



Project Proposal Guidance
for Fiscal Year 2013

(INTERIM)

October 12, 2012

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APPENDIX A - PROJECT TEMPLATE

This UASI guidance remains interim until such time that the Federal DHS funding allocation and grant guidance is released. In addition, this guidance only sets forth the methodology to be used to allocate FY 2013 UASI funding. It does not include the updated rules governing allowable expenses under the UASI grant for FY 2013 such as personnel costs, etc. Therefore, this guidance will change to reflect such rules once final FY 2013 Federal DHS guidelines are issued. The Bay Area UASI Management Team will update this guidance as needed and answer any questions stakeholders may have.

1. Bay Area Homeland Security Strategy

In 2012 the Bay Area Urban Area Security Initiative (UASI) conducted a region-wide risk validation analysis and capabilities assessment across the region's twelve counties and three major cities. The results of these efforts are being used to update the Department of Homeland Security (DHS)-mandated Urban Area Homeland Security Strategy for the Bay Area UASI, which will be issued in November of 2012.

The 2012 *Bay Area Homeland Security Strategy* (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.

2. 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. Ultimately, the FY 2013 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 2013 Bay Area UASI funded projects must demonstrate the dual-use quality for any activities implemented that are not explicitly focused on terrorism preparedness.

3. 2013 Federal Budget

It is expected that Congress will pass the DHS FY 2013 budget after the November election and likely in the first half of 2013, which will include funds for all state and local homeland security grants. 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.

4. Proposal Submission Process

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 Workgroup Leads and 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 may only be submitted using an online form to the Management Team from November 12th-30th, 2012. All proposals must be submitted by 5pm on Friday November 30th, and late proposals will be considered ineligible. Upon receipt of the proposals, the Management Team will share them with the appropriate Advisory Group and/or Approval Authority members.

The proposal template can be found in Appendix A of this guidance (please see below for important information on funding criteria and allowable expenses). Submitters are strongly encouraged to integrate Federal, State and local grant and general funds when developing FY 2013 projects, with an understanding that the rules governing the use of those funds may vary from funding source to funding source.

5. Role of the Work Groups

For FY 2013, the Bay Area is utilizing regional subject matter expert working groups to vet proposed projects. Each work group is assigned a goal or set of goals from the *Bay Area Homeland Security Strategy*. The work groups will vet regional projects designed to implement the goal(s) and objectives from the Strategy for which they have responsibility.

Work group composition:

- Work group meetings are open to all who would like to participate within the 12 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 projects.
- Work group meetings will continue to be chaired by project managers representing the UASI Management Team.
- The work groups and their areas of responsibility concerning projects for FY 2013 are:

Risk Management/Information Analysis and Infrastructure Protection Work Group

- Regional planning and risk management projects under Bay Area Strategy Goal 1.
- Regional intelligence, information sharing and infrastructure protection projects under Bay Area Strategy Goal 2.

Communications Work Group

- Regional communications projects under Bay Area Strategy Goal 3.

Regional Exercise & Training/CBRNE Working Group

- Regional CBRNE projects under Bay Area Strategy Goal 4
- Regional training and exercise program projects under Bay Area Strategy Goal 8.

Regional Catastrophic Planning Team and Public Health Working Group

- Regional public health and medical projects under Bay Area Strategy Goal 5
- Regional community preparedness and emergency planning projects under Bay Area Strategy Goal 6
- Regional recovery projects under Bay Area Strategy Goal 7.

Proposal vetting process:

Each work group will vet projects against the following funding criteria:

- (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 2012 Bay Area regional risk and capability assessment. These priority capability objectives will be identified in the updated *Bay Area Homeland Security Strategy* in early November 2012. (In the meantime, proposers should use the priority capability objectives from the November 2011 update as a guide – see section 9 below); 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.

Work groups will score proposals as “highly qualified” “somewhat qualified” and “least qualified” per the above criteria. In addition, work groups may designate other criteria to vet projects as mutually agreed upon (e.g., provide scalable solutions, leverage other funding sources). Work groups will also designate projects that are “shovel ready” and have the ability to be completed within six months of funding allocation.

Work groups should meet in person at least once and no more than twice during the month of December 2012 to complete the vetting. Work group chairs will share an excel spreadsheet of the proposed projects with the participants in advance of the December meeting.

Ideally, the vetting will be done by consensus. If and when a vote is needed, there will be one vote per operational area and core city represented at the meeting. The General Manager will designate such persons in each work group based on recommendations from Advisory Group members. It is important to the process that such representatives are: subject matter experts, regular work group members, and government employees.

In September, October, and November meetings, work groups are encouraged to prepare for the upcoming proposal submission and vetting process by discussing and building consensus on their regional priorities. They are also encouraged to discuss this implementation guidance, risk and capability analysis, and Strategy.

*** Note that Training & Exercise proposals should not be vetted in this process. As in prior years, all requests for training & exercise will be referred to the training and exercise program.

6. Role of the Hubs

In FY13, the Bay Area is utilizing hub groups to prioritize proposed projects vetted by the working groups.

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 representative should recommend or appoint a designee to assign three to five people to represent his or her operational area/core city at the hub meetings. Hub representatives are encouraged to invite individuals to the meeting to speak to the specifics of particular proposals.
- Hub meetings will be coordinated and facilitated by the hub planners and/or UASI Management Team members. In instances where hub planners are not yet hired, a Management Team representative will provide coordination and facilitation

Proposal prioritization process:

Hubs will meet in January 2013 to decide on the final prioritized list of projects for recommendation to the Advisory Group. In advance of their meetings, hub facilitators will provide hub participants with all submitted proposals as well as the vetting information provided by the work groups.

Each hub will develop 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.) Ideally prioritization will be done by consensus, but voting may occur as needed. (Note that the facilitator does not vote or otherwise attempt to influence the decision-making of the hub representatives.)

The Management Team will provide hubs with an allocation based on the funding risk allocation formula. The hubs' prioritized lists of projects should include projects in order of importance to be funded by the allocation. In addition, each hub should also develop a list of "below the line" projects for if/when additional funds become available in the future. This should include six month time frame projects.

Hub representatives may make modifications to proposals 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 in section five above.

7. Role of the Advisory Group

The UASI Advisory Group will review proposed projects that have been vetted by the working groups and prioritized by the hubs. The Advisory Group will provide a review to reduce duplication of effort and confirm prioritization of projects based on attainable mitigation of regional risk. The Advisory Group will also review the proposals for compliance with the Strategy and applicable UASI, CalEMA and FEMA guidance. The Advisory Group will conduct this review in their February meeting and provide a list of recommendations to the Approval Authority for the March Approval Authority meeting.

In the event any project does not meet the funding criteria in section five above, the Advisory Group may route the project back to the respective hub and proposer to update his or her proposal. The updated proposal may be resubmitted to the Advisory Group for a second review. If the Advisory Group still feels the project does not meet all of the criteria, they will note this in their report to the Approval Authority.

The Bay Area Management Team will facilitate the Advisory Group's review of projects and answer any questions of the Advisory Group. The Management Team will also prepare and submit the grant investment justifications to the State of California for submittal to DHS.

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8. Allocation of Funding

Since the FY 2013 budget has not been determined, the Bay Area will operate under the assumption that the FY 2013 funding will be approximately equal to the amount allocated in FY 2012 – \$26,423,268 – until such time as DHS determines otherwise. This assumption will allow the region to have projects drafted and approved in the event the level of funding is at or near the FY 2012 amount. Such a process is far more efficient than assuming a very low level of funding and then trying to develop projects at the last moment when the actual level of funding is higher than the amount originally assumed. Based on a \$26 million allocation, the Bay Area will allocate funding and develop projects using the following process:

*****Allocation recommendations to the Approval Authority forthcoming from the Advisory Group. Note that in the past funding has been set aside by state requirement, for management and administration for the Bay Area UASI Management Team, as well as for sustainment projects and core city allocations.*

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9. 2011 Priority Capability Objectives

Note that this guidance will be updated with 2012 priority capability objectives as soon as this information is presented to the Approval Authority on November 8th.

Risk Management/Information Analysis Work Group

Goal 1 Develop a Regional Risk Management and Planning Program

- Risk Management (Objective 1.1)
- Planning (Objective 1.1)

Goal 2 Enhance Information Analysis and Infrastructure Protection Capabilities

- Counter Terrorism and Law Enforcement (Objective 2.1)
- Information Gathering and Recognition of Indicators and Warnings (Objective 2.2)
- Critical Infrastructure Protection (Objective 2.5)

Communications Work Group

Goal 3 Strengthen Communications Capabilities

- Communications (Objective 3.1)

Regional Training and Exercises/CBRNE Work Group

Goal 4 Strengthen CBRNE Detection, Response, and Decontamination Capabilities

- CBRNE Detection (Objective 4.3)
- On-site Incident Management (Objective 4.7)
- Responder Safety and Health (Objective 4.8)
- Public Safety and Security (Objective 4.9)

Regional Catastrophic Planning Team

Goal 5 Enhance Medical, Public Health and Mass Care Preparedness

- Medical Surge (Objective 5.2)
- Fatality Management (Objective 5.7)

Goal 6 Strengthen Emergency Planning and Citizen Preparedness Capabilities

- Emergency Public Information and Warning (Objective 6.2)

Goal 7 Enhance Recovery Capabilities

- Economic and Community Recover (Objective 7.2)
- Restoration of Lifelines (Objective 7.4)

10. Timeline

FY 2013 UASI Grant Timeline (est)

October 2012	Management Team issues FY13 project proposal guidance, hosts kick off meeting.
November 8, 2012	Approval Authority reviews Bay Area Homeland Security Strategy.
November 8-15, 2012	UASI Management Team coordinates with Hubs to host FY13 kick off meetings.
November 12-30, 2012	Proposals may be submitted to the Management Team by any Bay Area UASI stakeholder. Includes proposals for sustainment and core city funding projects.
December 2012	Workgroups vet proposals
January 2013	Hubs prioritize proposals
February 2013	Advisory Group reviews vetted and prioritized proposed projects
March 2013	Approval Authority reviews and approves vetted and prioritized proposed projects recommended by the Advisory Group
April 2013	Estimated deadline for application to Cal EMA (approximate date pending release of FEMA guidelines & Cal EMA timeline)

11. Allowable Spending Guidelines

Please note that DHS has yet to issue guidelines for FY13. In the absence of this information, below please find the allowable spending information for FY12. The Management Team will update these guidelines when FY13 information becomes available.

FY 2012 HOMELAND SECURITY GRANT PROGRAM (HSGP) FUNDING OPPORTUNITY ANNOUNCEMENT (FOA):

http://www.fema.gov/pdf/government/grant/2012/fy12_hsgp_foa.pdf

California Supplement to the Federal Funding Opportunity Announcement and Application Kit:

<http://www.calema.ca.gov/EMS-HS-HazMat/Pages/Homeland-Security-Grant-Program-Documents.aspx>

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1.e. Project Description: *Briefly describe exactly what the project entails and what would be accomplished by funding the project. Describe what, if any, existing capabilities the Bay Area Region currently has in place concerning this project such as any plans developed, training delivered, or equipment purchased, etc. Explain if this project can be scalable. (3000 character limit with spaces)*

1.f. Resource Typing: Complete this section for Equipment and Training Projects only

Resource typing is categorizing, by capability, the resources requested, deployed and used in incidents. Measurable standards identifying resource capabilities and performance levels serve as the basis for categories. Resource users at all levels use these standards to identify and inventory resources. Resource kinds may be divided into subcategories to define more precisely the capabilities needed to meet specific requirements.

Go to the following web site for more information. <http://www.fema.gov/resource-management#item4>

Project Type: Equipment
 Training

NIMS Typed Disciplines:

**NIMS Typed
Resource to be
Supported:**

NIMS Type #:

**Typed Equipment to be
Purchased:**

**# of Personnel to be
Trained for Typed
Teams:**

**# of Typed Teams to be
Trained:**

Sustain / Add:

**Core Capability to be
Supported:**

Cost of Purchase:

Comments:

2. ALIGNMENT WITH THE BAY AREA HOMELAND SECURITY STRATEGY

2.a. Bay Area Security Goals and Objectives:

Check all of the Bay Area goal(s) that this project directly supports

1. Develop a Regional Risk Management and Planning Program
2. Enhance Information Analysis and Infrastructure Protection Capabilities
3. Strengthen Communications Capabilities
4. Strengthen CBRNE Detection, Response and Decontamination Capabilities
5. Enhance Medical and Public Health Preparedness
6. Strengthen Emergency Planning and Citizen Preparedness
7. Enhance Recovery Capabilities
8. Enhance Homeland Security Exercise, Evaluation and Training Programs

2.b. List each Objective (by number) from the Bay Area Homeland Security Strategy the project supports and address the gaps from the 2012 regional capability assessment. Please complete one or more objectives.

Objective 1:

Objective Explanation:

Explain how the project supports implementation of the objective

Funding Assigned for this Objective:

List the Amount of Funding from the Project that will be Applied to the Objective

Gap(s) Explanation:

Explain which Gap from the 2012 Regional Capabilities Assessment this project will help address.

Objective 2:

Objective Explanation:

Explain how the project supports implementation of the objective

Funding Assigned for this Objective:

List the Amount of Funding from the Project that will be Applied to the Objective

Gap(s) Explanation:

Explain which Gap from the 2012 Regional Capabilities Assessment this project will help address.

Objective 3:

Objective Explanation:

Explain how the project supports implementation of the objective

Funding Assigned for this Objective:

List the Amount of Funding from the Project that will be Applied to the Objective

Gap(s) Explanation:

Explain which Gap from the 2012 Regional Capabilities Assessment this project will help address.

Objective 4:

Objective Explanation:

Explain how the project supports implementation of the objective

Funding Assigned for this Objective:

List the Amount of Funding from the Project that will be Applied to the Objective

Gap(s) Explanation:

Explain which Gap from the 2012 Regional Capabilities Assessment this project will help address.

3. FUNDING

3.a. Proposed Funding: *Provide the proposed funding amount for this project towards applicable Planning, Organization, Equipment, Training and Exercises (POETE) elements. For each funding area selected, provide a brief narrative describing the items or services being funded. For Equipment Projects include Costs for Sales Tax, Shipping Costs, Installation and Performance Bond for Projects over \$250,000 or for the purchase of a vehicle, i.e. Bearcat or vessel, i.e. Boat. If applicable, provide the proposed funding amount from the project that can be obligated towards Law Enforcement Terrorism Prevention Activities (LETPA)*

Planning:

Organization:

Equipment:

Training:

Exercises:

Total Project Costs:

LETPA Amount :

Planning:

Include language about EOP updates demonstrating that they are following grant requirements of FY2013

Organization

Equipment List:

List the equipment and the Authorized Equipment List (AEL) number from the www.rkb.us website along with the quantity and cost breakdown. Itemize Taxes, Shipping and Installation.

**Performance Bond required for any vehicle, aircraft or watercraft and any item over \$250,000.*

Training

Exercise

3.b. Other Source(s) of Funding: *Identify funding amounts from other source(s) that is being utilized for this project*

SHSP:

CCP:

MMRS:

General Funds:

Other Grant Funds:

Total Other Funding:

Other Funds

Explanation:

Explain how any non-UASI funds, such as General Funds, SHSP, MMRS grants, etc. will be used to implement this project.

4. PROJECT IMPACTS AND OUTCOMES

4.a. Project Outcomes:

Describe the regional outcomes and benefits that will be achieved as a result of this project. When describing the regional outcomes and benefits, describe the number of operational areas in the region that will directly benefit from this project.

The outcomes and benefits should demonstrate improvement towards building or maintaining capabilities and reducing risk. Explain how your project will improve the capacity to prevent, protect against, respond to, and recover from terrorist incidents or related catastrophic events by providing planning, training, equipment and exercises to the UASI region.

5. PROJECT MANAGEMENT

5.a. Project Milestones: *Identify up to ten milestones, with start and end dates, to be achieved before the end of the twelve month period of performance under the FY 2013 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, 2013 to November 30, 2014. Some Milestones can be achieved prior to the allocation of funding. No purchases can be made prior to completing the execution of your MOU.*

Assuming December 1, 2013 is your project start date will your project be completed no later than November 30, 2014?

Yes

No

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:

5.b. Project Status

Check Corresponding
Box: *Check all that apply*

This project can be completed within 6 months of funding allocation

This project will require a RFP

This project will require an extension waiver to complete

This project will require a Performance Bond

This project will require a Sole Source

This project will require an EHP

This project will require an EOC Report

Project Funding

Explanation: *Explain if and how this is a "shovel ready" project and describe how quickly this project can be initiated and completed.*

5.c. Sustainment

Long Term Approach:

Describe the long-term approach to sustaining the capabilities maintained or enhanced by this project without UASI funds once the grant performance period is over. To the extent funds are needed for sustainment in the future, will future grants be needed for sustainment or will local funds be used? If no funds are needed, explain why.