's capacity to manage federal funds.

On-site

The Bay Area UASI Grants Management Unit conducts site visits, sometimes in conjunction with Management Team Project Managers. The purpose of these visits is to assess the sub-recipient's capability, performance, and compliance in regards to the applicable elements that make up each sub-recipient grant. This includes administrative regulations and public policy requirements, as well as terms and conditions contained in the MOU with recipient jurisdictions. The goal of on-site financial monitoring activities is to ensure that sub-recipients possess adequate policies, processes, and systems to manage federal grant awards and to guard against fraud, waste, or mismanagement of funds. On-site financial monitoring activities involve collecting and analyzing information on the business functions and grant administration practices of the sub-recipients, including verification of equipment purchased with grant funds. Through these reviews, the Grants Management Unit assesses the sub-recipients' capacity to administer grants in compliance with federal regulations and evaluate sub-recipient performance in grant administration areas. Please see the Financial Monitoring Checklist in Section VII below.

Sub-recipient Responsibilities

In terms of sub-recipient financial monitoring, sub-recipient responsibilities include carrying out all terms and conditions of their MOU and maintaining complete and accurate records of all program activities. These records must be made available to the Bay Area UASI Management Team for monitoring purposes. The sub-recipient jurisdiction is also responsible for cooperating with monitoring processes, including resolving any monitoring findings (i.e., findings of non-performance or non-compliance) in a timely manner by a corrective action plan and/or technical assistance in association with Grants Management Unit staff.

Steps in the On-Site Financial Monitoring Review

To assist the sub-recipient in preparing for the monitoring visit, the Grants Management Unit provides the sub-recipient jurisdiction with a list of documents that will be reviewed, a description of the process, and the standards to which they must comply.

There are seven steps to an on-site financial monitoring review:

- 1) ***Pre-visit Notification Letter*** – The Grants Management Unit begins the monitoring process by emailing the sub-recipient jurisdiction a formal pre-visit notification letter informing them when the monitoring visit will take place and the length of it (usually a period of one to four days depending on the period(s) being monitored). The pre-visit letter explains the purpose of the visit, the process that will take place during the visit, and includes a document request list highlighting items that the sub-recipient must have available at the start of the visit. The letter also includes the name and contact information for the Grants Manager(s) who will conduct the monitoring.

- 2) **Field Document** – The Grants Manager emails the sub-recipient a field document at least four weeks prior to the monitoring visit. This field document reflects the scope of the monitoring review and guides the Grants Manager in deeming the level of compliance.
- 3) **Entrance Conference** – The Grants Manager conducts an entrance conference at the beginning of the monitoring visit with the Authorized Agent or other top official of the organization to make sure the sub-recipient has a clear understanding of the purpose, scope, and schedule of the monitoring.
- 4) **Documentation Review and Data Analysis** – The Grants Manager keeps a record of the information reviewed and conversations held with the sub-recipient during the monitoring visit. The documentation reviewed and obtained serves as the basis for conclusions drawn from the visit.
- 5) **Exit Conference** – The Grants Manager meets again with key representatives of the sub-recipient at the conclusion of the monitoring visit to:
 - Present preliminary results of the monitoring visit;
 - Provide an opportunity for the sub-recipient to secure any additional, requested documentation;
 - Explain the Monitoring Report, which may include areas of non-compliance or non-performance noted during the visit; and
 - Explain the corrective action plan process or provide technical assistance (if applicable).
- 6) **Monitoring Report** – Within four to six weeks after the monitoring visit, the Grants Manager provides the sub-recipient with a formal narrative report of the results of the monitoring review. The Monitoring Report creates a permanent record of what was found during the review. It points out areas for improvement as well as recognizes successes. In addition, the letter outlines any findings of non-compliance identified during the visit and the corrective action required to be in compliance.
- 7) **Corrective Action Plan** – If the Monitoring Report notes findings and corrective action requirements, the sub-recipient must provide to the Grants Management Unit a detailed corrective action plan within 30 days of the date of the Monitoring Report. The Plan must detail the corrective action steps the sub-recipient has undertaken, or will undertake, in addressing the noted areas of non-compliance or non-performance. If additional time is needed, a request for an extension must be submitted in writing 15 business days prior to the end of the 30 day period and approved by the Grants Manager.

D. Grant Closeout

The Grants Management Unit will work with sub-recipient jurisdictions and the Management Team Project Managers to make sure grant closeout is timely and complete. From a financial

management perspective, the closeout of a grant is the process by which the Cal OES notifies the Bay Area UASI that all applicable administrative actions and all required work of the grant have been completed through a grant closeout letter. Once the close out process is achieved, revenues must match expenditures, and all general ledger accounts must be cleared in FAMIS, the City and County of San Francisco's budget and accounting system.

VII. TEMPLATES

A. 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

PROJECT LEAD CONTACT INFORMATION

Name	Title
Business Phone	E-mail
Cell	Fax

DEPARTMENT HEAD CONTACT INFORMATION

Name	Title
Phone	E-mail
Department Head Approval	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#		QTY	Amount
AEL#		QTY	Amount
AEL#		QTY	Amount
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.
Report any problems to Jeff Blau at 415-353-5234.**

B. Project Plan



Project Plan Template

Project Name:		Date of Document:	
Investment Area:		Project Lead:	
Sub-recipient Jurisdictions:	<ol style="list-style-type: none"> 1. 2. 3. 	Project Start and End Dates:	
Technical Working Group:		Budget Amount:	

I. Project Plan Document History

Note here if the current plan is an update to a previously approved plan. The notation should include the date and reason for the update. It is not necessary to provide a history of drafts; only approved plans.

Version	Date approved	Reason for update

II. Goals and Rational – (maximum one page)

- *Project Goals*
- *Problem Definition*
- *Project Linkage to Bay Area Homeland Security Strategy*
- *Project Origin and Evolution*

III. Project Outcomes– (maximum one page)

Describe the outcomes and benefits that will be achieved as a result of this project. The outcomes should demonstrate improvement towards building capabilities. Outcomes are the changes that occur or the difference that is made for individuals, groups, organizations, systems and communities as a result of the project. Outcomes express the result that your project intends to achieve if implemented as planned. (Do not confuse outcomes with outputs, which are often deliverables (tangible and direct products or results of program activities) and which lead to desired outcomes.) If applicable, also describe any key markers of project success. (For example: must perform safety testing to 125% of government standards, prototype must be ready for introduction at the annual training exercise, must be completed by January 1 to comply with the new regulation).

IV. Deliverables

Use this section to provide a detailed description of the project deliverable(s) and their requirements.

*A **deliverable** is a verifiable output or result of the project and can be products, services, or processes. Projects often create multiple deliverables, where some are "intermediate" and others are "final" deliverables. The primary purpose of any project is to create deliverables, and the quality of the deliverables will in large part determine the success or failure of the project. Intermediate deliverables often correspond to project milestones, and the final deliverable corresponds to the project completion (also a milestone). It's very important to know when the project will end, and the identification of the final deliverable is the best way to articulate this. Clearly define all the expected deliverables of the project and get buy-in from users/ key stakeholders at the start so that there are no surprises at the end. Make sure that everyone knows that the project will be over when the final deliverable has been completed.*

*A **deliverable requirement** is characteristic of the project deliverable(s) that reflects user/ stakeholder needs. The term applies equally to deliverables that are products, services, or processes. The intent of all projects is to create deliverables that will in some way solve a problem for the users/ stakeholders. If the requirements do not properly or adequately describe the deliverable, it is very possible that the deliverable will not solve the problem. There are numerous examples of so-called "successful" projects that finish on time and on budget but whose deliverables do not solve the defined problems. Deliverable requirements drive project scope (work) and, therefore, have a huge influence on the project schedule and budget. A poor understanding of product requirements will lead you to create an unrealistic schedule and budget.*

Work with your users and stakeholders early in the project to understand and document the deliverable requirements. Have them prioritize the requirements, and have your project team/ subject matter experts help you to estimate the level of effort needed to implement the requirements. Make sure to focus on final results, not process, and use the SMART standard (Specific, Measurable, Accurate (or Agreed to), Realistic, and Time-bound). If useful, refer to specific examples of similar deliverables from other projects to make defining the deliverable more concrete.

Start Date (sort order)	Deliverable	Requirements	Completion Date	Person Responsible

V. Budget

VI. Roles, Responsibilities, and Stakeholders – (maximum one page)

Summarize the roles and responsibilities and level of effort required of the following parties, if applicable to the project. Use specific names as available.

- Bay Area UASI Project Manager
- Project Team
- Sub-recipient Jurisdictions
- Other Participating Jurisdictions
- Users
- Consultants/ Vendors
- Working Group/ Technical Experts
- Other Stakeholders

Why is this section important? Describing roles and responsibilities helps project teams to think through the best way to share responsibility as well as what is needed to make the project a success, including clearly designating people with appropriate skills and level of authority to provide needed project management and decision making. In particular, it is important to speak with participants about the level of effort that will be required on their side and from whom, and document this in the project plan. Clarifying roles and responsibilities will also help provide guidance during implementation for tasks not specified or foreseen in the project plan.

VII. Communication – optional section

Provide a summary table on project communications to help plan what information will be communicated, to whom, by whom, how often, and in what medium/format.

Description and Purpose	Owner	Medium/Format	Participants	Frequency

VIII. Risks and Mitigation – optional section

Identify risks to project goals and outcomes, and explain how the project is designed to mitigate these risks or how to devise alternative plans of action.

What are project risks? *Risks are factors that are critical to the project’s success and possess some element of uncertainty. Include in your thinking on risk key assumptions you may have made in your project plan that could change.*

Examples of risk include:

- *Access to data and confidentiality/privacy regulations*
- *Workload/lack of participation*
- *Political developments*
- *Scope creep*
- *Potential or actual conflicts of interest*

Assumption, constraints, and dependencies – *You may also note key project assumptions and external dependencies in this section.*

IX. Approvals

This section provides the signature area. You are not required to obtain hard copy signatures – an electronic sign off or agreement to the project plan in a meeting can suffice. However, if you do not obtain hard copy signatures, then note the sign off event (i.e., date of meeting or email) in this section.

_____	_____
Bay Area UASI Project Manager	Date
_____	_____
Sub-recipient Jurisdiction Representative	Date
_____	_____
Sub-recipient Jurisdiction Representative	Date
_____	_____
Sub-recipient Jurisdiction Representative	Date
_____	_____
Bay Area UASI General Manager	Date

X. Appendices

Use appendices as needed for background information or detailed breakdowns of hours/costs.

C. Impartiality/Confidentiality Statement

Department, City/County
RFP/RFQ **Number and Name**
PROPOSAL EVALUATION

IMPARTIALITY/CONFIDENTIALITY STATEMENT

I, the undersigned, understand that I have been asked to participate in this Request for Proposals (“RFP”)/ Request for Qualifications (“RFQ”) evaluation process as an Evaluation Panelist, non-scoring proposal screener, or non-scoring observer to assist the **City/County** in choosing the best and most responsive entities to select for contract negotiations. I understand that I must give each entity a fair and independent consideration. I understand that although I may listen to the views of other participants, the comments and decisions I make regarding each entity must reflect my own impartial judgment on that entity’s proposal.

I understand that I should not participate in this RFP/Q screening or evaluation process if I have any conflict of interest that would prevent me from exercising impartial judgment as to each entity. Accordingly, I hereby attest that to the best of my knowledge neither I, nor any member of my immediate family (including my spouse/domestic partner and dependent children):

1. Have received income or gifts within the past year from any of the entities listed below;
2. Have any ownership interest or other direct or indirect investments, other than mutual funds, in any of the entities listed below;
3. Expect or intend to seek employment or any other relationship with any of the entities listed below;
4. Have any other direct or indirect interest in any of the entities listed below that would prevent me from exercising fair and impartial judgment when I participate on this RFP screening or evaluation process.

I understand that all information concerning this screening and/or evaluation process is of a highly confidential nature. I certify that I have not discussed and will not discuss any part of the RFP/Q screening or evaluation process with anyone outside of the screening or evaluation process, including Proposers and their subconsultants, and understand that I should not do so prior to completion of Proposer selection for contract award. Upon request, the **Department Contract Manager can inform you when that has occurred.**

Proposers:

Insert names of all Proposer(s)

Signature

Date

Print Name

Title, Department or Firm

D. Project Change Request Form



Bay Area UASI Project Change Request Form

Instructions:

Answer all questions or note that it is not applicable.

The TAB button will advance or back up (Shift+Tab) to the next field.

The ENTER button will enter check mark into multiple choice boxes.

Fields where currency is entered only need the numbers, the \$ and commas are entered for you

Some fields are limited in the number of characters. Additional pages may be submitted

Contact your Bay Area UASI Project Manager with questions.

1. Date Submitted: mm/dd/yyyy

2. Check all that apply:

Time Line Extension

Request:

Budget Change Request:

Scope Change Request:

3. Funding Type

Core City

Hub

Off the Top

4. Agency:

5. City or County

6. Name and Title

7. Phone # and E-mail:

8. Funding Source:

9. Project Name

10. Current Budget:

11. New Budget:

12. Amount for Re-Allocation:

13. Current Project Deadline: mm/dd/yyyy

14. Requested Project Deadline: mm/dd/yyyy

15. Briefly explain the goals and deliverables of the project.

16. What is the nature of the requested change(s)? (State new budget amount, explain scope change, and/or new project completion date.)

17. Why is change needed? (eg., Why is the project late, original budget estimates inaccurate, and/or original scope of work no longer appropriate?) If the requested changes are a result of planning or implementation errors, please explain how you have analyzed processes and learned lessons to avoid such errors in the future.

18. Do all the project stakeholders agree to the requested change(s)? Explain the relevant stakeholders and state the process by which they have been informed and have agreed to the requested change(s).

19. For equipment projects, please answer the following, as appropriate:

a. What is the time required for an RFP or sole source justification?

b. Equipment list, including AEL numbers and quantity/amount per AEL.

c. Anticipated equipment delivery dates.

d. Anticipated installation completion dates.

e. Is an EHP required?	If yes, has it been obtained?	f. Is a Performance Bond required?
Yes	Yes	Yes
No	No	No

If yes, has it been obtained?

Yes

No

g. For EOC Projects, has CalEMA approval been obtained?

Yes

No

h. For watercraft/aircraft projects has CalEMA approval been obtained?

Yes

No

20. Additional Information:

21. To be completed by BAUASI Management Team staff after review:

Reviewed by:

Date: mm/dd/yyyy

Approved:

Comments:

Yes

No

The Bay Area UASI Project Change Request Review Process:

1. Sub-recipient Project Lead completes the Bay Area UASI Project Change Request Form and submits it to the assigned Bay Area UASI Project Manager (Note: The Sub-recipient Project Lead is the person who has key responsibility for implementation of the project).
2. Project Manager reviews the form for completeness.
3. Project Manager forwards the form to the Bay Area UASI Assistant General Manager via E-mail.
4. The Assistant General Manager reviews the form for approval and responds to the Project Manager via E-mail.
5. The Assistant General Manager distributes the form to the Chief Financial Officer and the General Manager, flagging the issue for Approval Authority approval, if necessary.
6. The Project Manager informs the Sub-recipient of approval or need for additional action/information.

The Management Team will respond to the requesting jurisdiction's project change request as soon as possible and within a time-frame of two weeks

Upon approval of the change request:

7. The Project Manager retains approved request form with other project documentation.
8. For time-line changes, the Bay Area UASI Grants Unit completes the CalEMA Performance Period Extension Request Form and sends it to the state for approval.
9. The Grants Unit makes updates to the Financial Workbook and processes changes to MOUs, if necessary.

E. MOU/LOA Appendix B - Grant Assurances

Name of Jurisdiction: FULL NAME OF SUBRECIPIENT JURISDICTION

Name of Authorized Agent: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone Number: (____) _____

Fax Number: (____) _____

E-Mail Address: _____

As the duly authorized representative of the SUBRECIPIENT, I certify that SUBRECIPIENT:

1. Will assure that grant funds will support efforts related to providing an integrated mechanism to enhance the coordination of national priority efforts to prevent, respond to, and recover from terrorist attacks, major disasters and other emergencies.
2. Has the legal authority to apply for Federal assistance and has the institutional, managerial and financial capability to ensure proper planning, management and completion of the grant provided by the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) and sub-granted through the State of California, California Office of Emergency Services (Cal OES).
3. Will assure that grant funds are used for allowable, fair, and reasonable costs only and will not be transferred between grant programs (for example: State Homeland Security Program, Urban Area Security Initiative, Citizen Corps Program, and Metropolitan Medical Response System) or fiscal years.
4. Will comply with any cost sharing commitments included in the FY2010 Investment Justifications submitted to DHS/FEMA/Cal OES, where applicable.
5. Will give the Federal government, the General Accounting Office, the Comptroller General of the United States, the State of California, the Office of Inspector General, through any authorized representative, access to, and the right to examine, all paper or electronic records, books, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards and/or awarding agency directives.
6. Agrees that funds utilized to establish or enhance State and Local fusion centers must support the development of a statewide fusion process that corresponds with the Global Justice/Homeland Security Advisory Council (HSAC) Fusion Center Guidelines, follow the Federal and State approved privacy policies, and achieve (at a minimum) baseline level of capability as defined by the Fusion Capability Planning Tool.

7. Will provide progress reports, and other such information as may be required by the awarding agency, including the Initial Strategy Implementation Plan (ISIP) within 45 (forty-five) days of the award, and update via the Grant Reporting Tool (GRT) twice each year.
8. Will initiate and complete the work within the applicable time frame after receipt of approval from Cal OES.
9. Will maintain procedures to minimize the time elapsing between the award of funds and the disbursement of funds.
10. Will comply with all provisions of DHS/FEMA's codified regulation 44, Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, including the payment of interest earned on advances.
11. Will comply with all provisions of 48 CFR, 31.2, Federal Acquisition Regulations (FAR), Contracts with Commercial Organizations.
12. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes, or presents the appearance of, personal or organizational conflict of interest, or personal gain for themselves or others, particularly those with whom they have family, business, or other ties.
13. Understands and agrees that Federal funds will not be used, directly or indirectly, to support the enactment, repeal, modification or adoption of any law, regulation, or policy, at any level of government, without the express prior written approval from DHS/FEMA/Cal OES.
14. Agrees that, to the extent contractors or subcontractors are utilized, will use small, minority-owned, women-owned, or disadvantaged business concerns and contractors or subcontractors to the extent practicable.
15. Will notify Cal OES of any developments that have a significant impact on award-supported activities, including changes to key program staff.
16. Will comply, if applicable, with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of structures.
17. Will comply with all Federal and State Statutes relating to Civil Rights and Nondiscrimination. These include, but are not limited to:
 - a. Title VI of the Civil Rights Act of 1964 (P.L. 88-352), as amended, which prohibits discrimination on the basis of race, color or national origin.
 - b. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683 and 1685-1686), which prohibits discrimination on the basis of gender.
 - c. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps.
 - d. The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age.
 - e. The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse.

- f. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism.
 - g. §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records.
 - h. Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing.
 - i. Title 44 Code of Federal Regulations (CFR) Parts 7, 16, and 19 relating to nondiscrimination.
 - j. The requirements on any other nondiscrimination provisions in the specific statute(s) under which the application for Federal assistance is being made.
 - k. Will, in the event that a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds or race, color, religion, national origin, gender, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office of Civil Rights, Office of Justice Programs.
 - l. Will provide an Equal Employment Opportunity Plan, if applicable, to the Department of Justice Office of Civil Rights within 60 days of grant award.
 - m. Will comply, and assure the compliance of all its subgrantees and contractors, with the nondiscrimination requirements and all other provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1.
18. Will comply with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (42 U.S.C. § 4601 et seq. [P.L. 91-646]) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or Federally assisted programs. These requirements apply to all interested in real property acquired for project purposes regardless of Federal participation in purchases. Will also comply with Title 44 CFR, Part 25, Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally-assisted programs.
19. Will comply, if applicable, with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is ten thousand dollars (\$10,000) or more.
20. Will comply with all applicable Federal, State, and Local environmental and historical preservation (EHP) requirements. Failure to meet Federal, State, and Local EHP requirements and obtain applicable permits may jeopardize Federal funding. Will comply with all conditions placed on any project as the result of the EHP review; any change to the scope of work of a project will require reevaluation of compliance with these EHP requirements.
21. Will comply with all provisions of DHS/FEMA's codified regulation 44, Part 10, Environmental Considerations.
22. Agrees not to undertake any project having the potential to impact the EHP resources without the prior written approval of DHS/FEMA/Cal OES, including, but not limited to, ground disturbance, construction, modification to any structure, physical security enhancements, communications towers, and purchase and/or use of any sonar equipment. The subgrantee

must comply with all conditions placed on the project as a result of the EHP review. Any construction- related activities initiated without the necessary EHP review and approval will result in a noncompliance finding, and may not be eligible for reimbursement with DHS/FEMA/Cal OES funding. Any change to the scope of work will require re-evaluation of compliance with the EHP. If ground-disturbing activities occur during the project implementation, the subgrantee must ensure monitoring of the disturbance. If any potential archeological resources are discovered, the subgrantee will immediately cease activity in that area and notify DHS/FEMA/Cal OES and the appropriate State Historic Preservation Office.

23. Any construction activities that have been initiated prior to the full environmental and historic preservation review could result in non-compliance finding. grantees must complete the FEMA EHP Screening Form (OMB Number 1660-0115/FEMA Form 024-0-01) and submit it, with all supporting documentation, to the GPD EHP team at GPDEHPinfo@fema.dhs.gov for review.
24. Grantees should submit the FEMA EHP Screening Form for each project as soon as possible upon receiving their grant award. The Screening Form for these types of projects is available at:
www.fema.gov/doc/government/grant/bulletins/info329_final_screening_memo.doc
25. Will ensure that the facilities under its ownership, lease or supervision, which shall be utilized in the accomplishment of this project, are not on the Environmental Protection Agency's (EPAs) List of Violating Facilities, and will notify Cal OES and the Federal Grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating if a facility to be used in the project is under consideration for listing by the EPA.
26. Will provide any information requested by DHS/FEMA/Cal OES to ensure compliance with applicable laws, including the following:
 - a. Institution of environmental quality control measures under the National Environmental Policy Act, National Historical Preservation Act, Archaeological and Historic Preservation Act, Endangered Species Act, and Executive Orders on Floodplains (11988), Wetlands (11990) and Environmental Justice (EO12898) and Environmental Quality (EO11514).
 - b. Notification of violating facilities pursuant to EO 11738.
 - c. Assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.).
 - d. Conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.).
 - e. Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523).
 - f. California Environmental Quality Act (CEQA). California Public Resources Code Sections 21080-21098. California Code of Regulations, Title 14, Chapter 3 Section 15000-15007.
 - g. Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

- h. Applicable provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.
27. Will comply with Standardized Emergency Management System (SEMS) requirements as stated in the California Emergency Services Act, Government Code, Chapter 7 of Division 1 of Title 2, Section 8607.1(e) and CCR Title 19, Sections 2445, 2446, 2447, and 2448.
 28. Agrees that all publications created or published with funding under this grant shall prominently contain the following statement: *“This document was prepared under a grant from FEMA’s Grant Programs Directorate, U.S. Department of Homeland Security. Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of FEMA’s Grant Programs Directorate or the U.S. Department of Homeland Security.”* The recipient also agrees that, when practicable, any equipment purchased with grant funding shall be prominently marked as follows: *“Purchased with funds provided by the U.S. Department of Homeland Security.”*
 295. Acknowledges that DHS/FEMA reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use, for Federal government purposes: a) the copyright in any work developed under an award or sub-award; and b) any rights of copyright to which a recipient or sub-recipient purchases ownership with Federal support.
 30. The recipient agrees to consult with DHS/FEMA/Cal OES regarding the allocation of any patent rights that arise from, or are purchased with, this funding and has requested through the State of California, Federal financial assistance to be used to perform eligible work approved in the submitted application for Federal assistance and after the receipt of Federal financial assistance, through the State of California, agrees to the following:
 - a. Promptly return to the State of California all the funds received which exceed the approved, actual expenditures as accepted by the Federal or State government.
 - b. In the event the approved amount of the grant is reduced, the reimbursement applicable to the amount of the reduction will be promptly refunded to the State of California.
 - c. Property/equipment purchased under the HSGP reverts to Cal EMA if the grant funds are deobligated/disallowed and/or not promptly repaid.
 - d. HSGP funds used for the improvement of real property must be promptly repaid following deobligation/disallowment of costs or Cal EMA reserves the right to place a lien on the property for the amount owed.
 - e. Separately account for interest earned on grant funds, and will return all interest earned, in excess of \$100 per Federal Fiscal Year.
 31. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. Sections 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM’s Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
 32. Will comply with provisions of the Hatch Act (5 U.S.C. Sections 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

33. Will comply, if applicable, with the Laboratory Animal Welfare Act of 1966 (P. L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
34. Will comply with the minimum wage and maximum hour provisions of the Federal Fair Labor Standards Act (29 U.S.C. 201), as they apply to employees of institutions of higher education, hospitals, and other non-profit organizations.
35. Agrees that "Classified national security information," as defined in Executive Order (EO) 12958, as amended, means information that has been determined pursuant to EO 12958 or any predecessor order to require protection against unauthorized disclosure and is marked to indicate its classified status when in documentary form.. No funding under this award shall be used to support a contract, subaward, or other agreement for goods or services that will include access to classified national security information if the award recipient has not been approved for and has access to such information.
36. Agrees that where an award recipient has been approved for and has access to classified national security information, no funding under this award shall be used to support a contract, subaward, or other agreement for goods or services that will include access to classified national security information by the contractor, subawardee, or other entity without prior written approval from the DHS Office of Security, Industrial Security Program Branch (ISPB), or, an appropriate official within the Federal department or agency with whom the classified effort will be performed. Such contracts, subawards, or other agreements shall be processed and administered in accordance with the DHS "Standard Operating Procedures, Classified Contracting by States and Local Entities," dated July 7, 2008; EOs 12829, 12958, 12968, as amended; the National Industrial Security Program Operating Manual (NISPOM); and/or other applicable implementing directives or instructions. All security requirement documents are located at:
<http://www.dhs.gov/xopnbiz/grants/index.shtm>
37. Immediately upon determination by the award recipient that funding under this award will be used to support such a contract, subaward, or other agreement, and prior to execution of any actions to facilitate the acquisition of such a contract, subaward, or other agreement, the award recipient shall contact ISPB, or the applicable Federal department or agency, for approval and processing instructions.

DHS Office of Security ISPB contact information:
Telephone: 202-447-5346
Email: DD254AdministrativeSecurity@dhs.gov
Mail: Department of Homeland Security
Office of the Chief Security Officer
ATTN: ASD/Industrial Security Program Branch
Washington, D.C. 20528

38. Agrees with the requirements regarding Data Universal Numbering System (DUNS) Numbers, meaning if recipients are authorized to make subawards under this award, they must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive or make a subaward to any entity unless the entity has provided its DUNS number. For purposes of this award term, the following definitions will apply:

- a. "Data Universal Numbering System (DUNS)" number means the nine digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet, currently at <http://fedgov.dnb.com/webform>
 - b. "Entity", as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C, as a Governmental organization, which is a State, local government, or Indian Tribe; or a foreign public entity; or a domestic or foreign nonprofit organization; or a domestic or foreign for-profit organization; or a Federal agency, but only as a sub recipient under an award or subaward to a non-Federal entity.
 - c. "Subaward" means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient. It does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. 210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations") and may be provided through any legal agreement, including an agreement that you consider a contract.
 - d. "Subrecipient" means an entity that receives a subaward from you under this award; and is accountable to you for the use of the Federal funds provided by the subaward.
39. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. Section 276a to 276a-7), the Copeland Act (40 U.S.C. Section 276c and 18 U.S.C. Sections 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. Sections 327-333), regarding labor standards for Federally-assisted construction sub-agreements.
40. Agrees that:
- a. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement.
 - b. If any other funds than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or an employee of Congress, or employee of a Member of Congress in connection with the Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
 - c. The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers including subgrants, contracts under grants and cooperative agreements, and subcontract(s) and that all sub recipients shall certify and disclose accordingly.
 - d. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

41. Agrees that equipment acquired or obtained with grant funds:
 - a. Will be made available pursuant to applicable terms of the California Disaster and Civil Defense Master Mutual Aid Agreement in consultation with representatives of the various fire, emergency medical, hazardous materials response services, and law enforcement agencies within the jurisdiction of the applicant, and deployed with personnel trained in the use of such equipment in a manner consistent with the California Law Enforcement Mutual Aid Plan or the California Fire Services and Rescue Mutual Aid Plan.
 - b. Is consistent with needs as identified in the State Homeland Security Strategy and will be deployed in conformance with that Strategy.
42. Agrees that funds awarded under this grant will be used to supplement existing funds for program activities, and will not supplant (replace) non-Federal funds.
43. Will comply with all applicable Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars A102 and A-133, E.O. 12372 and the current Administrative Requirements, Cost Principles, and Audit Requirements.
44. Will comply with all provisions of 2 CFR, including: Part 215 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB Circular A-110); Part 225 Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87); Part 220 Cost Principles for Educational Institutions (OMB Circular A-21); Part 230 Cost Principles for Non-Profit Organizations (OMB Circular A-122).
45. Will comply with Subtitle A, Title II of the Americans with Disabilities Act (ADA) 1990.
46. Agrees to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within this agreement.
47. Will comply with the financial and administrative requirements set forth in the current edition of the DHS Financial Management Guide.
48. Agrees that all allocations and use of funds under this grant will be in accordance with the FY 2010 Homeland Security Grant Program Guidance and Application Kit, and the California Supplement to the FY 2010 Homeland Security Grant Program Guidance and Application Kit. All allocations and use of funds under this grant will be in accordance with the Allocations, and use of grant funding must support the goals and objectives included in the State and/or Urban Area Homeland Security Strategies as well as the investments identified in the Investment Justifications which were submitted as part of the California FY2010 Homeland Security Grant Program application. Further, use of FY10 funds is limited to those investments included in the California FY10 Investment Justifications submitted to DHS/FEMA/Cal OES and evaluated through the peer review process.
49. Will not make any award or permit any award (subgrant or contract) to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in

Federal assistance programs under Executive Order 12549 and 12689, "Debarment and Suspension". As required by Executive Order 12549, Debarment and Suspension, and implemented at 44 CFR Part 17, for prospective participants in primary covered transactions, the applicant certifies that it and its principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency.
 - b. Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
 - c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and
 - d. where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.
50. Will comply with all applicable requirements of all other Federal and State laws, executive orders, regulations, program and administrative requirements, policies and any other requirements governing this program.
51. Will comply with the administrative requirements that apply to most DHS award recipients through a grant or cooperative agreement arise from two sources: - Office of Management and Budget (OMB) Circular A-102, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (also known as the "A-102 Common Rule"), found under FEMA regulations at Title 44, Code of Federal Regulations (CFR) Part 13, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." - OMB Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, relocated to 2 CFR Part 215. The requirements for allowable costs/cost principles are contained in the A-102 Common Rule, OMB Circular A-110 (2 CFR § 215.27), DHS program legislation, Federal awarding agency regulations, and the terms and conditions of the award. The four costs principles circulars are as follows: - OMB Circular A-21, Cost Principles for Educational Institutions, relocated to 2 CFR Part 220. - OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments, relocated to 2 CFR Part 225. - OMB Circular A-122, Cost Principles for Non-Profit Organizations, relocated to 2 CFR Part 230. - OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations.
52. Will acknowledge, agree, and require any subrecipients, contractors, successors, transferees, and assignees acknowledge and agree-to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.
- a. Recipients must cooperate with any compliance review or complaint investigation conducted by DHS and/or Cal EMA.

- b. Recipients must give DHS/Cal EMA access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS/Cal EMA regulations and other applicable laws or program guidance.
 - c. Recipients must submit timely, complete, and accurate reports to the appropriate DHS/Cal EMA officials and maintain appropriate backup documentation to support the reports.
 - d. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
 - e. If, during the past three years, the recipient has been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status, the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS/Cal EMA awarding office and the DHS Office of Civil Rights and Civil Liberties.
 - f. In the event any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status against the recipient, or the recipient settles a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS Component and/or awarding office. The United States has the right to seek judicial enforcement of these obligations.
53. Agrees that none of the funds provided under an award may be expended by the recipient to pay any person to influence, or attempt to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any Federal action concerning the award or renewal of any Federal contract, grant, loan, cooperative agreement. These lobbying prohibitions can be found at 31 U.S.C. § 1352.
54. Will comply with requirements to acknowledge Federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds.
55. Will comply with requirements that publications or other exercise of copyright for any work first produced under Federal financial assistance awards hereto related unless the work includes any information that is otherwise controlled by the Government (e.g., classified information or other information subject to national security or export control laws or regulations). For any scientific, technical, or other copyright work based on or containing data first produced under this award, including those works published in academic, technical or professional journals, symposia proceedings, or similar works, the recipient grants the Government a royalty-free, nonexclusive and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so, for Government purposes in all such copyrighted works. The recipient shall affix the applicable copyright notices of 17 U.S.C. § 401 or 402 and an acknowledgement of Government sponsorship (including award number) to any work first produced under an award.
56. Will obtain DHS's approval prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.

57. Will comply with the requirements that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.
58. Will comply with the requirements of the Preference for U.S. Flag Air Carriers: Travel supported by U.S. Government funds requirement, which states preference for the use of U.S. flag air carriers (air carriers holding certificates under 49 U.S.C. § 41102) for international air transportation of people and property to the extent that such service is available, in accordance with the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. § 40118) and the interpretative guidelines issued by the Comptroller General of the United States in the March 31, 1981, amendment to Comptroller General Decision B138942.
59. Will comply with the requirements of the Drug-Free Workplace Act of 1988 (41 U.S.C. § 701 et seq.), which requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. The recipient must notify the awarding office if an employee of the recipient is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for debarment. These regulations are codified at 2 CFR 3001.
60. Will comply with the requirements of the government-wide award term which implements Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. § 7104), located at 2 CFR Part 175. This is implemented in accordance with OMB Interim Final Guidance, Federal Register, Volume 72, No. 218, November 13, 2007. In accordance with Section 106(g) of the TVPA, as amended, requires the agency to include a condition that authorizes the agency to terminate the award, without penalty, if the recipient or a subrecipient engages in severe forms of trafficking in persons during the period of time that the award is in effect, procures a commercial sex act during the period of time that the award is in effect; or uses forced labor in the performance of the award or subawards under the award. Full text of the award term is provided at 2 CFR § 175.15.
61. Will comply with the requirements of Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d et seq.), which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.
62. Will comply with Title VIII of the Civil Rights Act of 1968, which prohibits recipients from discriminating in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex (42 U.S.C. § 3601 et seq.), as implemented by the Department of Housing and Urban Development at 24 CFR Part 100. The prohibition on disability discrimination includes the requirement that new multifamily housing with four or more dwelling units-i.e., the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators)-be designed and constructed with certain accessible features (see 24 CFR § 100.201).
63. Will comply with the requirements of Titles I, II, and III of the Americans with Disabilities Act, which prohibits recipients from discriminating on the basis of disability in the

operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12101-12213).

64. Will comply with the requirements of the Age Discrimination Act of 1975 (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age in any program or activity receiving Federal financial assistance.
65. Will comply with the requirements of Title IX of the Education Amendments of 1972 (20 U.S.C. § 1681 et seq.), which provides that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving Federal financial assistance. These regulations are codified at 44 CFR Part 19.
66. Will comply with the requirements of Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin and resulting agency guidance, national origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI, recipients must take reasonable steps to ensure that LEP persons have meaningful access to your programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Recipients are encouraged to consider the need for language services for LEP persons served or encountered both in developing budgets and in conducting programs and activities. For assistance and information regarding LEP obligations, go to <http://www.lep.gov>.
67. Will comply with the requirements of 42 U.S.C. § 7401 et seq. and Executive Order 11738, which provides for the protection and enhancement of the quality of the nation's air resources to promote public health and welfare and for restoring and maintaining the chemical, physical, and biological integrity of the nation's waters is considered research for other purposes.
68. Will comply with the requirements of the Federal regulations at 45 CFR Part 46 and the requirements in DHS Management Directive 026-04, Protection of Human Subjects, prior to implementing any work with human subjects. The regulations specify additional protections for research involving human fetuses, pregnant women, and neonates (Subpart B); prisoners (Subpart C); and children (Subpart D). The use of autopsy materials is governed by applicable State and local law and is not directly regulated by 45 CFR Part 46.
69. Will comply with the requirements of the National Environmental Policy Act (NEPA), as amended, 42 U.S.C. § 4331 et seq., which establishes national policy goals and procedures to protect and enhance the environment, including protection against natural disasters. To comply with NEPA for its grant-supported activities, DHS requires the environmental aspects of construction grants (and certain non-construction projects as specified by the Component and awarding office) to be reviewed and evaluated before final action on the application.
70. Will comply with the requirements of Section 1306(c) of the National Flood Insurance Act, as amended, which provides for benefit payments under the Standard Flood Insurance Policy for demolition or relocation of a structure insured under the Act that is located along the shore of a lake or other body of water and that is certified by an appropriate State or local land use authority to be subject to imminent collapse or subsidence as a

result of erosion or undermining caused by waves or currents of water exceeding anticipated cyclical levels. These regulations are codified at 44 CFR Part 63.

71. Will comply with the requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which provides that no Federal financial assistance to acquire, modernize, or construct property may be provided in identified flood-prone communities in the United States, unless the community participates in the National Flood Insurance Program and flood insurance is purchased within one year of the identification. The flood insurance purchase requirement applies to both public and private applicants for DHS support. Lists of flood-prone areas that are eligible for flood insurance are published in the Federal Register by FEMA.
72. Will comply with the requirements of Executive Order 11990, which provides that federally funded construction and improvements minimize the destruction, loss, or degradation of wetlands. The Executive Order provides that, in furtherance of Section 101(b)(3) of NEPA (42 U.S.C. § 4331(b)(3)), Federal agencies, to the extent permitted by law, must avoid undertaking or assisting with new construction located in wetlands unless the head of the agency finds that there is no practicable alternative to such construction, and that the proposed action includes all practicable measures to minimize harm to wetlands that may result from such use. In making this finding, the head of the agency may take into account economic, environmental, and other pertinent factors. The public disclosure requirement described above also pertains to early public review of any plans or proposals for new construction in wetlands. This is codified at 44 CFR Part 9.
73. Will comply with the requirements of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA PATRIOT Act), which amends 18 U.S.C. §§ 175-175c. Among other things, it prescribes criminal penalties for possession of any biological agent, toxin, or delivery system of a type or in a quantity that is not reasonably justified by a prophylactic, protective, bona fide research, or other peaceful purpose. The act also establishes restrictions on access to specified materials. "Restricted persons," as defined by the act, may not possess, ship, transport, or receive any biological agent or toxin that is listed as a select agent.
74. Understands the reporting of subawards and executive compensation rules, including first tier subawards to Cal EMA.
 - a. Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009,
 - b. Where and when to report: you must report on each obligating action described in the following paragraphs to Cal EMA. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2011, the obligation must be reported by no later than December 31, 2011.)
 - c. What to report: You must report the information about each obligating action that the submission instructions posted in Information Bulletin 350, to Cal EMA. To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>. Subgrantees must report subrecipient executive total compensation to Cal EMA by the end of the month following the month

during which you make the subaward. Exemptions include: If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report on subawards, and the total compensation of the five most highly compensated executives of any subrecipient.

- d. Reporting Total Compensation of Recipient Executives: You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if
- i. the total Federal funding authorized to date under this award is \$25,000 or more;
 - ii. in the preceding fiscal year, you received 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)
 - iv. Subrecipient Executives. Unless you are exempt as provided above, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if in the subrecipient's preceding fiscal year, the subrecipient received 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and the public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.

75. Understands that failure to comply with any of the above assurances may result in suspension, termination, or reduction of grant funds.

The undersigned represents that he/she is authorized by the above named SUBRECIPIENT to enter into this agreement for and on behalf of the said SUBRECIPIENT.

Signature of Authorized Agent: _____

Printed Name of Authorized Agent: _____

Title: _____ Date: _____

F. MOU/LOA Appendix C - Request for Reimbursement

_____, 2013

UASI Management Team
711 Van Ness Avenue, Suite 420
San Francisco, CA 94102

Re: FY 13 UASI Grant Reimbursement Request

Pursuant to Section 3.10 of the Agreement Between the City and County of San Francisco and the Full Name of Subrecipient for the Distribution of FY 2013 UASI Regional Funds (the "Agreement"), dated DATE, between the FULL NAME OF SUBRECIPIENT JURISDICTION ("SUBRECIPIENT") and the City and County of San Francisco, SUBRECIPIENT hereby requests reimbursement as follows:

Total Amount of
Reimbursement
Requested in this
Request: \$ _____

Maximum Amount of
Funds Specified in
Section 3.2 of the
Agreement: \$ _____

Total of All Funds
Disbursed Prior to this
Request: \$ _____

SUBRECIPIENT certifies that:

- (a) The total amount of funds requested pursuant to this Funding Request will be used to reimburse SUBRECIPIENT for Authorized Expenditures, which expenditures are set forth on the attached Schedule 1, to which are attached true and correct copies of all required documentation of such expenditures.

- (b) After giving effect to the disbursement requested pursuant to this Reimbursement Request, the Funds disbursed as of the date of this disbursement will not exceed the maximum amount set forth in Section 3.2 of the Agreement, or the not to exceed amounts specified in Appendix A for specific projects and programs.

- (c) The representations, warranties and certifications made in the Agreement are true and correct in all material respects as if made on the date hereof, and SUBRECIPIENT is in compliance with all Grant Assurances in Appendix B;

- (d) No Event of Default has occurred and is continuing; and

- (e) The undersigned is an officer of SUBRECIPIENT authorized to execute this Reimbursement Request on behalf of SUBRECIPIENT.

Signature of Authorized Agent: _____

Printed Name of Authorized Agent: _____

Title: _____ Date: _____

SCHEDULE 1 TO REQUEST FOR REIMBURSEMENT

The following is an itemized list of Authorized Expenditures for which reimbursement is requested:

Project	Payee	Amount	Description
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The following are attached as part of this Schedule 1:

- (i) An invoice for each item of expenditure for which reimbursement is requested;
- (ii) The front and the back of canceled checks or other written evidence documenting the payment of each invoice;
- (iii) For expenditures which are wages or salaries, payroll registers containing a detailed breakdown of earnings and withholdings, together with both sides of canceled payroll checks evidencing payment thereof (unless payment has been made electronically).
- (iv) Copies of purchase orders and contracts, as applicable.
- (v) Copies of performance bond for applicable equipment purchases.

G. MOU/LOA Appendix A – Authorized Expenditures and Timelines

Authorized Expenditures and Timelines

ENTITY: **SUBRECIPIENT JURISDICTION**

Total allocation to be spent on the following solution areas:

<u>UASI Project Letter and Title</u>	<u>Solution Area</u>	<u>Program Description</u>	<u>Projected Milestone Dates (to be completed on or about)</u>	<u>Deliverable Dates</u>	<u>Amount</u>
<p>Project</p> <p>INSERT PROJECT LETTER AND TITLE HERE</p>	<p>Planning</p>	<p>INSERT DESCRIPTION OF PLANNING ACTIVITY HERE & WHETHER PERSONNEL OR CONTRACTOR WILL BE USED.</p> <p>IF PERSONNEL, ARE THEY FULL TIME OR PART TIME? IF FULL TIME, USE 1 FTE, IF PART TIME, USE A PERCENTAGE (I.E. .33 FTE).</p> <p>IF CONTRACTOR, JUST STATE THAT A CONTRACTOR WILL BE USED.</p> <p>PROVIDE A LIST OF DELIVERABLES (E.G., WRITING PLANS, CONDUCTING MEETINGS, PROVIDING REPORTS, ETC.) FOR THE PLANNING PROJECT.</p> <p>LEAVE THE LANGUAGE BELOW IN PLACE:</p> <ul style="list-style-type: none"> • Personnel – Prior to any expenditures for personnel, 	<p>INSERT MILESTONE DATES HERE (I.E. RFP RELEASE DATE, CONTRACT AWARD DATE, ISSUANCE OF PO DATE, ETC)</p>	<p>INSERT FINAL DELIVERABLE DATE HERE</p>	<p>INSERT NOT TO EXCEED AMOUNT OF AWARD HERE</p>

		<p>SUBRECIPIENT must submit completed job descriptions to the UASI detailing the planning activities the personnel will complete and the deliverables to be produced. Prior to reimbursement, SUBRECIPIENT must submit the following: all functional time sheets, payroll documentation showing payment of salaries and benefits, or cancelled checks; work product or certification that work was completed including a statement of completed activities.</p> <ul style="list-style-type: none"> • Contracts – All contracts must be pre-approved by the UASI prior to execution. In addition, SUBRECIPIENT must satisfy the following guidelines: <ul style="list-style-type: none"> ○ Procurement of contractual services must follow local policies and procedures for competitive purchasing (provided they are not in conflict with Federal regulations which supersede them). If sole source approval is needed, SUBRECIPIENT must transmit a sole source request to the UASI for submission to the State. ○ The contract must have a clearly stated scope of work and deliverables, deadlines for completion of work, and a schedule of contract payments. ○ All services must be performed and paid within the grant performance period. • Travel - travel for planning activities must be pre-approved in accordance with the Bay Area UASI Travel Policy (adopted by the Approval Authority in September 2011) prior to scheduling. Invoices for all travel expenses must be submitted by no later than DATE. Invoices must include all backup documentation, including conference agendas, programs, brochures, lodging receipts, per diem calculations, airfare receipts/boarding passes, mileage calculations, other transportation receipts, and proof of payment. • Final deadline for submittal of final 			
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		claims is 01/03/15 .			
<p>Project</p> <p>INSERT PROJECT LETTER AND TITLE HERE</p>	Training	<p>PROVIDE DESCRIPTION OF TRAINING CLASSES HERE.</p> <p>LIST FEEDBACK NUMBERS OBTAINED FROM THE STATE.</p> <p>LEAVE THE LANGUAGE BELOW IN PLACE:</p> <ul style="list-style-type: none"> • An approved EHP memo, if applicable (i.e., field based). • Training course expenses may include backfill/overtime, travel, tuition, per diem or other grant eligible expenses. Grant eligible training expenses are published in the FY 2013 Homeland Security Grant Program Guidance. • When seeking reimbursement for grant eligible training expenses, SUBRECIPIENT must submit completed ledger page indicating course title, feedback number, sub category (e.g., OT, BF, Course Development). • Provide registration receipts and agendas. • Provide copies of sign in sheets (must have supervisor's signature). • Final deadline for submittal of claims is 01/03/15. 	<p>INSERT MILESTONE DATES HERE (I.E. RFP RELEASE DATE, CONTRACT AWARD DATE, ISSUANCE OF PO DATE, ETC)</p>	<p>INSERT FINAL DELIVERABLE DATE HERE</p>	<p>INSERT NOT TO EXCEED AMOUNT OF AWARD HERE</p>
<p>Project</p> <p>INSERT PROJECT LETTER AND TITLE HERE</p>	Exercise	<p>DESCRIBE EXERCISE ACTIVITIES HERE (I.E. TABLETOPS, FULL-SCALE, ETC.)</p> <p>LEAVE THE LANGUAGE BELOW IN PLACE:</p> <p>Reimbursement for exercise activities require:</p> <ul style="list-style-type: none"> • An approved EHP memo, if 	<p>INSERT MILESTONE DATES HERE (I.E. RFP RELEASE DATE, CONTRACT AWARD DATE, ISSUANCE OF PO DATE, ETC)</p>	<p>INSERT</p>	<p>INSERT NOT TO EXCEED AMOUNT OF AWARD HERE</p>

		<p>applicable (i.e., field based)</p> <ul style="list-style-type: none"> • Exercise expenses may include backfill/overtime, travel, exercise planning, or other ancillary expenses needed to successfully complete the exercise. Eligible exercise expenses are published in the FY 2013 Homeland Security Grant Program Guidance. • An After Action Report (AAR) must be completed within 90 calendar days of the exercise. SUBRECIPIENT must submit a copy of the AAR report and proof of transmittal to the web portal with the final request for reimbursement. • Final deadline for submittal of claims is 01/03/15. 		FINAL DELIVERABLE DATE HERE	
<p>Project</p> <p>INSERT PROJECT LETTER AND TITLE HERE</p>	<p>Equipment</p>	<p>DESCRIBE EQUIPMENT PURCHASES HERE.</p> <p>INSERT CORRECT AEL NUMBERS HERE:</p> <p>(AEL # FROM RKB.US WEBSITE)</p> <p>LEAVE THE LANGUAGE BELOW IN PLACE:</p> <p>SUBRECIPIENT must inventory, type, organize and track all equipment purchased in order to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident.</p> <p>Reimbursement for equipment purchases require:</p> <ul style="list-style-type: none"> • An approved EHP memo, if applicable. • A performance bond is required for any equipment item that exceeds 	<p>INSERT MILESTONE DATES HERE (I.E. RFP RELEASE DATE, CONTRACT AWARD DATE, ISSUANCE OF PO DATE, ETC)</p>	<p>INSERT FINAL DELIVERABLE DATE HERE</p>	<p>INSERT NOT TO EXCEED AMOUNT OF AWARD HERE</p>

		<p>\$250,000, or for any vehicle, aircraft, or watercraft. Failure to obtain a performance bond may result in disallowance of the equipment costs.</p> <ul style="list-style-type: none"> • As allowable under Federal guidelines, procurement of equipment must follow local policies and procedures for competitive purchasing (provided they are not in conflict with Federal regulations which supersede them). If sole source approval is needed, SUBRECIPIENT must transmit the request to the UASI for request to the State. • Prior to reimbursement, SUBRECIPIENT must submit all invoices, AEL numbers, and a list of all equipment ID numbers and the deployed locations. • Final deadline for submittal of claims is 1/3/2015. 			
		TOTAL ALLOCATION			NOT TO EXCEED:
		•			
		•			
		•			
		•			
		•			

- All requests for reimbursements must be submitted by DATE unless an earlier deadline is set in this Appendix.
- Authorized expenditures must fall into one of the following categories: Planning, Organization, Equipment, Training, or Exercises. Descriptions of authorized expenditures are in the following documents:
 - FY 2013 Homeland Security Grant Program, Guidance and Application Kit dated May, 2013: http://www.fema.gov/pdf/government/grant/2010/fy10_hsgp_kit.pdf
 - California Supplement to Federal Program Guidance and Application Kit: [http://www.calema.ca.gov/WebPage/oeswebsite.nsf/ClientOESFileLibrary/Homeland%20Security%20Files/\\$file/FY10HSGPSupplementGuidance.pdf](http://www.calema.ca.gov/WebPage/oeswebsite.nsf/ClientOESFileLibrary/Homeland%20Security%20Files/$file/FY10HSGPSupplementGuidance.pdf)
 - Authorized Equipment List: www.rkb.us
 - Office of Justice Programs Financial and Administrative Guide for Grants: <http://www.ojp.usdoj.gov/financialguide/>
 - Cal EMA Rules and Regulations, including the Recipient Handbook: <http://www.CalOES.ca.gov/GrantsMonitoring/Pages/Rules%20and%20Regulations.aspx>
- **Any equipment purchased under this Agreement must match the UASI 2010 Grant Application Workbook. Any modification to the inventory list in that Workbook must receive prior written approval from by the Bay Area UASI Program Manager.**
- **No Management and Administration expenses are allowed, unless expressly identified and authorized in this Appendix.**
- **Sustainability requirements may apply to some or all of the grant funded projects or programs authorized in this Appendix. See Agreement, 3.13, 3.14.**
- **All EHP documentation must be submitted and approved prior to any expenditure of funds requiring EHP submission.**

I. Monitoring Checklist



**City & County of San Francisco
Department of Emergency Management
Bay AREA UASI**



Monitoring Visit Checklist

Site Visit Information	
Jurisdiction:	
Grants for Review:	
Date of Visit:	
Visit Conducted By:	<hr/> <hr/>

Person(s) Interviewed or Contacted During the Visit		
Name	Title	Phone/Email

Introduction:

Purpose:

As a requirement of the Office of Management and Budget, Circular A-133, an on-site monitor visit is conducted by the City & County of San Francisco, Department of Emergency Management, Bay Area UASI, to ensure jurisdictions are in compliance with both State and Federal laws and regulations.

Program and Financial Monitoring efforts are conducted in order to:

Gauge and measure compliance of jurisdictions to grant rules and regulations in order to:

- Monitor activities to ensure that grant funds are used for authorized purposes in compliance with laws and regulations.
- Assess jurisdictions progress, project implementation and impact.
- Ensure provisions of Memorandum of Understandings (MOU) and performance goals are achieved.
- Assist and recommend areas of improvement and provide guidance to improve jurisdiction administrative efficiencies and programmatic effectiveness.

Section A. Administrative Review

Compliance:	Yes	No	Partial
1. Does the jurisdiction demonstrate a clear understanding of the dates stipulated on the MOU?			
2. Does the jurisdiction demonstrate zero concerns about the latest grant assurances required in the MOU?			
3. Does the jurisdiction have a fraud policy in place?			
Does the jurisdiction have the following documents in place:			
4. State and Federal grant guidance for each applicable grant year.			
5. Current State and Federal employment by-law poster and a "drug-free policies" statement posted at the work place.			
6. Written local Human Resources (HR) policies and procedures.			
7. Do these policies discuss work hours, compensation rates, including overtime, and benefits; vacation, sick or other leave allowances, hiring and promotional policies?			

Comments:
Recommendations:

Section B. Accounting & Financial Management Review (44 CFR, 13.20)			
Compliance:	Yes	No	Partial
1. Does the jurisdiction maintain a financial management system that accurately identifies the source and amount of funds awarded to them?			
2. Does the jurisdiction accounting system ensure that grant funds are not commingled with other funds or other grant funds?			
3. Does the jurisdiction have local accounting and internal control policies and procedures in place?			
4. Were expenditures reported and requested on a reimbursable basis?			
5. Does the jurisdiction ensure good and services are delivered and accepted prior to payment in full?			
6. Does the jurisdiction ensure separation of duties and signature authority when initiating and approving accounting transactions?			
7. Does the jurisdiction ensure that costs charged to grant funds were not also billed and/or reimbursed by other funding sources?			

8. Are expenditures supported by proper source documentation, including, but not limited to, purchase orders (PO), original invoices, packing slips, cancelled checks, accounting journal entries, and other pertinent records necessary to permit the tracing of grant funds?			
9. Does the jurisdiction have procedures in place to comply with OMB A-133 audit requirements by obtaining a Single Audit or financial statement audit? Are findings relating to the appropriate program promptly corrected?			
10. Does the jurisdiction have a system for tracking and reporting program funds received?			
11. Does the jurisdiction have any budget control to compare actual expenditures or outlays with budgeted amounts for each grant?			
12. Are there written policies and procedures governing the maintenance and retention of records?			
13. Are financial records maintained for at least three years after the close of the grant and after all pending matters are closed?			
14. Has the jurisdiction submitted all required reports on time?			
Comments:			
Recommendations:			

Section C. Contracts and Procurement Review (44 CFR, 13.36)

Compliance:	Yes	No	Partial
1. Does the jurisdiction have written policies and procedures in place for procurement and contractual transactions?			
2. Does the jurisdiction ensure competitive Requests For Proposals (RFP) for procurement are received from an adequate number of qualified sources and evaluated through a selection process based on price, responsibility of the entity, and whether it is most advantageous to the program?			
3. Does the jurisdiction ensure non-competitive proposals (also known as sole sources) follow State/Federal sole source requirements and obtain approval from CalOES through the UASI?			
4. Does the jurisdiction ensure and verify bidders are not debarred or suspended?			
5. Does the jurisdiction ensure that local preferences are not used when entering into any procurement transaction or contractual agreement?			
6. Does the jurisdiction ensure that the payment transaction file includes a PO, a contractual agreement, or reference to a contractual agreement?			
Comments:			
Recommendations:			

Section D. Planning and M&A Personnel Review

Compliance:	Yes	No	Partial
1. Does the jurisdiction maintain job descriptions on file for any personnel funded with grant funds?			
2. Are the job descriptions on file "project specific", instead of the county or local general job classification description?			
3. Does the jurisdiction ensure grant funded staff perform eligible duties and activities per State and Federal grant guidelines?			
4. Are there procedures/controls are in place to track overtime?			
5. Does the jurisdiction maintain and keep accurate records of functional time sheets for staff funded with grant funds?			
6. Does the jurisdiction document and maintain deliverables on file for each position, including e-mail activities, meeting agendas, reports written by the employee, etc.?			
Comments:			
Recommendations:			

Section E. Travel, Training and Exercise Review

Compliance:	Yes	No	Partial
1. Does the jurisdiction have written travel and training policies and procedures in place?			
2. Does the jurisdiction request for a training feedback number for each training class?			
3. Does the jurisdiction request Environmental and Historic Preservation (EHP) approval from CalOES through the UASI for applicable training and exercise activities?			
4. Does the jurisdiction prepare and submit an After Action Report (AAR) for exercise activities?			
5. Does the jurisdiction use the General Services Administration (GSA) rate for travel per diem?			
6. Does the jurisdiction ensure travel expenses for reimbursement include sufficient documentation of purpose of travel, meeting and conference agendas, schedules and conference notes and expenditure receipts?			
7. Are original receipts maintained with travel expenditures to reduce the possibility of claiming the same expense for reimbursement on more than one award or to 3 rd party sources?			
Comments:			
Recommendations:			

Section F. Equipment Acquisition and Inventory Review (44 CFR, 13.32)

Compliance:	Yes	No	Partial
1. Does the jurisdiction ensure that the acquisition of equipment was in accordance with the grant award MOU and within the grant guidelines?			
2. Does the jurisdiction ensure the purchased equipment is being used for the stated purpose in the MOU?			
3. Has the purchased equipment been deployed and is it in use?			
4. Does the jurisdiction maintain an inventory of equipment purchased with grant funds?			
5. Does the jurisdiction maintain appropriate internal equipment inventory records by description of the equipment item, condition, serial and identification number, deployed location and use, acquisition date, cost and disposition?			
6. Does the jurisdiction ensure that each equipment item purchased with grant fund has an AEL# obtained from the RKB website?			
7. Has an internal physical inventory been taken of equipment purchased with grant funds in the last two years?			
8. Does the jurisdiction maintain a management system that ensures adequate safeguards to prevent equipment purchased with grant funds from being lost, stolen and/or destroyed?			
Comments:			

Recommendations:

Section G. Grant Matching Fund Review (44 CFR, 13.24)
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Compliance:	Yes	No	Partial
1. Does the jurisdiction have a grant match contribution plan to support grant award activities?			
2. Are positions used as a Cash match county and/or local funds?			
3. Was the value of the in kind matching costs determined by actual cost, Fair Market Value (FMV), quotes/bids/estimates or the going rate in the area?	Actual	_____	
	FMV	_____	
	Quote	_____	
	Going Rate	_____	
4. Does the jurisdiction maintain match supporting documents such as payroll records, timesheets, invoices, contracts, receipts, quotes/bids/estimates and volunteer time records and statements?			

Comments:

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Recommendations:

Section H. EHP Requirement and Approval Review			
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Compliance:	Yes	No	Partial
1. Does the jurisdiction comply with receiving CalOES authorization on activity requiring EHP approval before proceeding with the purchase?			
2. Does the jurisdiction maintain a copy of the approved EHP request on file and attach it as supporting documentation when seeking reimbursement?			

Comments:

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Recommendations:

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Section J. Programmatic Review

Compliance:	Yes	No	Partial
1. Does the jurisdiction ensure that goals, objectives and program activities support the investment justification of the award?			
2. Is the jurisdiction satisfied with its progress toward achieving the goals and objectives of the program?			
3. Does the jurisdiction submit and maintain all required progress reports for the program?			
4. Does the jurisdiction have an information retrieval system that provides accurate data or concrete documentation that validates project performance of the program?			
5. Does the jurisdiction ensure that program milestones are set and performance deliverables are met within timelines stated in the MOU?			
Comments:			
Recommendations:			

Section K. Other

1. Any challenges the jurisdiction is experiencing?
2. Does the jurisdiction have any improvements or suggestions on the grant administration process?

Comments:

Recommendations:

VIII. APPENDICES

A. FY14 Project Proposal Guidance



Project Proposal Guidance for Fiscal Year 2014

(INTERIM)

September 12, 2013

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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 15th – November 15th, 2013. All proposals must be **submitted by 5pm on Friday November 15th**, 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 15th 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 15th 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, Radiological, Nuclear and Explosive (CBRNE)	Regional Training & Exercise and CBRNE
8	Regional training and exercise	
5	Regional public and medical health	
6	Regional emergency planning and citizen preparedness	Regional Catastrophic Planning Team and Whole Communities
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 UASI 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
TOTAL	\$27,252,169

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.***

Goal 1 Strengthen the Regional Risk Management and Planning Program
Objective 1.1 Enhance Planning, Threat and Hazard Identification, and Risk Management Capabilities
Goal 2 Enhance Information Analysis and Infrastructure Protection Capabilities
Objective 2.2 Strengthen Terrorism Attribution, Interdiction and Disruption Capabilities
Objective 2.3 Increase Critical Infrastructure Protection
Goal 3 Strengthen Communications Capabilities
Objective 3.1 Enhance Operational Communications Capabilities
Goal 4 Strengthen CBRNE Detection, Response, and Decontamination Capabilities
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
Goal 5 Enhance Medical and Public Health Preparedness
Objective 5.1 Enhance Emergency Triage and Pre-Hospital Treatment
Objective 5.3 Strengthen Medical Countermeasure Dispensing
Objective 5.8 Enhance Fatality Management
Goal 6 Strengthen Emergency Planning and Citizen Preparedness Capabilities
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
Goal 7 Enhance Recovery Capabilities
Objective 7.1 Strengthen Infrastructure Systems
Objective 7.2 Enable Economic Recovery

Detailed description of the priority capability objectives is as follows:

Goal 1 Strengthen the Regional Risk Management and Planning Program
Objective 1.1 Enhance Planning, Threat and Hazard Identification, and Risk Management Capabilities: 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.
Goal 2 Enhance Information Analysis and Infrastructure Protection Capabilities
Objective 2.2 Strengthen Terrorism Attribution, Interdiction and Disruption Capabilities: 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.
Objective 2.3 Increase Critical Infrastructure Protection: 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.
Goal 3 Strengthen Communications Capabilities
Objective 3.1 Enhance Operational Communications Capabilities: 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.
Goal 4 Strengthen CBRNE Detection, Response, and Decontamination Capabilities
Objective 4.1 Improve Public and Private Services and Resources Management through Fire Incident Response Support: 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.
Objective 4.2 Strengthen Mass Search and Rescue Capabilities: 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.

Objective 4.4 Strengthen On-Scene Security and Protection through Explosive Device Response Operations: 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.

Objective 4.6 Enhance Environmental Response/Health and Safety through WMD/HazMat Response and Decontamination Capabilities: 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.

Objective 4.7 Strengthen Operational Coordination Capabilities: 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.

Objective 4.8 Improve Environmental Response/Health and Safety through Responder Safety and Health: 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.

Objective 4.9 Enhance On-Scene Security and Protection through Emergency Public Safety and Security Response: 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.

Goal 5 Enhance Medical and Public Health Preparedness

Objective 5.1 Enhance Emergency Triage and Pre-Hospital Treatment: 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.

Objective 5.3 Strengthen Medical Countermeasure Dispensing: 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.

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.

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 the NRF
- 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.

B. Bay Area UASI Travel Policy



BAY AREA UASI TRAVEL POLICY

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BAY AREA UASI TRAVEL POLICY

SCOPE OF THIS MANUAL

Policies, Guidelines And Procedures

This manual is intended to provide policies and guidelines for the BAY AREA UASI (BAUASI). This manual is intended to establish procedures for the Management Team, Approval Authority Members, Advisory Group Members, Affiliated Non-Employees, and others who incur authorized business travel expenses on behalf of the BAUASI.

Affected Parties

The policies, guidelines and procedures contained herein apply to the Approval Authority Members, Management Team, Advisory Group Members, Contractors, Affiliated Non-Employees, and other similar individuals.

For the remainder of this document, BAUASI business travelers will be referred to as “travelers” or “employees,” unless otherwise noted.

PURPOSE, OBJECTIVES AND PRINCIPLES

Purpose

This guideline is to provide BAUASI travel rules and provide guidance to what expenses will be allowed.

As a general rule:

Travelers or employees should incur only those expenses that a reasonable and prudent person would incur when traveling on official business.

Due consideration should be given to such factors as suitability, convenience, and the nature of the business involved. Travel expenses are reimbursable for travelers and employees who travel on official business on behalf of the BAUASI, subject to the allowances, limits, and requirements discussed below.

Objectives

The objectives of the BAUASI’s travel policy and procedures documents are as follows:

- To support travel costs incurred on behalf of the BAUASI for the purpose of conducting official business;
- To establish uniform criteria and approval for advances and reimbursement of travel expenses for BAUASI business travelers;
- To ensure all BAUASI business travelers have a clear and consistent understanding of policies and procedures for business travel;
- To avoid the improper use of funds for travel that does not benefit the BAUASI.

Guiding Principles

Travel on behalf of the BAUASI will be approved if it constitutes official business on behalf of the BAUASI and the purpose results in a benefit to the BAUASI.

Definition of Official Business

To constitute “official business on behalf of the BAUASI”, the activities of an employee or traveler of the BAUASI must clearly demonstrate that there is a valid BAUASI interest to be served or gained through the travel; and there is:

- a. Relevance to the BAUASI’s operations or the individual’s role in such operations; and/or
- b. The promotion or development of the BAUASI’s programs, methods or administration; and/or
- c. Compliance with instructions or authorization for BAUASI.

Prudent Person Standard

All expenses incurred while traveling on BAUASI business should be a reasonable and prudent use of public funds. Cost will be taken into account when weighing the importance and benefits of the business purpose for travel. Travelers should choose the most efficient, direct and economical travel options required for the occasion and any individual who chooses a different route, without adequate justification, must assume any additional expense incurred. If for traveler’s personal convenience, there is interruption or deviation from the direct route, the travel cost cannot exceed that which would have been incurred on uninterrupted travel.

Travel is authorized for the minimum number of persons necessary to carry out the business purpose of the travel, and only for those whose job tasks are directly related to the purpose of the travel. For travel within the state, no more than two (2) Management Team employees should be allowed to attend the same seminar or workshop, unless individual attendance is required for educational or certification purposes. For out-of-state, international travel, and travel to non-continental destinations, no more than two (2) Management Team employees and no more than ten (10) travelers (for a total of twelve (12)) may travel to the same destination for the same purpose, without prior approval by both the Approval Authority and/or the General Manager. (See Travel Authorization Below)

It is the objective to diversify the number of persons requesting to travel, giving more weight to those who haven’t traveled previously to attend a seminar, conference, or workshop to those who previously traveled to attend such events. It is also the intention to diversify participation among the Bay Area Region to allow regional stakeholders, advisory group members, working group members, affiliated non-employees, and other similar individuals the opportunity to attend a seminar, conference, or workshop. Lastly, attending employees or travelers shall be required to give a presentation or report to other fellow employees or group members after returning from a workshop, seminar, or similar event.

If there are specific reasons for which the General Manager approves attendance of more than two employees of the Management Team for a seminar, workshop, or similar event which is not for education certification purposes, the additional costs and the justification notes will be reviewed and reported to the Chair of the Approval Authority whose concurrence would be needed.

Occasions for Travel

Examples include the following types of occasions when the BAUASI traveler is required to travel out of the general region to:

- Attend a convention, seminar, meeting, school, or training;

- Make professional presentations as a representative for the BAUASI;
- Interview persons; inspect programs, facilities or institutions; conduct surveys; exchange professional information;
- Work at a project location sufficiently distant from the main or regular place of work to require overnight lodging
- Work long hours away from the main or regular place of work where daily travel is impractical;
- Participate in formal activities, including hosting of persons who, for protocol reasons, merit appropriate courtesies and hospitality;

Non-occasions for Travel

Membership in an organization is not of itself a basis for travel authorization, and in no circumstance shall employees be authorized to travel as a reward for meritorious service, performance, or employee recognition, unless the purpose is to receive an award of formal recognition bestowed by a recognized outside organization for work performed for the BAUASI.

Exception Principles

Exceptions to specific provisions of the BAUASI travel policy may be authorized by the General Manager on a case-by-case basis, and only when there is adequate written justification and documentation and the travel is within the intent of the overall travel policy. Allowable exceptions are confined to the following conditions:

- To serve the business interest of the BAUASI;
- To avoid a severe hardship or inconvenience;
- To observe an established or expected protocol at a specified event;
- To respond to an emergency situation

Possible Conflict with Labor Agreements or Laws

These policies apply to all of the BAUASI's employees unless they are in conflict with specific provisions of existing labor agreements or with specific provisions of state or federal law. In such cases, the provisions of those agreements or laws shall prevail for the employees covered under those agreements or laws.

Geographical Categories

BAUASI travel policies cover three geographical categories:

- In-State
- Out-of-State (within contiguous 48 states)
- International and Travel to Non-Continental US territory

Advance Fund Request and Claims Submission

BAUASI travelers may submit a request for advance funds to cover anticipated out-of-pocket travel expenses whenever the expenses are incurred as part of official duties. He or she may also submit a claim for reasonable, actual and necessary incurred expenses related to such authorized travel.

Prudent Judgment and Common Sense

While this manual tries to provide specific guidelines for most circumstances that might be encountered while traveling on BAUASI business, it cannot anticipate all possible circumstances. When such circumstances occur, employees should use prudent fiscal judgment and common sense in the expenditure of public funds.

RESPONSIBILITY AND ENFORCEMENT

Traveler

Anyone who travels on BAUASI business, or supervises someone who travels, is responsible for knowing the general intent of the travel policy. The traveler is responsible for complying with the BUASI's travel policies and exercising reasonable and prudent judgment related to BAUASI business travel. The traveler is also responsible for obtaining proper authorization and preparing and submitting expense reports on a timely basis along with appropriate receipts.

Approval Authority Members and Management Team

Approval Authority Members and the Management Team are responsible for travel requests and expenditures, and for exercising due diligence to ensure that authorized travel is necessary and appropriate for the conduct of BUASI business, that the cost is reasonable and justified by the trip's purpose, and that the travel expenditures are budgeted and within budgetary limits. They are also responsible for assuring that expense reports are accurately reviewed for compliance and for review and recommendation regarding exceptions.

The policies, guidelines and procedures mentioned below do not preclude more restrictive internal approval procedures which the BAUASI may choose to implement internally to better monitor and control the budget. While this policy places the primary responsibility for travel oversight on the Chief Financial Officer of the Grants Management Unit, the General Manager and Chair of the Approval Authority may impose additional approval levels or processes.

General Manager

The General Manager establishes common and consistent travel practices as govern by these policies and guidelines. The General Manager Officer has lead responsibility in the regular review of travel policies and procedures and the development of amendments, as needed. The General Manager, along with the Approval Authority, reviews and approves international travel requests. The General Manager has the authority to grant an exception to a specific provision of the travel policy. The General Manager has final approval authority as to the appropriateness and reasonableness of reimbursement requests, other than exceptions described above.

Chief Financial Officer

The Chief Financial Officer works with the General Manager to maintain common and consistent travel practices as governed by these policies and guidelines.

Grants Management Unit

The Grants Management Unit is responsible for exercising general oversight for the processing of reimbursement requests in order to ensure consistency with the policies and guidelines set forth in this document. The Grants Management Unit processes claims, including conducting

desk audits, and provides timely, accurate reimbursement to claimants. Regular updates to the published travel policies and procedures are provided by the Grants Management Unit.

TRAVEL AUTHORIZATION

Obtaining Travel Authorization

Travel authorization should be obtained as early as reasonably possible, prior to the date of travel. Authorization is required for all BAUASI travel for official business purposes. Employees or travelers must always secure advance approval from their direct supervisor/manager for all BAUASI travel. This approval must always be in writing as stated in the section which follows (Advance Written Request).

Written request for travel is made on the Travel Authorization form. Blank forms and completed samples can be found in Appendix A.

Advance Written Request

In-State and Out-of –State Travel

Advance written request and approval by the General Manager is required if travel includes overnight stay, airfare, or advanced funds or transportation involving a rented. For Approval Authority Members and employees from other jurisdictions, except those working for the Fiscal Agent, advance written request must first be approved at the appropriate department of the home jurisdiction and; then subsequently forwarded to the General Manager for pre-approval. For in-state and out-of-state travel, no more than two (2) Management Team employees should be allowed to attend the same seminar or workshop, unless individual attendance is required for educational or certification purposes.

Travel On Behalf of a National Association, Board, and/or Committee

Advance written request and approval by the Approval Authority is required if travel is based upon holding office on a national association, board, and/or committee.

International Travel and Travel to Non-Continental Destinations

Advance written request and approval by both the Approval Authority and General Manager is required if travel includes overnight stay, airfare, or advanced funds or transportation involving travel to non-continental destinations. For Approval Authority Members and employees from jurisdictions other than the Fiscal Agent, an advance written request must first be approved at the appropriate department of the home jurisdiction, and then subsequently forwarded to the Approval Authority and General Manager for pre-approval. For international travel and travel to non-continental destinations, no more than two (2) Management Team employees and no more than ten (10) travelers (for a total of twelve (12)) may travel to the same destination for the same purpose, without prior approval by the Approval Authority and the General Manager.

In addition to the above, approval of international travel should be obtained using the following procedures:

1. A request for international travel must be submitted, on agency letterhead, to the UASI 6 months before the scheduled travel dates. The request should include:
 - a. The dates and locations and proposed itinerary for the international travel;

- b. The purpose of the international travel, including a description of the event, training, or exercise to be attended.
 - c. The number, names, titles, and roles of each individual scheduled for this international travel event.
 - d. The estimated expense budget for the international travel, including estimated air fare, lodging, per diem, and any other associated expense.
 - e. The expected benefit to the sub-recipient and to the UASI grant, if the international travel is approved.
2. If the overseas travel involves a training activity, the requesting agency must submit, on agency letterhead, a separate written request that describes:
 - a. Name/address/contact information of the training provider.
 - b. Proposed Agenda of day to day activities.
 - c. The estimated expense budget for the international training activity, including registration/tuition, estimated air fare, ground transportation, lodging, meal per diem, and any other associated expense.
3. Travel and budgetary approvals from Cal OES and DHS can take up to 5 months. Sub-recipients should provide updated budget and itinerary information, as needed by Cal OES or DHS, and before final travel arrangements are made.
4. Authorized international travel must follow the sub-recipient's local travel policy. However, in the absence of any international travel policy, the sub-recipient must adhere to the Federal Travel Regulations (41 CFR, Chapters 300-304).
5. Upon receipt of all approvals, the sub-recipient shall ensure that all necessary grant modifications are requested from the UASI, and training feedback numbers are obtained for the international travel event.
6. Upon completion of the international travel, and before expenses are invoiced and reimbursed, sub-recipient shall submit a travel report that assesses the relative success or failure of the trip, knowledge or training gained from the trip, and quantifies any benefits to the UASI grant.

Travel Authorization Form

As stated above, all requests for business travel require approval in advance by the General Manager. The Chief Financial Officer reviews the request for availability of funds. A travel authorization form must be completed and signed by the employee or traveler. (See blank form attached as appendix A). The travel authorization form shall include:

- Date(s) of travel and location;
- Business purpose of travel (training/conference/meeting);
- Estimated expenses including registration fee, cost of air ticket, other transportation costs (i.e. taxi, shuttle, or car rental), and lodging. Fully itemized detail in accordance with the guidelines in this document must be provided for estimated expenses.

Travel Expenses

Travel expenses include lodging, transportation costs, registration or attendance fees, meals and other costs reasonably and necessarily incurred that are paid for by the BUASI, or by the traveler

or employee subject to reimbursement by the BAUSI, when a traveler or an employee is required to travel on official business. The Chief Financial Officer should only allow travel that is clearly anticipated in the BAUASI approved budget. ***Employees and travelers are responsible for cancellation of lodging and transportation if travel is cancelled or postponed, to ensure that the BAUASI will not be liable for any costs.***

Issuing and Monitoring Travel Advances

When a travel advance (TA) is needed for authorized business travel, the TA requires approval by the Chief Financial Officer. The approved request along with documentation for expenditure estimates supporting the advance amount should be forwarded to the Grants Management Unit for processing. When travel advances are issued, the minimum advance amount is \$1,000.

TAs can be issued for lodging, conference registration fees, and transportation expenses. TAs are not allowed for airfare as employees can purchase air tickets through an approved vendor of the fiscal agent. Checks are issued to employees approximately ten business days prior to travel. The Grants Management Unit should process the TA travel advance document in the fiscal agent's financial (FAMIS) allowing sufficient time for check issuance. TAs must be cleared in FAMIS within ten business days of return from a travel. The Grants management Unit is responsible for monitoring advances and following up with employees to ensure advances are cleared timely. If a TA is not liquidated timely, the employee will have a payroll offset and will not be eligible for TAs for a minimum of two years from the date of the offset. Employees with an outstanding advance cannot receive another travel advance. If more than one payroll offset in a six month period, the TAs may be frozen.

TRAVEL CLAIMS

General Guidelines

When filing a travel Claim, the employee or traveler is required to submit all supporting documentation including, but not limited to, approved Travel Expense Voucher, air or other itinerary, conference/meeting/workshop schedule and agenda, original itemized receipts, proof of payment, any necessary pre-approvals and/or justifications, etc.

Submitting and Processing of Travel Expense Vouchers

Complete expense reimbursement requests or travel liquidations must be fully supported by original receipts and forwarded to the Grants Management Unit no more than 30 days from return of travel. If a travel advance was issued, the advance must be liquidated and any unused funds returned to the BAUASI within 10 days of return. Reimbursement requests with incomplete documentation will be denied. Expense reimbursement must be processed in the BAUSAI's financial system (FAMIS Accounting) no more than 90 days upon return of the trip. Employees or travelers are responsible for forwarding complete and timely travel claims to the Grants Management Unit no more than 30 days from return of travel, or 10 days if an advance was issued.

Employees or travelers are required to specify the business purpose of the trip, destination, conference/workshop/meeting dates, travel dates, and times (departure and return). The business purpose should be descriptive enough to clearly answer any questions regarding the necessity of the travel.

Reviewing Travel Claims

When reviewing travel claims, the Grants Management Unit is responsible for:

- Ensuring expenditures are reasonable, necessary, and for official business purpose and duration does not exceed official business trip requirements;
- Reviewing and auditing for compliance with the BUASI travel manual;
- Requesting additional documentation, information, justification from employee as needed;
- Deducting unallowable expenses;
- Reviewing to ensure the request is in compliance with project/grant requirements;
- Verifying authorized approver.
- Ensuring all appropriate/required and supporting documentation submitted and maintained in department files;
- Approving/denying travel claim in a timely manner;
- Processing reimbursements in a timely manner. Reimbursements must be completed in the BAUSI's financial system within 90 days from return of business travel.

Processing Travel Reimbursements

The Grants Management Unit will process travel reimbursements in fiscal agent's accounting system (FAMIS). The Grants Management Unit must have at least one initiator and one approver in FAMIS Accounting.

TRANSPORTATION

General Guidelines

Travelers or Employees will be expected to obtain the lowest published routine fare for travel by the **most efficient, direct and economical mode of transportation** required by the occasion. Travelers or Employees may book their air or rail travel with travel agencies approved by the fiscal agent or on-line directly with the airline. Travelers or Employees will be charged in FAMIS for the airfare if booking is made with travel agencies of the fiscal agent. Alternatively, if employees make their own arrangements, they will have to pay first and request reimbursement.

If an alternative mode of transportation is selected, the allowable cost shall be the lower of the actual cost of alternative modes of transportation or the lowest economy/coach class airfare available for the date and time selected.

Use of Vehicles

Vehicle use for travelers on official business is reimbursable. In all instances, the most direct and cost efficient route must be taken. When multiple employees are attending the same business activity (i.e. out-of town meeting, conference, etc.), employees are strongly encouraged to carpool. Employees are personally responsible and will not be reimbursed for traffic violations or other penalties for infractions of any law.

The following information is required to be included on the employee Travel Expense Voucher:

- Business purpose for use of vehicle.
- Starting point (i.e. worksite or home, whichever is the closer of the two) and the destination.

- Vehicle make, model and license #. If using City issued vehicle, provide vehicle number.
- Odometer reading, beginning and ending.

Personal Vehicle

In accordance with the fiscal agent's local ordinance (i.e., Section 10.28-1 of the San Francisco Administrative Code), the mileage rate for payments to officers and employees for use of privately owned automobiles in connection with any official duty or service shall be at the rate established by the Controller.

Effective January 1, 2013, the IRS standard mileage rate for business use of an automobile is 56.5 cents per mile.

Mileage is reimbursed when using personal vehicle, fuel is not reimbursed.

Personal expenses such as private vehicle repair and maintenance are not reimbursable.

When using personal vehicle for official business, all passengers in the vehicle must be on official business the BAUASI.

Vehicle of the Fiscal Agent

When using a vehicle of the fiscal agent, fuel should be obtained from Central Shops. When impractical to do so, fuel purchased at a commercial location is reimbursed with written justification and original receipt(s). Mileage is not reimbursed.

All passengers traveling in a vehicle of the fiscal agent must be on official business of the BAUASI.

Rental Car

- (a) The car rental amount and estimate of other related expenses such as parking and fuel, and
- (b) Justification why other forms of transportation are not appropriate, why a rental car is necessary, and how a rental car is the most economical and efficient/practical.

All passengers traveling in a rental vehicle must be on official business of the BAUASI.

Car rental is limited to standard compact size vehicle. Midsize vehicle is reimbursable if use is for three people or more, justification provided, and pre-approved in writing by the Chief Financial Officer.

Original receipts and car rental pre-approval are required to be submitted with reimbursement requests.

As the City is self insured, auto insurance is not reimbursable.

MODE OF TRAVEL

Air Travel

Airfare should be booked for economy/coach class only. Business or First class is not reimbursable. Upgrades are not reimbursable. Air ticket must be purchased in advance to take advantage of the most economical fares available. Same day or near travel day ticket purchases are not reimbursable unless approved by the General Manager and properly justified.

Air travel itinerary is required to be submitted with travel claim documentation. If airline charges for checked luggage, reimburse the cost of first checked bag only. Additional baggage check-in costs will be reimbursed with justification explaining the business need for extra luggage.

Mileage for long distances, employee drives instead of flying

In situations where employees or Travelers would normally travel by air, but an employee or traveler chooses to drive instead, reimbursement will be the lower of the two options, driving or flying. At the time of the travel authorization, employee must obtain a quote from an approved vendor of the Fiscal Agent documenting the cost of air ticket for the travel dates. Maximum reimbursement will be up to the quoted cost of the air ticket.

Example: Training in Los Angeles, CA, employee drives instead of flying. In all cases, reimbursement will be the lower of the two options.

Mode of Transportation	Expenses Reimbursed
(a) Employee drives personal car	(a) Mileage, up to the cost of air ticket quote.
(b) Employee drives fiscal agent's vehicle	(b) Fuel expenses, up to cost of air ticket quote, when impractical to obtain fuel from Central Shops.
(c) Employee drives rental car	(c) Cost of car rental and gas expenses, up to the cost of air ticket quote.

Transportation between worksite/home and airport within SF Bay Area

- Recommended options are public transportation or shuttle.
- If using taxi, maximum reimbursement is \$50 each way, including tip, up to \$100 total for the related travel.
- If using personal car,
 - (a) Mileage is reimbursed up to \$15 each way, maximum \$30 total for the related travel.
 - (b) Parking is limited to long-term parking only, maximum of \$15 per day, up to \$100 total for the travel.
 - (c) When using personal vehicle, employee will not be reimbursed for any damages that may occur.

Transportation during the travel between airport and hotel / conference site

- Recommended options are public transportation, shuttle, or taxi.
- Car rental is reimbursable if the requirements stated in the Use of Vehicles section are met.
- For overnight travel in which employee or traveler uses personal, City, or rental vehicle, maximum reimbursement for overnight hotel parking is limited to \$20 per day.

LODGING

The most economical and practical accommodations available considering the purpose of the meeting, and other relevant factors will be reimbursed. For travel within the United States, the maximum reimbursement is the lesser of either the Federal per-diem GSA (General Services Administration) rate for lodging or the rate used by the home jurisdiction of the employee or traveler. To stay within the maximum rates, conference discount rates and "government rates" should be used whenever possible.

If the home jurisdiction rate exceeds the Federal per-diem GSA rate, the employee or traveler will be reimbursed only up to the GSA rate. Any amount exceeding the GSA rate will be the

responsibility of the home jurisdiction of the employee or traveler. Similarly, if the GSA rate exceeds the rate of the home jurisdiction, the employee or traveler will be reimbursed only up to the rate of the home jurisdiction.

In rare circumstances, with appropriate pre-approval and justification of business need, employees may be reimbursed beyond the federal per diem rate. An itemized hotel bill is always required for reimbursement to be made. Reimbursement should be for single room rate.

Conference Hotel

- If conference hotel lodging rates exceed the Federal rate, reimbursement of actual expenses will be the responsibility of the home jurisdiction of the employee or traveler.
- Hotels recommended by the conference or overflow hotels with a conference rate will be reimbursed when documentation of the conference lodging rate and a receipt are provided.
- If a hotel is listed as recommended/overflow hotel but does not have a documented conference rate, reimbursement will be for actual expenses, with maximum up to the conference hotel rate only.
- Required documentation of the conference lodging rate includes copy of conference registration information showing location, dates of conference, conference hotel(s), and single room rate. Documentation of the conference hotel rate must be provided.
- For hotels not listed in the conference material, maximum reimbursement is GSA rate.

Lodging in Excess of Federal Per Diem Rate

- In situations where employee is unable to find lodging at GSA rate or business circumstances require employee to stay in a hotel that exceeds the federal per diem rate, reimbursement will be allowed if all of the following requirements are met.
- - (a) Written pre-approval by the General Manager.
 - (b) Justification of business need and demonstration of most economical and practical, i.e. the only lodging within federal per diem rate is located a long distance from the meeting site and would require a car rental or costly taxi ride, which in total exceeds the cost of the higher lodging rate.
 - (c) Itemized hotel bill must show employee obtained “Government rate” and rate is reasonable, not to exceed one and half times the federal per diem rate.

If these requirements are not met, the reimbursement will be reduced to the federal per diem rate.

City Not on the CONUS Per Diem Listing

- If a city is not listed, check to ensure that the county within which it is located is also not listed. On the GSA website there is a link to the National Association of Counties which can help determine the county a destination is located in.
- If the city is not listed, but the county is, then the per diem rate is the rate for that entire county.

- If the city and the county are not listed, then that area is considered to be a Standard CONUS location which is currently \$70 for lodging and \$46 for meals and incidental expenses.

Lodging for Travel Within Local Commuting Area

- Lodging for travel within the local commuting area requires written pre-approval by the Chief Financial Officer. The Grant Management Unit is required to maintain documentation of the pre-approval and the justification of business need with the employee travel claim document.
- For the fiscal agent, local commuting area is defined as within the nine Bay Area counties of Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano and Sonoma.

Federal domestic and foreign lodging, maximum travel per diem allowances, meals and incidental expense breakdown are available from the following website:

Double click here for access to **U.S. General Services Administration** at **<http://www.gsa.gov>**

Meals and Adoption of the Federal Meal and Incidental Expenses (M&IE) Rate

Meals and incidentals are reimbursed according to the guidelines below if **the travel is overnight and is pre-approved as an exception by the Chief Financial Officer**. The Federal rate for meal and incidental expenses (M&IE) will be paid without itemization of expenses or receipts. If an officer or employee chooses to request specific reimbursement for meals, original itemized receipts are required. For employee travel, the maximum meal reimbursement is up to the federal per diem rate.

Each city in the Federal rate guide has a dollar value for the full day depending on the relative cost of meals in that jurisdiction. Once you obtain the total dollar value, you can refer to this table to determine the rates for each meal:

Federal Domestic Meal & Incidental Expense (M&IE) Rates

M&IE RATE (FULL DAY)	\$ 46	\$ 51	\$ 56	\$ 61	\$ 66	\$ 71
Continental Breakfast/Breakfast	\$ 7	\$ 8	\$ 9	\$ 10	\$ 11	\$ 12
Lunch	\$ 11	\$ 12	\$ 13	\$ 15	\$ 16	\$ 18
Dinner	\$ 23	\$ 26	\$ 29	\$ 31	\$ 34	\$ 36
Incidentals	\$ 5	\$ 5	\$ 5	\$ 5	\$ 5	\$ 5

Conference Provided Meals

- If one or more meals are included as part of a conference registration fee, you should only charge the remaining meals and incidental expense rate from the above chart. A copy of the conference schedule and any other conference information must be attached to the travel claim documentation.

- You cannot claim per diem in lieu of conference provided meals. There are no exceptions allowed.

Meal and Incidental Per Diem on Travel Days

- When a per diem reimbursement is requested for part of a day, please use the rates in the M&IE chart to determine meal reimbursements. Partial per diem is based on travel times. Departure and arrival times must be documented on the travel reimbursement form approved by the Chief Financial Officer.
- Breakfast per diem if leave home before 6am.
- Lunch per diem if leave worksite/home before 10am (day of departure) or return to worksite/home after 2pm (day of return).
- Dinner per diem if return to worksite/arrive home after 7pm.
- Full day incidental is allowed on travel days.

Incidental Expenses

- Includes transportation between places of lodging or business and places where meals are taken, if suitable meals cannot be obtained within walking distance of the conference/training site or hotel.
- Fees and tips given to porters, baggage carriers, bellhops, hotel maids and stewards.
- Mailing costs associated with filing travel vouchers.

Travel In the Local Commuting Area

- Does not qualify for the per diem reimbursement, e.g. attending conferences, meetings, trainings, etc. The only exception for allowing meal per diem is when employee was pre-approved by the Chief Financial Officer for overnight travel/lodging within nine Bay Area counties.

Day Trips/Same Day Travel (e.g. for Conference, Training, Meeting, etc.)

- No meal per diem

Other Expenses

Other expenses associated with and incurred in the performance of the BAUASI business while in travel status, deemed necessary and reasonable by the Chief Financial Officer, are reimbursable.

These include ground transportation (to or between the officer or employee's work site and airport, bus station, train depot and the meeting or lodging site and return), parking fees, bridge tolls, necessary business telephone charges, copying charges, and business-related internet access. These expenses are to be reviewed by the Chief Financial Officer and only approved if deemed reasonable and proper.

Travel Change or Cancellation Fee

- Travel agencies or airlines charge up to \$150 for itinerary changes and cancellation fee when an employee changes or cancels a flight reservation. If this situation arises, the employee must submit written justification explaining the reason/business need for the

itinerary change or cancellation, including approval from the Department's Authorized Travel Signatory in order for change/cancellation fee to be reimbursed.

- For a cancelled air ticket, the amount paid is credited to the employee's name.
 - (a) If air ticket was booked through a City travel agency, the Grant Management Unit is responsible for monitoring use of the credit and ensuring use for authorized official business travel only.
 - (b) If booked on-line directly by employee, the City will reimburse for the cancellation fee if justified business reason for cancellation is provided and approved by the Chief Financial Officer. The City will not reimburse for the cancelled air ticket.

Business Calls, Fax and Internet Usage

- Employees or travelers will be reimbursed for reasonable usage with original receipt.
- Business purpose and justification of need required to be documented.
- Identify all business internet charges, business calls, faxes, etc. on the hotel bill.

Original receipts are required for all other travel and official expenses related to official BAUASI business. The only exceptions are Toll/Bart/Muni/parking meter/public telephone costs which are reimbursable without receipts.

Reimbursements will not exceed the necessary and reasonable amount as determined by the Controller. If there is any question about these provisions, please obtain authorization from the Chief Financial Officer in advance of the travel to ensure that reimbursement above these rates will be allowed.

Non-Allowable and Non-Reimbursable Costs: The following items will not be reimbursed unless highly unusual circumstances have occurred and written pre-approval was obtained from the Chief Financial Officer.

Type	Examples
Travel/Transportation	<ul style="list-style-type: none"> • Unjustified car rental and/or upgrade from standard compact size vehicle. • Auto/flight/travel insurance. • Air travel ticket higher than coach/economy class. • Parking/moving violation tickets or other penalties for infractions of any law, repair of automobiles and towing charges. • Passport application fees. • Unjustified cancelled travel tickets and change/cancellation costs.
Lodging	<ul style="list-style-type: none"> • Unjustified lodging in excess of federal per diem rate. • Payment for accommodation with friends/relatives. • Unjustified lodging during training/meetings within the nine Bay Area counties. • Hotel movies. • Unjustified internet access.
Meals	<ul style="list-style-type: none"> • Reimbursement for meals unless travel is overnight and pre-approved as an exception by the Department Head or

	<p>provided for in employee MOU.</p> <ul style="list-style-type: none"> • Unjustified meal expenses in lieu of conference provided meals. • Alcoholic beverages.
Other Expenses	<ul style="list-style-type: none"> • Boarding cost of pets and children during business travel. • Excessive phone calls from hotels when traveling. • Personal laundry/dry cleaning for trips less than 7 days.

QUESTIONS AND ANSWERS

Q: What is the policy regarding using the Fiscal Agent’s approved vendors vs. employee booking air travel directly?

A: Employees have the option of purchasing air tickets from the fiscal agent’s approved vendor or on-line directly. If employees choose to purchase air travel on-line directly, they must document and demonstrate this option is the most economical by obtaining a comparative quote from a City vendor for the travel dates.

Q: Can I book air travel for other than coach/economy class?

A: No. Airfare should be coach/economy class only. Business class is not reimbursable. Upgrades are not reimbursable.

Q: If an airline charges for checked luggage, what is the policy for reimbursing baggage check-in expenses. What documentation is required?

A: The BAUASI will reimburse the cost of first checked bag only. Additional baggage check-in costs will be reimbursed with justification explaining the business need for extra luggage. Original receipt required for reimbursement.

Q: What expenditures are reimbursed when I drive a personal vehicle, a city vehicle, or a rental car?

A:

Mode of Transportation	Expenses Reimbursed
(a) Employee drives personal car	(a) Mileage
(b) Employee drives city vehicle	(b) Fuel expenses (with justification why employee was unable to obtain fuel from Central Shops)
(c) Employee drives rental car	(c) Cost of car rental and gas expenses

See “Transportation” section for additional information and requirements.

Q: Does my lodging receipt need to be itemized?

A: Yes, hotel lodging receipt must be itemized listing all expenses (room, tax, phone calls, etc.) separately. The receipt must also have a zero balance showing the payment was made. If a hotel bill with zero balance is not available, submit the itemized hotel bill along with a copy of credit card statement showing payment was made.

Q: If the conference hotel is not available (i.e. fully booked), can I stay at one of the conference provided list of recommended hotels or over flow hotels.

A: Yes, conference recommended hotels or overflow hotels with a conference rate will be reimbursed when documentation of the conference lodging rate and a receipt are provided. Reimbursement should be for single room rate.

Q: For domestic travel, what if a city is not listed on the CONUS Per Diem website?

A: If a city is not listed, check to ensure that the county within which it is located is also not listed. On the GSA website there is a link to the National Association of Counties which can help determine the county a destination is located in. If the city is not listed, but the county is, then the per diem rate is the rate for that entire county. If the city and the county are not listed, then that area is considered to be a Standard CONUS location which is currently \$70 for lodging.

Q: Can the BAUASI pay an employee's family/friends for lodging or other expenses when employee stays with family/friend during business travel?

A: No.

Q: When employees or travelers stay with family/friends during business travel and therefore do not incur lodging expense to the BAUASI, can employees or travelers be reimbursed for buying family/friends thank you flowers, or meal etc.

A: No.

Q: Can I claim meal per diem if I found the conference meals unhealthy or insufficient?

A: No.

Q: Is alcohol and/or corkage expense reimbursable?

A: No, alcohol/corkage reimbursement is not allowed.

Q: Can the employee or traveler be reimbursed for meals if the travel is for required training?

A: Yes, as long as the travel is overnight and the Chief Financial Officer has pre-approved the exception.

Q: For foreign travel, what if a location is not listed for per diem under the country employee is traveling to?

A: Any location not listed for per diem under a country takes the "Other" rate GSA administers and publishes for that country. An unlisted suburb of a listed location takes the "Other" rate, not that of the location of which it is a suburb.

Q: What is the BAUASI's policy for reimbursing internet, fax and phone calls for business?

A: Employees or travelers will be reimbursed for reasonable usage. Business purpose and justification of need must be documented and original receipts provided. Identify all business calls, faxes, etc. on the hotel bill.

Q: Can I combine personal travel with official business, i.e. personal travel before/after/or in between business trips?

A: Employee or traveler may combine personal travel with business travel when pre-approved in writing by the Chief Financial Officer. The BAUASI is responsible only for the official business portion of the trip. When travel on business is extended for personal reasons, before, in between, and/or after official business travel, no personal expenses can be included on the travel expense

voucher claim form. Employee or traveler must obtain a quote from approved vendor of the fiscal agent showing the cost of roundtrip ticket for most economical and direct travel to/from the business destination for the dates of official business. This quote will be used for comparison and reimbursement purposes. Employee or traveler must pay for the personal portion of the airfare expense. When combining personal travel with official business travel, there is no reimbursement for lodging, meal per diem, or any other expense incurred before/in between/after the conference/ official business starts /concludes.

Q: Is the \$5 incidental per diem given on travel days?

A: Yes, incidental per diem is allowed for travel as long as the trip is overnight and pre-approved as an exception by the Chief Financial Officer.

Q: What does incidental expense per diem include?

A: Transportation between places of lodging or business and places where meals are taken, if suitable meals cannot be obtained within walking distance of the conference/training site or hotel; Fees and tips given to porters, baggage carriers, bellhops, hotel maids and stewards; Mailing costs associated with filing travel vouchers.

Q: When on foreign travel for official business, what does the M&IE incidental cover?

A: Separate amounts are established for lodging and meals plus incidental travel expenses (M&IE). The maximum lodging amount is intended to substantially cover the cost of lodging at adequate, suitable and moderately-priced facilities. The M&IE portion is intended to substantially cover the cost of meals and incidental travel expenses such as laundry and dry cleaning.

Q: For international business travel, are passports and visas reimbursable expenses?

A: Visas are reimbursed with original receipt. Passport expenses are not reimbursable.

Q: What documentation do I need to provide for currency conversion when foreign/ international travel for official business?

A: International travel expenses must be converted to U.S. dollars. Conversion rate should be calculated for the date the expense was incurred. Include proof of the currency exchange rate. Proof can be in the form of (1) receipts obtained by the employee during travel or (2) a copy of the employee's credit card statement showing the travel expense or (3) a print out from the OANDA.com website or other conversion website using the date shown on the receipt(s).

Q: If an employee or traveler pays for conference registration in advance can they be reimbursed before the conference date?

A: No, all employee reimbursements should be approved after the conference has completed.

Q: Am I required to provide printouts from an online map service such as Google Maps or MapQuest to be reimbursed for mileage?

A: No, only odometer readings are required by the Grant Management Unit, as long as the mileage is reasonable.

APPENDICES

- A. BAUASI Travel & Expense Authorization
- B. BAUASI Field Expense Report
- C. BAUASI Travel Expense Voucher

Bay Area UASI Travel & Expense Authorization

Travel Authorization Number:							
Employee Name:			Division:				
Date(s) of Travel (or event):							
Type of Event:		Meeting		Training			
Other:							
Purpose of travel or attendance at event:							
Funding Source:			UASI		Year:		
OHS Approval Date:			Approved by:				
Budget Reference:			Fund Group-Index:				
Code-Sub Object-Project Code:							
Flight Information							
Airline		Flight	Date	From	To	Cost	
Total Flight Cost						\$0.00	
Rental Car Information							
Company		Type	Reason	# of Days	Daily Rate	Cost	
Total Rental Car Cost							
Hotel Information							
Hotel		City		# of Days	Rate	Tax (%)	Cost
							\$0.00
Conference Hotel							\$0.00
Total Hotel Cost						\$0.00	
Other Information							
Item		Description				Cost	
Registration		Cost of attending					
Per Diem		Loc:	Daily Rate	# of Days		\$0.00	
Mileage		POV use	Est Miles	Rate	\$0.56	\$0.00	
		Reason:					
		Ground Transportation (roundtrip) to Airport, Hotel, Baggage Fees					
Total Additional Costs						\$0.00	
Total Cost of Travel/Event						\$0.00	
Division Manager Approval:				Deputy Director Approval			
Name:		Date:		Date			
Signature				Signature			
Received by Grants :				Date			
Name:		Signature:					

