

BAY AREA UASI

UASI FY15 Project Proposal KICK OFF

September 24, 2014
9:30 AM - 12:30 PM

Alameda County Sheriff's Office – OES
4985 Broder Blvd., Dublin, CA 94568
Assembly Room





Welcome & Introductions

UASI Management Team Presenters:

- Janell Myhre, Regional Program Manager
- Dave Frazer, Project Manager
- Mary Landers, Regional Grants Manager
- Mikyung Kim-Molina, Contracts Analyst
- Maw Maw Thein Tun, Grants Accountant





Agenda

- **The FY15 UASI Program**
 - Overview, Requirements, Priority Capabilities
- **Proposal Application Guidelines**
 - Funding allocations, Eligible Projects
- **BREAK**
- **Completing/Submitting the Online Template Form**
- **Grant Management**
 - From Proposal to Closeout and Compliance
- **Question and Answer**





Nexus To Terrorism

- All Proposals **MUST** specify how the activities will support terrorism preparedness
- Proposals **MAY** also support preparedness for other hazards, including natural disasters and other major incidents.





Project Proposal Requirements

Proposed projects must:

- Be submitted by a government agency within the 12 county Bay Area footprint
- Be submitted by the person primarily responsible for project implementation (project lead)
- Have approval of the relevant department head
- Be regional by directly benefitting at least two operational areas
- Address regional and/or Op Area Risks and Threats
- Enhance the region's priority capability objectives





Priority Capability Objectives

NOTE: All FY15 proposed projects must fulfill at least one priority capability objective to be eligible. See the FY15 Project Proposal Guidance for detailed descriptions.

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 & Infrastructure Protection Capabilities

- **Objective 2.1 Enhance Intelligence Collection, Analysis and Sharing**
- **Objective 2.2 Strengthen Terrorism Attribution, Interdiction and Disruption Capabilities**
- **Objective 2.3 Increase Critical Infrastructure Protection**
- **Objective 2.4 Enhance Cyber Security**





Priority Capability Objectives

Goal 3: Strengthen Communications Capabilities

- **Objective 3.1 Enhance Operational Communications Capabilities**

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

- **Objective 4.2 Strengthen Mass Search and Rescue Capabilities**
- **Objective 4.3 Enhance Screening Search and Detection Capabilities**
- **Objective 4.4 Strengthen On-Scene Security and Protection through Explosive Device Response Operations**
- **Objective 4.7 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 5.8 Enhance Fatality Management**





Priority Capability Objectives

Goal 6: Strengthen Emergency Planning and Citizen Preparedness Capabilities

- **Objective 6.1 Strengthen Emergency Public Information and Warning Capabilities**
- **Objective 6.2 Strengthen Operational Coordination Capabilities**
- **Objective 6.5 Increase Community Resiliency**

Goal 7: Enhance Recovery Capabilities

- **Objective 7.1 Strengthen Infrastructure Systems**

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

- **Objective 8.1 Strengthen the Regional Exercise and Evaluation Program**
- **Objective 8.2 Enhance the Regional Training Program**





Allocation of Funding

Actual FY 2014 Allocations

East Bay Hub	\$ 1,370,874
North Bay Hub	\$ 406,868
South Bay Hub	\$ 1,397,999
West Bay Hub	\$ 2,249,166
Regional/Sustainment	\$10,941,093

The above funding amounts are being used for the FY15 Project Selection Process. Actual FY15 Allocations won't be determined by the Approval Authority until after the Department of Homeland Security has issued the Funding Opportunity Announcement (FOA).





Spending Guidelines

- Follow Interim FY15 Project Proposal Guidance - based on FY14 federal guidelines
- Break down all costs associated with the project
- Determine Compliance Requirements – RFP, Sole Source, EHP, Performance Bond, EOC, Watercraft and Aviation
- Carefully calculate personnel needs and requests
- Grant has a mandated limit on personnel costs so Hubs should plan on a 10% cap.





Eligible Projects

All Projects must fall into one of the following solution areas:

- PLANNING
- ORGANIZATION
- EQUIPMENT
- TRAINING
- EXERCISE





Planning

Funds may be used for a wide range of community preparedness and emergency management activities:

- Must include participation by all stakeholders in a whole community approach
- Should be flexible, addressing incidents of varying types and magnitudes
- Should incorporate and build on initiatives which leverage multiple resources
- Provide a deliverable upon completion of the activity





Equipment

Funds may be used for Equipment projects

- All requested equipment must have a description and an number designation on the Authorized Equipment List (AEL)
- The list can be found at:
<https://www.ilis.dhs.gov/knowledgebase/authorizedequipmentlist>
- For all equipment requested, costs must be broken down by:
 - AEL #
 - sales tax
 - shipping
 - installation



Training and Exercise

- The Regional Training and Exercise Program reviews and approves all training and exercise requests
- Submit T&E requests at: <https://www.bauasitep.org/>
- ❖ Exception 1: Any Exercise requests that exceeds \$50K must be vetted through either the Hub or Advisory Group Selection Process
- ❖ Exception 2: Training related to equipment proposals go through the Hub process as equipment

AEL# 21GN-00-TRNG: Training on any piece of equipment either through original vendor or local entities





BREAK



FY2015 Project Proposal Form



FY2015 UASI PROJECT PROPOSAL FORM

draft

Stop: You must save this file and reopen before beginning work. Do not complete in your browser window.

1. OVERVIEW

HUB, Core City or Regional	<input type="text"/>	Operational Area	<input type="text"/>
Agency	<input type="text"/>		
Project Name	<input type="text"/>		
Total Project Cost	<input type="text"/>		
Allocation Requested	<input type="text"/>		
Minimum Allocation Request	<input type="text"/>		

PROJECT LEAD CONTACT INFORMATION

Name	<input type="text"/>	Title	<input type="text"/>
Business Phone	<input type="text"/>	E-mail	<input type="text"/>
Cell	<input type="text"/>	Fax	<input type="text"/>

DEPARTMENT HEAD CONTACT INFORMATION


Name	<input type="text"/>	Title	<input type="text"/>
Phone	<input type="text"/>	E-mail	<input type="text"/>
Department Head Approval	<input type="checkbox"/> Yes <input type="checkbox"/> No		

Project Proposal Form Demonstration

[FY2015 Project Proposal Form
- Kick Off Version](#)



Preparing your Proposal

1. Ensure you have the latest version of Adobe Reader (*currently Adobe Reader XI*) installed on your computer.
2. Log onto the BAUASI Website- www.bayareauasi.org
3. Click on the Resources Tab - Proposal Process
4. Download the “Project Proposal Submission Form”
5. Warning:  **Apple / Mac Users**
Open PDFs with Adobe Reader
Preview doesn't work!





Preparing your proposal cont'd

6. **Save the downloaded form to your computer!!!!**
7. Working from this downloaded form on your own computer, prepare your project proposal
8. Use the following naming convention for each project:
 - Name of Hub, Name of Core City, or Regional
 - Operational Area
 - Agency Name
 - Project Name

Example: San Jose–SCC–SJPD–Dual Band Portable Radios.pdf



Submitting your Proposal

After Saving the form to your computer:

1. All required information in the form must be completed before submission- these are highlighted in **RED**
2. Save the form one final time
3. Press the “submit” button at the bottom of the form
4. You should receive a confirmation e-mail from Adobe Forms Central that your proposal has been received, **THEN**
5. Email the completed form to David Frazer:

David.Frazer@sonoma-county.org





Online Submission Dates

Online Submissions **BEGIN**

Wednesday, Oct 1, 2014; 8:00AM

Online Submissions **END**

Friday, Oct 31, 2014; 5:00PM





Other FY15 Info

- All KICK OFF documents will be posted on the UASI website www.bayareauasi.org
- Reminder emails sent throughout the submission timeline
- Roles of each involved group is detailed in the Project Proposal Guidance
- “Below the line” projects from prior years must be re-submitted for consideration in FY15
- Core City proposals must be submitted using the same proposal process timeframe and tools





Project Submission Timeline

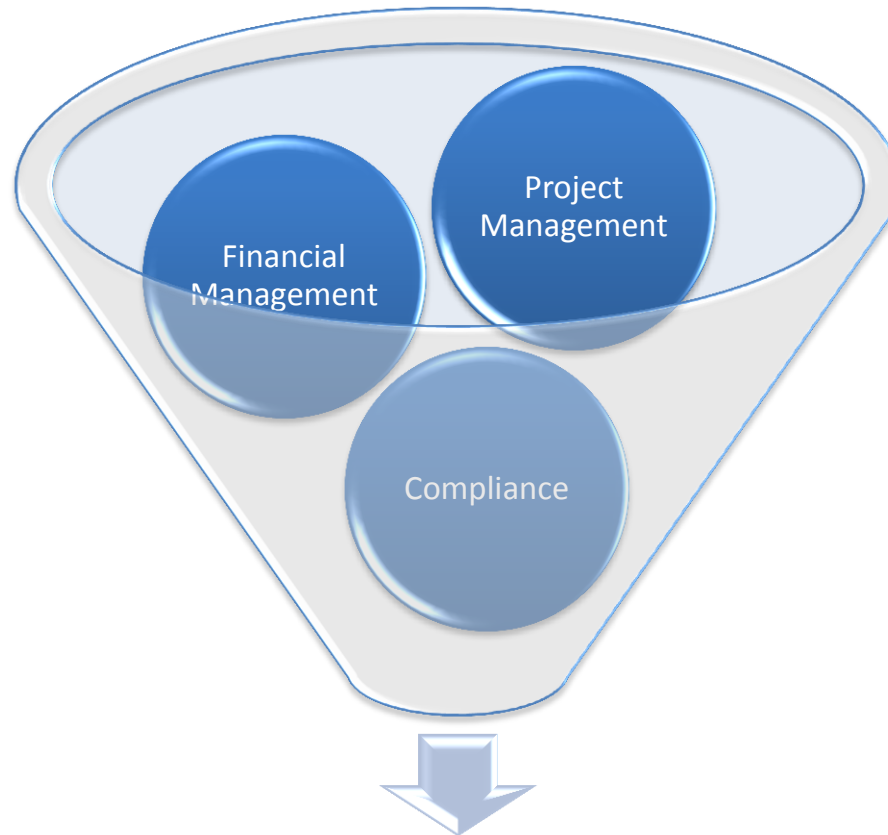
OBJECTIVE	GROUP	DATE	COMM TYPE
OUTREACH	UASI to Stakeholder	September	Email
INFORMATION	UASI to Stakeholder	September 24, 2014	Meeting/Web conference/ UASI website
PROPOSAL SUBMISSION	Stakeholders	Oct 1 – Oct 31 5:00 PM	Online Submission
REVIEW	Approval Authority	Nov 24- Dec 19, 2014	Email
PRIORITIZE	Hubs & Advisory Group	January 2015	Meeting
RECOMMEND	Advisory Group	February 26, 2015	Meeting
APPROVE	Approval Authority	March 12, 2015	Meeting



Post-Project Submission Timeline

OBJECTIVE	GROUP	DATE	COMM TYPE
PROJECT PROPOSAL INFORMATION	Stakeholders, OES Managers & UASI Work Groups	After November 15th	Email
PROJECT SELECTION RESULTS	Stakeholders	After January HUB Meetings and March 2015 AA Meeting	Email
IJ AND GRANT APPLICATION SUBMISSION	UASI Management Team	April – August 2015	Online Submission
MOU DEVELOPMENT	Stakeholders	July – Aug 2015	Email & Phone
MOU EXECUTION	Sub-recipients	Sept–Oct 2015	Email
PERFORMANCE PERIOD	Sub-recipients	Nov 2015 – Dec 2016 (Estimate)	MOU

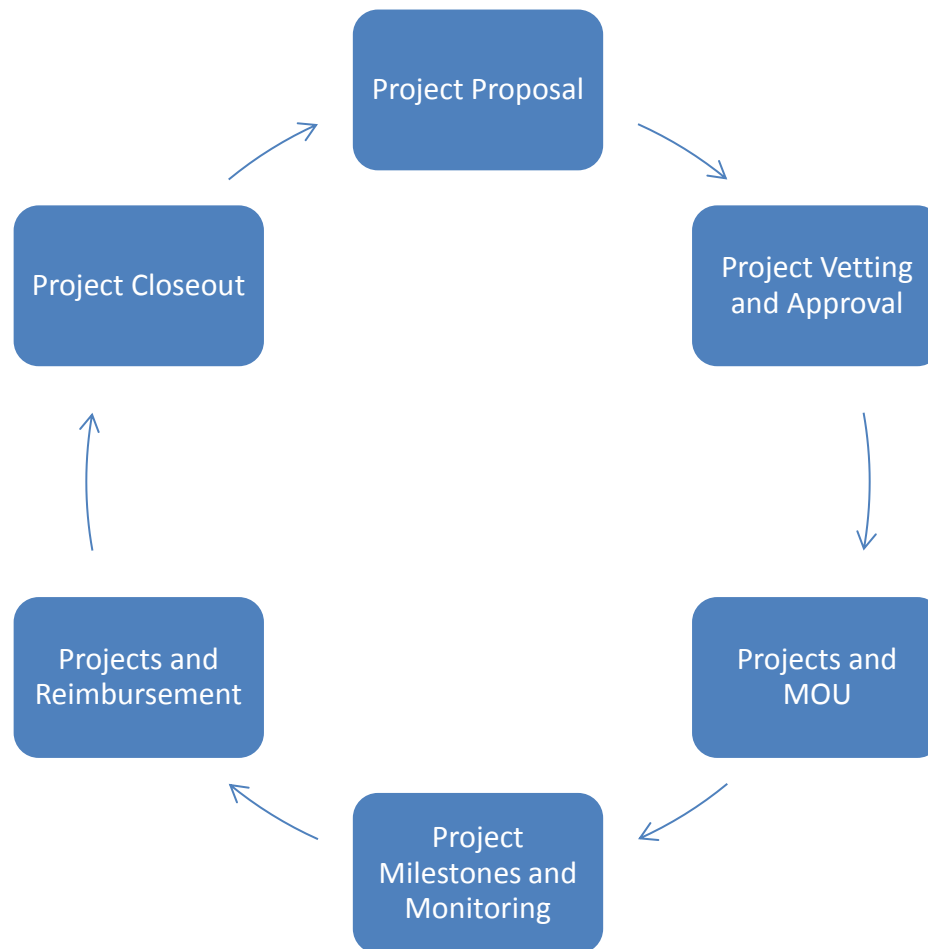
Grant Management Components



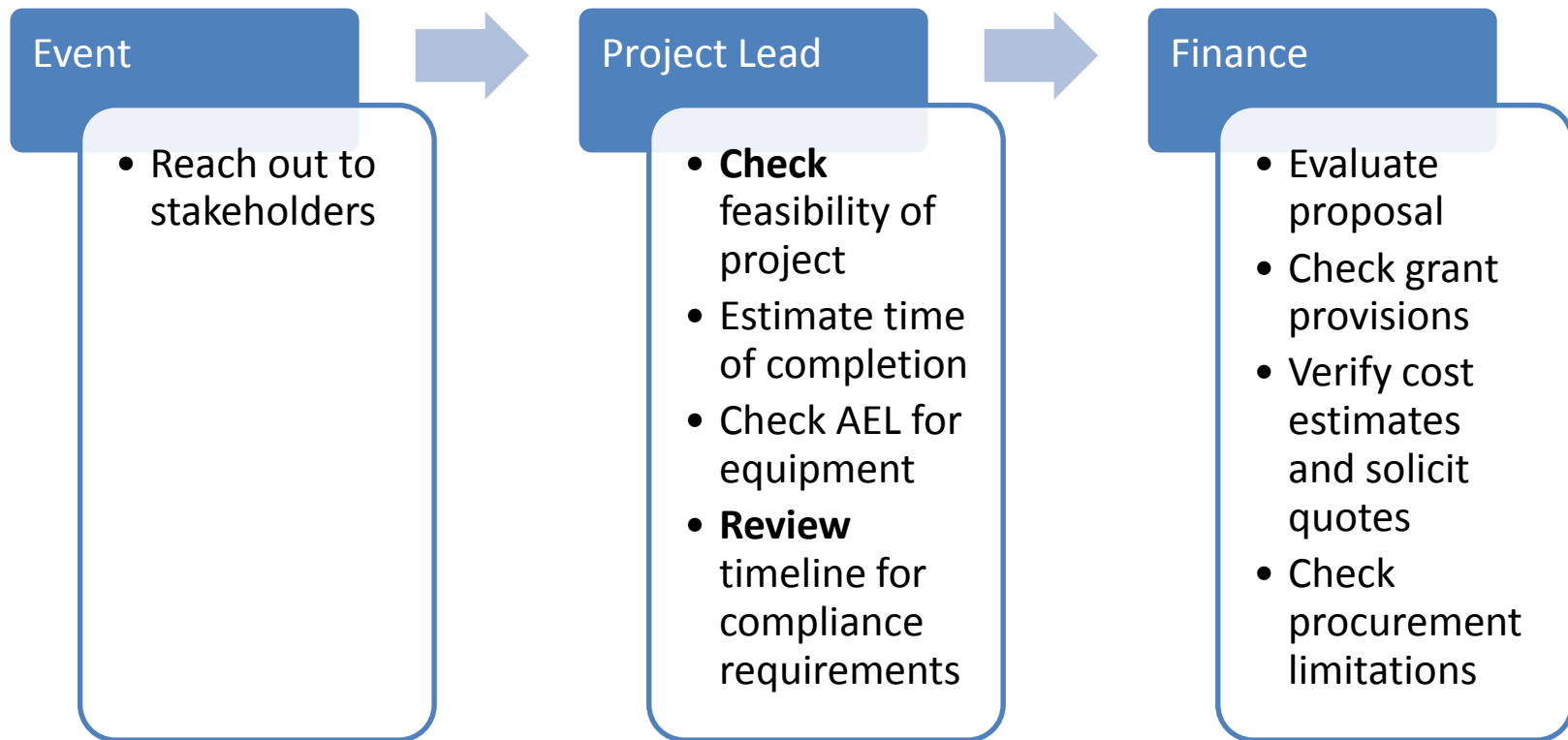
Successful Grants Management



Project Proposal to Project Closeout



Project Proposal



Project Vetting and Approval

Event

- Notification of Project Approval

Project Lead

- Draft RFP/RFQ – scope of work
- Build equipment specs and requisition

Finance

- Check RFP/RFQ for grant compliance
- Identify approval requirements- EHP, Sole Source, etc.



Projects and the MOU

Event

- Receipt of MOU

Project Lead

- Review MOU terms and milestones
- Calendar MOU for Board approval

Finance

- Review project budget
- Set up grant accounts
- Submit request for compliance approval

Project Milestones & Monitoring

Event

- Project initial execution
- Project delays
- Change in budget and scope
- Quarterly monitoring

Project Lead

- Process RFP/RFQ and equipment requisition
- Check project status and milestones
- Submit Project Change Request form for extension, budget or scope changes

Finance

- Process PO
- Check for vendor debarment
- Forward procurement documentation to UASI (PO, job description, etc.)
- Check status of compliance approval items



Projects and Reimbursement

Event

- Project Delivery

Project Lead

- Review and approve product and deliverables
- Study lessons learned

Finance

- Review deliverables for appropriateness
- Process invoice payments and payroll
- Assemble payment documentation
- Submit reimbursement claim including equipment ledger to UASI

Project Closeout & Monitoring Visits

Event

- Final check for reimbursement
- Receipt of Monitoring Visit Notification Letter
- Official Project Closeout

Project Lead

- Confirm schedule of monitoring visit
- Gather requested documentation for selected samples
- Coordinate equipment inspection
- Update equipment log on annual basis

Finance

- Verify receipt of UASI check
- Reconcile grant accounts
- Review documentation for completeness
- Review equipment log
- Observe record retention rules
- Forward Single Audit Report to UASI





What is an MOU?

The Memorandum of Understanding (MOU) is the formal agreement between the Bay Area UASI and a sub-recipient jurisdiction for the use of UASI grant funds.





What is in the MOU?

- BOILERPLATE – CCSF Requirements
- APPENDIX A – Authorized Expenditures and Timelines
- APPENDIX B – Grant Assurances
- APPENDIX C – Reimbursement Request



Boilerplate - Changes

- Grant Number
- ID Number
- CFDA Number

ARTICLE 1 DEFINITIONS

1.1 **Specific Terms.** Unless the context requires otherwise, the following capitalized terms (whether singular or plural) shall have the meanings set forth below:

(a) “**ADA**” shall mean the Americans with Disabilities Act (including all rules and regulations there under) and all other applicable federal, state and local disability rights legislation, as the same may be amended, modified or supplemented from time to time.

(b) “**Authorized Expenditures**” shall mean expenditures for those purposes identified and budgeted in Appendix A, attached hereto and incorporated by reference as though fully set forth herein.

(c) “**Event of Default**” shall have the meaning set forth in Section 7.1.

(d) “**Fiscal Quarter**” shall mean each period of three calendar months commencing on July 1, October 1, January 1, and April 1, respectively.

(e) “**Grant Funds**” shall mean any and all funds allocated or disbursed to GOLDEN GATE under this Agreement. This Agreement shall specifically cover funds allocated or disbursed from Cal OES Grant No. 2014-SS-00093, Cal OES ID No. 075-95017, CFDA No. 97.067.

(f) “**Grant Plan**” shall mean the plans, performances, events, exhibitions, acquisitions or other activities or matter, and the budget and requirements, described in Appendix A. If GOLDEN GATE requests any modification to the Grant Plan, GOLDEN GATE shall submit a written request to the UASI General Manager with the following information: Scope of change requested, reason for change, proposed plan for change, summary of approved and requested modifications to the Grant Plan, and any necessary approvals in support of change (e.g., EHP).

(g) “**Indemnified Parties**” shall mean: (i) San Francisco, including all commissions, departments including DEM, agencies, and other subdivisions of San Francisco; (ii) San Francisco’s elected officials, directors, officers, employees, agents, successors, and assigns; and (iii) all persons or entities acting on behalf of the foregoing.

(h) “**Losses**” shall mean any and all liabilities, obligations, losses, damages, penalties, claims, actions, suits, judgments, fees, expenses and costs of whatsoever kind and nature (including legal fees and expenses and costs of investigation, of prosecuting or defending any Loss described above) whether or not such Loss be founded or unfounded, of whatsoever kind and nature.

(i) “**Reimbursement Request**” shall have the meaning set forth in Section 3.10(a).

1.2 **Additional Terms.** The terms “as directed,” “as required” or “as permitted” and similar terms shall refer to the direction, requirement, or permission of City. The terms “sufficient,” “necessary” or “proper” and similar terms shall mean sufficient, necessary or proper in the sole judgment of City. The terms “approval,” “acceptable” or “satisfactory” or similar terms shall mean approved by, or acceptable or satisfactory to, City. The terms “include,” “included” or “including” and similar terms shall be deemed to be followed by the words “without limitation.” The use of the term “subcontractor,” “subgrantee,” “successor” or “assign” herein refers only to a subcontractor, subgrantee, successor or assign expressly permitted under Article 8.

1.3 **References to this Agreement.** References to this Agreement include: (a) any and all appendices, exhibits, schedules, and attachments hereto; (b) any and all statutes, ordinances, regulations



Appendix A - Changes

- New Landscape Format
- New Chart of Solution Area requirements at end of Appendix

Appendix A — Authorized Expenditures and Timelines

ENTITY: GOLDEN GATE

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>
Project B Enhance Information Analysis and Infrastructure Protection Capabilities	Equipment	Funds to sustain and maintain Automated Regional Information Exchange System (ARIES). AEL #: 04AP-04-RISK Final deadline for submittal of claims is 01/31/2016 .	Contract Award: 45 Days From Project Start Date Issuance of PO: 75 Days From Project Start Date Field Programming Services: 150 Days From Project Start Date Project Complete: 365 Days From Project Start Date	12/31/2015	Not to Exceed \$200,000
Project D Strengthen CBRNE Detection, Response, and Decontamination Capabilities	Equipment	Funds for OP Area Mobile Incident Command Vehicle. AEL #: 12VE-00-CMDV 21GN-00-STAX Final deadline for submittal of claims is 01/31/2016 .	Sole Source Approval: 60 Days From Project Start Date Contract Award: 90 Days From Project Start Date Performance Bond: 120 Days From Project Start Date Issuance of PO: 125 Days From Project Start Date Deploy Equipment: 365 Days From Project Start Date	12/31/2015	Not to Exceed \$283,913
		TOTAL ALLOCATION			NOT TO EXCEED: \$483,913



Appendix C - Changes

- Updated Federal Gov't Certification Statement
- Agencies must sign and submit this statement with Schedule 1 on all reimbursement requests

- (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 GOLDEN GATE is in compliance with all Grant Assurances in Appendix B of the Agreement. Furthermore, by signing this report, GOLDEN GATE certifies to the best of their knowledge and belief that the report is true, complete and accurate and expenditures, disbursements, and cash receipts are for the purpose and objectives set forth in the terms and conditions of the federal award. GOLDEN GATE is aware that any false, fictitious or fraudulent information or the omission of any material fact, may subject GOLDEN GATE to criminal civil or administrative penalties for fraud, false statements, false claims or otherwise.
- (d) No Event of Default has occurred and is continuing.
- (e) The undersigned is an officer of GOLDEN GATE authorized to execute this Reimbursement Request on behalf of GOLDEN GATE.

Signature of Authorized Agent: _____

Printed Name of Authorized Agent: _____

Title: _____ Date: _____



Appendix C - Changes

Expanded Schedule 1:

- Authorized Expenditures chart
- Checklist of required attachments by solution area

SCHEDULE 1 TO REQUEST FOR REIMBURSEMENT

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

Project	Payee	Amount	Description	If final claim for project, check box
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

The following are attached as part of this Schedule 1 (Please check items that are applicable):

Planning:

- Invoice/Payroll Charges
- Payroll Register
- Cleared Check Payment
- Job Description
- Functional Timesheets
- Deliverables/Progress Reports

Organization:

- Invoice/Payroll Charges
- Payroll Register
- Cleared Check Payment
- Job Description
- Functional Timesheets
- Deliverables/Progress Reports

Equipment:

- Invoice
- Cleared Check Payment
- Purchase Order
- Packing Slip
- EHP Approval
- EOC Approval
- Watercraft or Aviation
- Sole Source
- Performance Bond
- Equipment Ledger (Please submit electronic copy to Grants Specialist)

Training:

- Invoice
- Cleared Check Payment
- Training Feedback Number
- EHP Approval
- Certificates/Proof of Participation
- Sign In Sheet
- Agenda

Exercise:

- Invoice
- Cleared Check Payment
- After Action Report
- EHP Approval
- Overtime Authorization

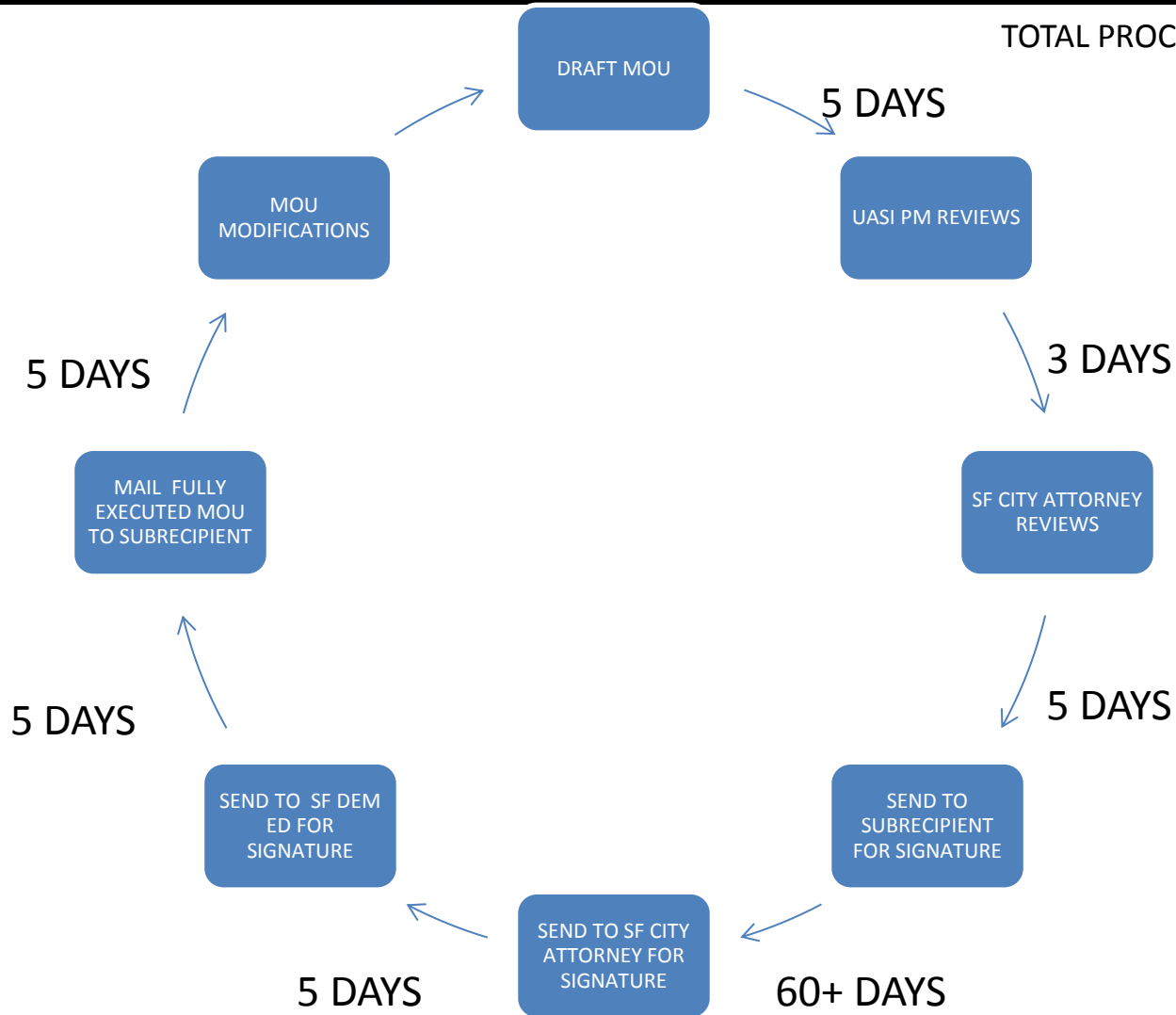
For inquiries/questions, please contact:

Print Name _____ Phone #: _____ Email: _____



MOU Approval Process

TOTAL PROCESS TIME: ~90 DAYS



Procurement Phases

SOLICIATION PHASE

SELECTION PHASE

NEGOTIATIONS AND
CONTRACTING PHASE





Solicitation Phase

Engage in a full and open competitive bidding process

Obtain local sole source approval as well as State sole source approval, if necessary





Selection Phase

Include a selection panel comprised of subject matter experts

Selections must be based on criteria published in the RFP/Q

Observe confidentiality

Need signed impartiality/conflict of interest statements from selection panel members

Contractor cannot be debarred or suspended





Negotiation/Contract Phase

Costs must be reasonable and consistent

Include a clearly written scope of services

Work must be performed & paid for entirely within grant performance period



Sole Source Submissions- State

If the project exceeds \$100k, state approval required

Brief, clear project description w/ vendor contact info

Must describe a COMPELLING and PERSUASIVE need for approval

Include info on research performed

Only 2 of the 3 possible options are used (one source or one bidder)

Provide jurisdiction's regulations for sole source procurement

Confirm vendor is not debarred or suspended

Perform Cost Benefit Analysis



Sole Source- Cost Benefit Analysis

This is about the **financial** benefit to the agency

Provide specific fiscal information (i.e. \$ saved)

Do not spend time describing the safety benefits to staff

Personnel examples include: staff and their salaries

Training examples include: interoperability of equipment

Equipment examples include: multiple purchases needed to obtain the same goals



Required Forms- EHPs

Equipment EHPs

www.LLIS.DHS.gov/knowledgebase

Note at bottom of description

Possible EHP

Is Equipment Portable?

If Yes- NO EHP required

If No- EHP IS required

Training EHPs- Classroom or Field Based

Classroom based- NO

Field based- YES



EHP Submissions

State approval
required first!

Project Lead
works with
jurisdiction

Form can be filled
out electronically

Brief, clear
project
description

Include quantities
of items and total
cost

Physical location
of training or
installation

Provide aerial
and ground level
photos



Aircraft/Watercraft Forms

State approval
required first!

Assist Project
Leads in
preparation

Provide a clear
justification of
need

Describe how
equipment will be
used

Identify UASI
Goals/Objectives

How will
watercraft be
used

Provide
certification on
agency letterhead



EOC Request Forms

State approval
required first!

Assist Project
Leads in
preparation

Describe how
EOC improves
the organization

Identify other
sources of
funding

Provide
equipment
list/costs

Explain “other”
items

Are costs
reasonable?





Performance Bonds

Required for:

- All purchases over \$250K, or any vehicles, aircraft or watercraft

Acts as:

- Insurance policy for jurisdiction

Allows you to:

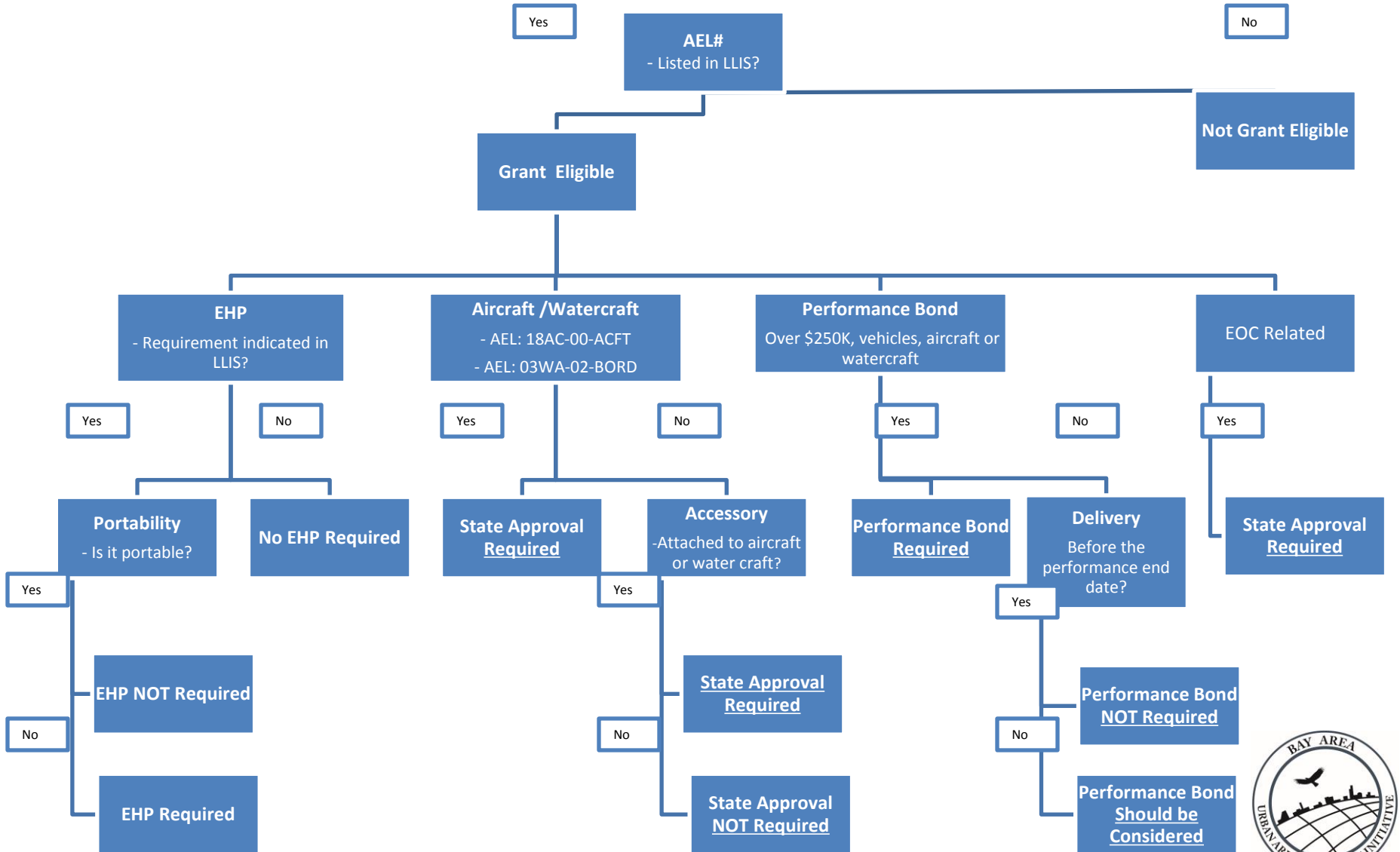
- Meet UASI performance period deadline with delivery by end of Cal OES' performance period

How much:

- Typically about 1% of the purchase price



Compliance Chart





Regional and Hub POC

East Bay Hub: Cmdr Dennis Houghtelling, UASI /Alameda SO; 510-225-5891
dhoughtelling@acgov.org

North Bay Hub: Brendan Kearney, North Bay Hub Planner; 707-565-2820
brendan.kearney@sonoma-county.org

South Bay Hub: Corinne Bartshire, UASI Management Team; 415-353-5234,
corinne.bartshire@sfgov.org

West Bay Hub: Capt. Denise Flaherty, West Bay Hub Coordinator, CCSF; 415-850-4930
denise.flaherty@sfgov.org

Lt. Jeff Kearnan, West Bay Hub Coordinator, San Mateo County; 650-599-1295
JKearnan@smcgov.org

Advisory Group: Catherine Spaulding, UASI Management Team; 415-353-5222
catherine.spaulding@sfgov.org





Question and Answer

Contact Dave Frazer:

David.Frazer@Sonoma-County.org or

(707) 565-1108

with any FY 15 Application Process Questions

See the Bay Area UASI Web page: www.bayareauasi.org

for the full grants management training, Project Proposal Guidance, meeting documents, and other information



Bay Area Urban Areas Security Initiative

www.bayareauasi.org

BAY AREA UASI

