DRAFT
Bay Area Homeland Security Strategy
Implementation Guidance for Fiscal Year 2013

August 16 ~~2013~~2012

For Official Use Only

Table of Contents

Formatted: Font: Bold

1.~~0~~ 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 along with capabilities assessments across the region's twelve counties and three major cities. ~~/operational areas.~~ The results of these efforts were used to update the Department of Homeland Security (DHS)-mandated Urban Area Homeland Security Strategy for the Bay Area UASI in November of ~~2013~~2012.

The ~~2013~~ 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.

The following sets forth **interim** guidance for the Bay Area to implement the region's Strategy in the form of homeland security projects for FY 2013. This guidance is interim due to the fact that the FY 2013 federal DHS grant guidelines have not been issued and the Bay Area does not know its funding allocation at this time. Moreover, 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 DHS guidelines are issued. ~~Over the coming weeks and months, t~~The Bay Area UASI Management Team will ~~hold a series of meetings to review this~~update this guidance as needed and ~~guidance in more detail and~~ answer any questions stakeholders may have.

2.~~0~~ 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 ~~is intended~~will likely to 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, as noted in the *Bay Area Homeland Security Strategy*, 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.

3.0 2013 Federal Budget

It is expected that Congress will pass the DHS FY 2013 budget in after the November election and likely early in 2013, December of 2012, 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. 4.0 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 and Bay Area UASI Project Managers will engage in outreach to solicit proposals. Proposals are invited from government employees 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.

Proposals may only be submitted using an online form to the Management Team. Proposals may only be submitted from November 12-30, 2012. All proposals must be submitted by 5pm on Friday November 30th, and late proposals will be considered ineligible. The proposal template can be found in Appendix A of this guidance, and see section 8 (Step Four) below for funding criteria and section 10 for 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 once again utilizing regional subject matter expert working groups to develop and review vet proposed projects. These projects will be developed using the FY 2013 project template attached to this guidance as Appendix A. Each work group is assigned a goal or set of goals from the *Bay Area Homeland Security Strategy*. The work groups will develop and review vet regional projects designed to implement the goal(s) and objectives from the Strategy for which they have responsibility. These regional projects may be developed from and/or solicited by operational areas, special districts, or sub-regions within the 12 county Bay Area UASI. Work groups 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, with an understanding that the rules governing the use of those funds may vary from funding source to funding source.

Work group composition:

- Work group meetings are open to all that would like to participate within the 12 county Bay Area UASI
- 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.

There is no limit as to the number of projects that each work group may develop and submit. *Proposal vetting process:*

Each work group will develop a list of prioritized projects vet projects based on the Regional Risk Analysis Center gap score against funding criteria (see Section 8 below, Allocation of Funding, Step 4 Additional UASI Funding). Work groups will score proposals as "highly qualified" "somewhat qualified" and "least qualified." In addition, work groups may designate other criteria to vet projects as mutually agreed (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.

s. Ideally, the vetting will be done by consensus. If and when a vote is needed, there will be one vote per operational area represented at the meeting. The General Manager will designate such persons in each work group based on recommendations from Advisory Group members. Such persons must be: subject matter experts, regular work group members, government employees, and not otherwise designated to participate in the hub decision-making process.

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 the implementation guidance, gap analysis, and Strategy.

Work Groups will provide scalable solutions and annotate projects that are "Shovel Ready" or have the ability to be completed within 6 months of funding allocation. Note that Training & Exercise proposals should not be vetted in this process. In the past, all requests for training & exercise have been referred to the training and exercise program.

- Each Work Group will be responsible for identifying a Work Group lead POC to the UASI Management Team. The work groups and their areas of responsibility concerning projects for FY 2013 are:

The work groups and their areas of responsibility concerning projects for FY 2013 are:

- **Risk Management/Information Analysis and Infrastructure Protection Work Group**
  o Regional planning and risk management projects under Bay Area Strategy Goal 1.
  o Regional intelligence, information sharing and infrastructure protection projects under Bay Area Strategy Goal 2.

- **Communications Work Group**
  o Regional communications projects under Bay Area Strategy Goal 3.

- **Regional Exercise & Training/CBRNE Working Group**
  o Regional CBRNE projects under Bay Area Strategy Goal 4
  o Regional training and exercise program projects under Bay Area Strategy Goal 8.

- **Regional Catastrophic Planning Team and Public Health Working Group**
  o Regional public health and medical projects under Bay Area Strategy Goal 5
  o Regional community preparedness and emergency planning projects under Bay Area Strategy Goal 6
  o Regional recovery projects under Bay Area Strategy Goal 7.

The Bay Area Management Team will conduct meetings to review the project template and answer any questions of the participants. The Management Team will also prepare and submit the grant application to the State of California for submittal to DHS.

Formatted: Justified, Space Before: 0 pt, After: 0 pt

Formatted: Justified

Formatted: Space Before: 0 pt, After: 0 pt

Formatted: Normal, Justified, No bullets or numbering

Formatted: Font:

Formatted: No bullets or numbering

Formatted: Font:

Formatted: List Paragraph, Space Before: 0 pt, After: 0 pt

Formatted: No bullets or numbering

Formatted: Indent: Left: 0"

Formatted: No bullets or numbering

Formatted: Indent: Left: 0"

Formatted: No bullets or numbering

Formatted: Indent: Left: 0"

Formatted: No bullets or numbering

Work groups are strongly encouraged to integrate Federal, State and local grant and general funds when developing FY 2013projects, with an understanding that the rules governing the use of those funds may vary from funding source to funding source, with an understanding that the rules governing the use of those funds may vary from funding source to funding source.

56.0 Role of the Hubs

In FY13, tFor FY 2013, the Bay Area is once again utilizing Hub hub groups to develop and reviewprioritize proposed projects developed vetted by the working groups. The planning Hubs will be based on the geographical location of the agencies based on North, East, South and West Bay Areas.

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 may recommend five people to represent his or her operational area at the hub meetings. ParticipationDiscussion at the hub meetings will be limited to these representatives. However, hub representatives may invite individuals to speak to the specifics of particular proposals.
- Hub meetings will be facilitated by the hub planners funded in 2011and coordinated by the Management Team. In instances where such hub planners are not yet hired, a Management Team representative will provide facilitation.

Proposal prioritization process:

- There is no limit as to the number of projects that each Hub may develop and submit.

Hubs will meet in January 2013 to decide on the final prioritized list of projects for recommendation to the Advisory Group/Approval Authority. In advance of their meeting, 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 priotization will be done by consensus, but voting may occur as needed.

Hubs will be provided with an allocation based on the funding risk allocation formula. Prioritized lists will 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 and when additional funds become available in the future. This should include six month time frame projects.

- Hub proposed projects will be developed using the FY 2013 project template attached to this guidance as Appendix A and sent to the working group with subject matter expertise on the project to evaluate and resubmit to the Hub for secondary review. Each Hub will review the overall lists of working group prioritized proposals and select projects from the list and develop prioritized Hub list based on regional need and local capabilities based on the set of goals from the *Bay Area Homeland Security Strategy*. Hubs will provide scalable solutions and annotate projects that are "Shovel Ready" or have the ability to be completed within 6 months of funding allocation. The Hubs will develop and review regional projects designed to implement the goal(s) and objectives from the Strategy. There is no limit as to the number of projects that each Hub may develop and submit. Each Hub will develop a list of prioritized projects based on the Regional funding risk allocation formula. However, total funding available to each Hub group may be capped as discussed later in this guidance.

Each HUB will be responsible for identifying a HUB lead POC to the UASI Management Team.

The Bay Area UASI Management Team will conduct meetings to review the project template and answer any questions of the participants. The Management Team will also prepare and submit the Approval Authority approved grant application to the State of California for submittal to DHS.

Hub proposed projects will be developed using the FY 2013 project template attached to this guidance as Appendix A and sent to the working group with subject matter expertise on the project to evaluate and resubmit to the Hub for secondary review.

Hubs are strongly encouraged to integrate Federal, State and local grant and general funds when developing FY 2013projects, with an understanding that the rules governing the use of those funds may vary from funding source to funding source.

57.0 Role of the Advisory Group

For FY 2013, the Bay Area is once again utilizingThe the UASI Advisory Group to will review proposed projects. These projects will be reviewed that have been vetted by the working groups and prioritized by the hubs. The Advisory Group will provide a review based on the Regional Risk Analysis Center Gap Analysis and the set of goals from the *Bay Area Homeland Security Strategy*. The Advisory Group will review the list of Hub projects to reduce duplication of effort, confirm prioritization of projects based on attainable mitigation of regional risk, and review 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.

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

68. 0 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:

Step 1 Federal Requirements

As in year's past, by statute, any UASI allocation must will likely be required to set aside no less than 25% of the total allocation for law enforcement terrorism prevention activities (LETPA). In the past, LETPA has includes included the cost of intelligence analysts, counter terrorism training for law enforcement, etc. A detailed description of

LETPA and requirements across planning, organization, equipment, training and exercise solution areas will be outlined in greater detail in the final iteration of this guidance.

One of DHS' highest priorities in FY 2012 was the enhancement of state and major urban area fusion centers (i.e. the Northern California Regional Intelligence Center (NCRIC)). Although not a statutory requirement, in FY 2012, DHS required that in the state or urban area in which one of the DHS-recognized state or Major urban area fusion centers reside, at least one investment justification must address funding support for that recognized fusion center. However, there was no minimum percentage or dollar amounted associated with this requirement.

In FY 2011, the Bay Area UASI's Investment Justification number two satisfied the DHS fusion center requirement. It is most likely that this DHS mandate will continue into FY 2013 and the Bay Area will operate under that assumption unless informed otherwise by DHS. Virtually any funding set aside for fusion center activities would also satisfy part or all of the 25% set aside for LETPA activities (depending on the amount of funding allocated for fusion center activities and the total amount of UASI funding received by an urban area).

The last federal requirement is the State of California's potential hold back of up to 20% of the region's total UASI allocation for State projects. This issue is addressed in more detail in section 5, step 5 herein.

Step 2 Regional Sustainment Priorities

Once federal requirements are known and satisfied, the region will identify and provide sustainment funding for those regional projects the Bay Area has determined must be sustained for this fiscal year.

In the event the level of funding received by the Bay Area in FY13 is more than the amount received in FY12, the overall amount set aside for sustainment projects will not exceed that of FY12. In the event the level of funding received by the Bay Area in FY13 is less than that amount needed to fully sustain the projects listed for sustainment in FY 2013than the amount received in FY12, the overall amount set aside for sustainment projects will be reduced by the same percentage.

eEach sustainment project will receive a percentage of the available sustainment funding equal to the current percentage it would receive if $11,193,005 were allocated to the Bay Area as outlined in the table on the next pagethe percentage it received in FY12 when the allocation was $11,193,005. Since management and administration of the grant is an amount equal to 5% of the total allocation, the actual amount available for projects under an $11,193,005 allocation would be $10,633,355. The following are the FY 2013 sustainment projects for the Bay Area UASI (to be confirmed by the Approval Authority), and the funding amounts they received in FY12:

.

FY 2013 Sustainment Projects

Goal	Goal Title & Projects	FY ~~2013~~ 2012 Funding	% of Total Funding
1	**Planning and Risk Management**		
	Risk Management Project	$436,800	4.1%
2	**Information Analysis & Infrastructure Protection**		
	NCRIC	$4,000,000	37.6%
	COPLINK - San Mateo Maintenance	$360,000	3.4%
	COPLINK - Santa Clara Maintenance	$290,000	2.7%
	ARIES – Contra Costa Maintenance	$354,000	3.3%
4	**CBRNE Response**		
	Resource Typing Database	$100,000	0.9%
8	**Regional Exercise & Training**		
	Regional T&E Team	$1,692,555	15.9%
	Training	$1,700,000	16.0%
	Exercises	$1,700,000	16.0%
Total Project Funding:		**$10,633,355**	
Management & Administration		$559,650	5%
Grand Total:		**$11,193,005**	

Each regional sustainment project shall be submitted by the project lead for that sustainment project to the Bay Area UASI Management Team using the project template in Appendix A during the proposal submission timeframe of November 12-30, 2012. The Management Team will ensure all elements of the sustainment projects meet UASI grant requirements for FY 2013. The Management Team will then submit the projects to the Advisory Group and Approval Authority for final approval.

Step 3 Major City Allocations

Assuming the Bay Area receives UASI funding in excess of $11,193,005 of which $10,633,355 is forthe amount set aside by the Approval Authority for pre-determined core regional projects as outlined above, the Bay Area will allocate <not more than the one half> (amount TBD by Approval Authority) of this additional funding to the three major cities in the region: San Francisco, San Jose and Oakland. All three cities must have the same allocation amount and uUnder no circumstances will a single major city receive a UASI allocation in excess of $1 million. under the following methodology:

Accounting first for the 5% for management and administration, if the amount of available UASI funding for projects is $3 million or more above the $10,633,355, each major city shall receive a $1 million allocation. If the additional UASI funding for projects is less than $3 million, each major city shall receive an equal share of the available project funding. If no UASI funding is available beyond the $10,633,355 needed to sustain the projects listed above, the major cities shall receive no UASI allocation. Under no circumstances will a single major city receive a UASI allocation in excess of $1 million.

All projects funded under the major city allocation must have a UASI project template from Appendix BA, or set of templates as the case may be, that accounts for the entire amount to be spent by each city. Major city projects may be developed to support any one or more of the goals and objectives in the *Bay Area Homeland Security Strategy* and are expected to have a regional benefit. Each major city project must be vetted through the UASI Management Team for compliance with UASI policy. All major city projects must be submitted to the Management Team during the proposal submission timeframe of November 12-30, 2012. The Management Team will then submit the projects to the Advisory Group and Approval Authority for final approval.

Step 4 Additional UASI Funding

TAssuming the Bay Area receives UASI funding in excess of the amount necessary to fund the sustainment projects and the major city projects, the Bay Area will then allocate <at least one half> (amount TBD by Approval Authority) of the excess funding in excess of the amount necessary to fund sustainment projects to project funding to those projects developed by the region's work groups and Hubs hubs. (As noted in Step 3 above, not more than <one half> (amount TBD) and not more than three million dollars of such funding may be allocated to the core cities).

Funding criteria includes:

   The proposed project must that:

- **E~~e~~nhance the region's priority capabilities**, which are ~~: t~~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 capabilities assessment developed through the Regional Risk Analysis Center. These priority capability objectives will be identified in the updated

(1) ~~The following are the priority capabilities, their corresponding goal and objective number in the~~ *Bay Area Homeland Security Strategy* ~~for FY 2013~~in early November 2012; **and**

(2) **The proposed project provides clear linkages** to the listed Strategy objective(s), how the project will support implementation of the objective(s), addresses capability gaps from the regional 2011 Bay Area capability assessment, and buys down regional risk; **and**

~~, and the work groups are responsible for developing projects for their implementation that must be reviewed by the Hubs and then finally reviewed by the Advisory Group for recommendation to the Approval Authority. In addition to completing an initiative, every project developed by a work group and Hub for FY 2013~~ **must** ~~directly enhance or sustain capabilities in these areas.~~

~~**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)~~

~~Once the projects are developed by the work groups within their allotted budget, the Advisory Group will then review those projects using the following criteria, which shall be applied on a pass/fail or yes/no basis:~~

Work Group, Hub and Advisory Group Project Review Criteria

(3) **The ~~p~~roposed ~~p~~project has a direct nexus to enhancing terrorism preparedness** – the project has a direct nexus to either~~,~~ preventing, protecting against, mitigating the damage from, responding to or recovering from threats or acts of terrorism~~.~~; **and~~and~~**,

- **~~The project maintains an existing priority capability~~**, ~~e.g., maintains a NIMS Typed response team, or is a self-contained project that will be completed or completes a phase of a larger initiative or completes the overall initiative already underway, e.g., completing equipment upgrades for a Regional Communications System Authority, **and**~~
  - **~~The proposed project provides clear linkage~~** ~~between the project and the listed Strategy objective(s) and how the project will support implementation of the objective(s), addresses capability gaps from the regional 2011 Bay Area capability assessment, and buys down regional risk, **and**~~
(4) **Each project is regional insofar as it directly benefits ~~3~~ three or more ~~OA's~~ operational areas in the Bay Area region**~~:~~**; and**

-
(5) **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.

All projects must satisfy all five criteria in order to be put forward to the ~~Hubs~~hubs, Advisory Group and Approval Authority. In the event any project does not meet all the criteria, the Advisory Group will provide a written explanation to the relevant ~~Hub~~ hub outlining the basis for why any one or all of the criteria are not satisfied. The

Advisory Group will then provide the hub with ~~and the Hub will be given~~ time to update the proposal ~~with the work group, to be set by the Advisory Group, to amend the project~~ and resubmit it to the Advisory Group for a second review.

The level of effort by work groups and hubs to vet and select proposals as described in this implementation guidance is not appropriate in the event that the amount of funds available is significantly lower than in prior years. If the event that the amount of money in excess of the amount set aside by the Approval Authority for pre-determined core regional projects is under <$1 million> (amount TBD by Approval Authority), then the Bay Area UASI General Manager will allocate such funds for regional purposes at his discretion.

~~In the event available funding for projects is of such a small amount that allocating the funding across all of the goals and objectives listed above would prove unworkable, as determined by the Advisory Group, the funding shall be allocated among the goals based on a methodology below.~~

~~For the Funding Reallocation Process:~~

~~1. Jurisdictions and programs should have the ability to transfer funds to another approved project within the existing allocation of their agreement to a project that can be completed within the closing period of the grant. If the jurisdiction or program does not have any projects that can be completed then;~~

~~2. The jurisdiction or program should have the unspent grant allocation transferred to another jurisdiction or program within their Hub that has projects that can be completed within the closing period of the grant. Jurisdictions or programs within a Hub may neutrally transfer funds from one grant year to another grant year. If the jurisdictions or programs within a Hub do not have any projects that can be completed then;~~

~~3. The Hub should have the unspent grant allocation transferred to another Hub's approved projects that can be completed within the closing period of the grant. Hubs may neutrally transfer funds from one grant year to another grant year.~~

~~The UASI Management Team should assist jurisdictions and Hubs with:~~

~~a. Identifying projects that are on the list from (Item #1 above)~~
~~b. Identifying opportunities for potential neutral transfers of funding from one grant year to another~~
~~c. Monitoring the status of time sensitive projects~~
~~d. Ensuring that UASI documentation for the transfer of funding is completed as expeditiously as possible.~~

Any unspent sustainment single project funding over $250,000 should be distributed proportionately to each Hub (based on the current Hub funding risk allocation formula) for projects that can be completed within the closing period of the grant.

Step 5 The State's 20% Hold Back

Finally, tThe State of California is authorized to hold back up to 20% of the Bay Area's UASI allocation whatever the final funding level for 2013 turns out to be. In the event the Bay Area receives $26 million in UASI funding, the State may retain up to $5.2 million of that funding.

Footnote: In both FY 2011 and FY 2012 CalEMA only held back 17% of UASI funds. In addition, in both fiscal years, CalEMA, along with all the states that have UASI jurisdictions, was required by DHS to work with each California UASI to develop projects for funding using the 17% of UASI hold-back funds.

69.0 Work Group MeetingTimelines

Draft FY 2013 UASI Grant Timeline

October 2012Activity	Management Team issues FY13 implementation guidance, hosts kick off meeting/ webinarWhen
Work Group Meetings #1 Training on Strategy Implementation Guidance, Project Template, & Evaluation Criteria	TBD
November 8, 2012Work Group Meetings #2 Vet and Prioritize Projects	Approval Authority reviews Bay Area Homeland Security Strategy TBD
November 12-30, 2012North Bay Hub Meeting #3 Vet and Prioritize Projects	Proposals may be submitted to the Management Team by any Bay Area UASI stakeholder. Includes proposals for sustainment and core city funding projects. TBD
December 2012East Bay Hub Meeting #3 Vet and Prioritize Projects	Workgroups vet proposals TBD

January 2013South Bay Hub Meeting #3 Vet and Prioritize Projects	Hubs prioritize proposals TBD
February 2013West Bay Hub Meeting #3 Vet and Prioritize Projects	Advisory Group reviews vetted and prioritized proposed projects TBD
March 2013Advisory Group – review vetted & prioritized proposed projects	Approval Authority reviews and approves vetted and prioritized proposed projects recommended by the Advisory Group Mar 28, 2013
April 2013Approval Authority – review & approve vetted & prioritized proposed projects recommended by the Advisory Group	Estimated deadline for application to Cal EMA (approximate date pending release of FEMA guidelines & Cal EMA timeline)Apr 11, 2013
Prepare FY 2013 UASI grant application for submittal to CalEMA	Apr 18, 2013(approximate date pending release of FEMA guidelines & CalEMA timeline)

10. Allowable Spending Guidelines

Provide most recent guidance in absence of DHS guidance for FY13.

DRAFT

Appendix A

FY 2013 PROJECT PROPOSAL FORM

** not yet updated. New fields to be included:
- Name, title, telephone, and email address of Department Head
- Has Department Head approved this proposal (y/n)
- Name of Project Lead (person primarily responsible for implementation)
- Relevant Hub
- Shipping and taxes, performance bond for equipment projects
- Space for amount awarded

I. BACKGROUND INFORMATION

I.A. Primary Point of Contact Information:	
Name	
Agency	
Position Title	
Phone	
Fax	
Email	

I.B Project Name:

I.C Total Project Cost:	Annual Sustainment Costs:

I.D MISSION AREAS				
Place an X in the box(s) that correspond to the mission area your project supports				
Prevent	**Protect**	**Respond**	**Recover**	**Mitigation**
I.E 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.*				

DRAFT

II. ALIGNMENT WITH THE BAY AREA HOMELAND SECURITY STRATEGY

	II.A BAY AREA SECURITY GOALS AND OBJECTIVES
	Check 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 Chemical, Biological, Radiological, Nuclear, and Explosives (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

II.B List each Objective (by number) from the Bay Area Homeland Security Strategy the project supports, and explain how the project supports the Objective and addresses gaps from the 2012 regional capability assessment. ~~II.B List each Objective and Implementation Step (by number) from the Bay Area Homeland Security Strategy the project supports, and explain how the project supports the Objective and addresses gaps from the 2011 regional capability assessment.~~

OBJECTIVE ~~OBJECTIVE~~	EXPLAIN HOW THE PROJECT SUPPORTS IMPLEMENTATION OF THE OBJECTIVE IMPLEMENTATION STEP(S)	LIST THE AMOUNT OF FUNDING FROM THE PROJECT THAT WILL BE APPLIED TO EACH OBJECTIVE ~~EXPLAIN HOW THE PROJECT SUPPORTS IMPLEMENTATION OF THE OBJECTIVE~~	EXPLAIN WHICH GAP(S) FROM THE 2011 REGIONAL CAPABILITIES ASSESSMENT THIS PROJECT WILL HELP ADDRESS. ~~EXPLAIN WHICH GAP(S) FROM THE 2011 REGIONAL CAPABILITIES ASSESSMENT THIS PROJECT WILL HELP ADDRESS.~~

III. FUNDING

III.A Provide the Proposed Funding amount for this project towards applicable Planning, Organization, Equipment, Training, and Exercises (POETE) elements. *(Please check the appropriate box(es) on the left side for all that may apply). Also, for each funding area selected, provide a brief narrative describing the items or services being funded.*

ELEMENT	PROPOSED FUNDING
☐ Planning	$
☐ Organization	$
☐ Equipment	$
☐ Training	$
☐ Exercises	$
TOTAL PROJECT COSTS	**$**

If applicable, provide the proposed funding amount from the project that can be obligated towards Law Enforcement Terrorism Prevention Activities (LETPA) funding.

$

Planning

Comment [cs2]: Include language about EOP updates demonstrating that they are following grant requirements of FY 12

Organization

> **Comment [cs3]:** MAKE SURE YOU INCLUDE THE QUANTITY AND COST BREAKDOWN OF EACH ITEM. Also include "typing" information as required by FY 12

Training

Exercises

III. B Other Source(s) of funding that is being requested or utilized for this project *(check the appropriate box(es) on the left side)*	
FUNDING SOURCE	**PROPOSED FUNDING**
☐ SHSP	$
☐ CCP	$
☐ MMRS	$
☐ General Funds	$
☐ Other Grant Funds	$
TOTAL OTHER FUNDING	$

Other Funds: Explain how any non-UASI funds, such as general funds, SHSP, ASPR grants, etc., will be used to implement this project.

III.C. For each selected Strategy Objective(s)/Target Capability listed in Question II.B., provide the proposed funding amount to be obligated from this project. The total funding listed for all Objectives/Capabilities should equal the total funding for the project.	
Strategy Objective/Target Capabilities (Capabilities Selected Must Match with Section II.B.)	**Amount of Funding per Objective/Capability**
Planning	
Communications	
Community Preparedness and Participation	
Risk Management	
Intelligence and Information Sharing and Dissemination	
Information Gathering and Recognition of Indicators and Warnings	
Intelligence Analysis and Production	
Counter Terror Investigation and Law Enforcement	
CBRNE Detection	
Critical Infrastructure Protection	
Food and Agriculture Safety and Defense	
Epidemiological Surveillance and Investigation	
Laboratory Testing	
On-Sight Incident Management	
Emergency Operations Center Management	
Critical Resource Logistics and Distribution	
Volunteer Management and Donations	
Responder Safety and Health	
Emergency Public Safety and Security	
Environmental Health	
Explosive Device Response Operations	
Fire Incident Response Support	
WMD and Hazardous Materials Response and Decontamination	
Citizen Evacuation and Shelter-in-Place	
Isolation and Quarantine	
Search and Rescue (Land-Based)	
Emergency Public Information and Warning	
Emergency Triage and Pre-Hospital Treatment	
Medical Surge	
Medical Supplies Management and Distribution	
Mass Prophylaxis	
Mass Care (Sheltering, Feeding, and Related Services)	
Fatality Management	
Structural Damage Assessment	
Restoration of Lifelines	
Economic and Community Recovery	

IV. Project Impacts and Outcomes

IV.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.

V. Project Management

V.A Identify up to ten milestones, with start and end dates, which will be achieved within the twenty month (20) period of performance under the FY 2013 UASI grant. No start date should begin before January 1, 2014 and no end date should end after September 30, 2015.

MILESTONE NUMBER	MILESTONE NAME/DESCRIPTION	START DATE (MM/DD/YYYY)	END DATE (MM/DD/YYYY)
1			
2			
3			
4			
5			
6			
7			

8			
9			
10			

V.B Project Status. Place an X in the corresponding box:

		☐	~~This project is a maintenance project.~~
		☐	~~This project is a self-contained project.~~
		☐	~~This project is part of an ongoing initiative.~~
		☐	~~This is a "Shovel Ready" Project~~
		☐	This project can be completed within 6 months of funding allocation

~~Explain if and how this is a "Shovel Ready" project *and* whether this project can completed within 6 months of funding being allocated to the project.~~Explain how funding for this project will either maintain a capability in the region, complete a self-contained project, or complete a larger initiative or a phase of a larger initiative of which this project is a part of? Explain how the project will result in completion.

equ

Inf

DRAFT

V.C Sustainment: 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.

DRAFT