



**Project Proposal Guidance  
for Fiscal Year 2022**

Approved by the Approval Authority on June 10, 2021

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**This guidance provides an overview of the process and requirements for applying for funds through the Bay Area UASI for the FY22 grant year. Please note that this guidance remains interim until the Department of Homeland Security (DHS) releases the FY22 Notice Of Funding Opportunity (NOFO). This guidance does not include the updated rules governing allowable expenses under the UASI grant for FY22.**

## Section 1. UASI Grant Program Overview

The Bay Area UASI Program provides regional funding through a Homeland Security Grant Program (HSGP) award from the Department of Homeland Security (DHS) that is designed to assist high-threat, high-density Urban Areas in efforts to build, sustain, and deliver the capabilities necessary to prevent, protect against, mitigate, respond to, and recover from acts of terrorism.

## Section 2. Grant Planning Process

Each year, planning efforts for the Bay Area UASI grant program begin before the release of grant funds. These efforts combine the requirements of the Notice of Funding Opportunity (NOFO) with the Bay Area Threat and Hazard Identification and Risk Assessment/Stakeholder Preparedness Review (THIRA/SPR).

### *Grant Funding*

Grant funding amounts are based on the preceding year's award (e.g., the FY 21 award amounts will be used for planning the FY 22 funding amounts). The Bay Area UASI conducts a project proposal process where agencies are required to submit applications into the online WebGrants system. (See pg. 6). While the previous year's funding amounts are used for planning purposes, the actual award amount may be different.

### *Grant Award*

The HSGP grant is initially awarded to Cal OES as the grantee; and thereafter funds are allocated to the Bay Area UASI (BAUASI), as a sub-grantee. The BAUASI receives a net award after CalOES subtracts a percentage (up to 20%) for their Management & Administration. Within the net award, the BAUASI determines funding allocations through a four-tiered process.

### *Grant Allocation Process*

The grant allocation process consists of a four-tiered process:

- First, priority is given to meet the directives of the Notice of Funding Opportunity (NOFO). In UASI FY 2021, DHS required allocating 30% of the funding award to five National Priority projects. (See Section 4)
- Second, an allocation of \$1 million each is awarded to the cities of Oakland, San Francisco, and San Jose. (See Section 5)
- Third, an allocation is made to the Bay Area Training and Exercise Program (BATEP) sustainment initiative. **Note:** DHS has prescribed Fusion Center funding as one of the National Priority projects. The Northern California Regional Intelligence Center (NCRIC) has now been removed from the list of sustainment initiatives. (See Section 6)

- Fourth, after meeting all NOFO requirements, allocations are granted to the four (4) Hubs. To receive these funds, eligible agencies must submit project proposals into the online WebGrants system. (See Section 7)

### **Section 3. Project Proposal Criteria**

As described in Section 2, agencies seeking Hub funding may identify and propose eligible projects. Certain compliance criteria, identified by federal grant guidelines, must be met. All Hub-submitted project proposals must meet the following criteria:

- Have a clear “nexus to terrorism,” – i.e., the proposal must specify how the activities will support preparedness for terrorist incidents
- Directly benefit at least two operational areas
- Support at least one of the region’s homeland security goals (see Section 9)
- Include only allowable expenses under UASI grant guidelines (See Appendix C)
- Describe how the proposed investment supports closing gaps or sustaining capacity in one or more of the 32 core capabilities.

In addition, proposals may only be submitted by a local government agency within the twelve-county Bay Area UASI footprint and must have approval of the relevant department head. Community-based and nonprofit groups must submit proposals through a government sponsor/partner.

The person submitting the form must be the person who will be primarily responsible for implementing the project (“Project Lead.”) This same person is also required to either attend the proposal kick off meeting on Thursday September 16, 2021 or listen to the webinar version on the UASI website ([www.bayareauasi.org](http://www.bayareauasi.org)) prior to submitting the project proposal.

### **Section 4. National Priority Project Funding**

In FY 21, DHS required the funding of 5 National Priority projects, as follows:

- Enhancing cybersecurity – 7.5% (increased from 5%)
- Enhancing the protection of soft targets/crowded places – 5%
- Enhancing information and intelligence sharing and analysis, and cooperation with federal agencies, including DHS – 5%
- Combating domestic violent extremism – 7.5% (new for FY 21)
- Addressing emergent threats (e.g., transnational criminal organizations, unmanned aircraft systems [UASs], weapons of mass destruction [WMD], etc.) – 5%

The total amount of required funding for the five FY 21 National Priority projects amounted to \$8,898,751 (or 3 projects at \$1,528,125 each and 2 projects at \$2,292,188 and \$2,292,188 respectively).

National Priority projects are reviewed by DHS for risk and effectiveness. Projects not meeting the effectiveness criteria, remain unfunded and on hold until the effectiveness of the proposed project(s) is reviewed and confirmed by DHS.

### ***National Priority projects:***

All potential National Priority projects will be presented to, discussed, and vetted by the appropriate BAUASI designated work group.

- The UASI Management Team will identify potential National Priority Projects and meet with appropriate work groups and subject matter experts to review and discuss them for feasibility and effectiveness.
- Members of the work group may also suggest ideas for National Priority Projects that fall within grant requirements (See Appendix A)
- Once vetted, project summaries will be presented to the Approval Authority for their review and approval.
- Project concepts that are approved by the Approval Authority and meet the FY 2022 NOFO guidance will be drafted in further detail for submission to CalOES during the grant application process.
- The BAUASI Management Team will act as the project lead on most National Priority Projects seeking support from Bay Area stakeholders as needed.

See Appendix A for details on the required risk and effectiveness criteria per DHS.

## **Section 5. Core City Funding**

Annually, the Bay Area UASI funds the three cities of Oakland, San Francisco, and San Jose with “core city” funds. Each city receives \$1,000,000. Core city project applications are submitted in WebGrants as a “core city” project. The following requirements must be followed:

- Have a clear “nexus to terrorism,” – i.e., the proposal must specify how the activities will support preparedness for terrorist incidents
- Support at least one of the region’s homeland security goals (see Section 9)
- Include only allowable expenses under UASI grant guidelines (See Appendix C)
- Describe how the proposed investment supports closing gaps or sustaining capacity in one or more of the 32 core capabilities.

## Section 6. Sustainment Funding

Because DHS mandated the assignment of the Fusion Center and Information Sharing Projects as one of the National Priority Projects, at the direction of the Approval Authority, only one Sustainment Project, the Bay Area Training and Exercise Program (BATEP), will be funded by the FY 22 UASI grant program.

All requests or proposals for training courses should be submitted through the Training and Exercise Work Group (TEWG) and are ineligible for submission via WebGrants. Please contact Wendy Suhr for more information about the TEWG at [Wendy.Suhr@sfgov.org](mailto:Wendy.Suhr@sfgov.org).

## Section 7. Hub Funding

The Bay Area is divided into four (4) geographic areas or Hubs. Project proposals requesting funds from the Hub allocations will be designated as either a “North, South, East, or West” Hub project. As stated above, until the FY22 grant award is announced, the Bay Area UASI will operate under the assumption that the FY22 funding will be equal to the amount awarded in FY21. For reference, below please find the FY21 UASI Hub allocations.

### FY 21 UASI Hub Allocations

East Hub	\$ 1,526,698
North Hub	\$ 562,791
South Hub	\$ 1,606,835
West Hub	\$ 2,697,156

### *New! 2 Year Funding Cycle*

Each year, the amount of funding requested vastly exceeds the amount of funding available. In order to increase efficiency and provide an opportunity for Hubs to plan for larger projects that may exceed the 14-month project performance period, the UASI Management Team established a 2-year funding cycle. Project proposals reflecting the FY22 and FY23 periods of performance will be accepted via WebGrants during September 17 – October 8, 2021.

Beginning in FY22, the funding amount of all projects submitted within each Hub may only exceed the 2-year anticipated allocation amount to the Hub by 10%. This additional 10% will act as a contingency in case of funding increases. The amounts below reflect two times the amount of the FY 21 allocation plus ten percent of the FY21 allocation as a contingency.

### FY 22-23 UASI Hub Allocations

East Hub	\$ 3,206,066
North Hub	\$ 1,181,861
South Hub	\$ 3,374,354
West Hub	\$ 5,664,028

Hubs are strongly encouraged to meet prior to the kick-off meeting in September to discuss the submission of projects so they do not exceed the above listed FY 22-23 Hub allocation amount. Please see Section 11 below for the discussion of project prioritization.

## Section 8. Developing and Submitting Proposals

FY 22 UASI proposals for core city or hub funding must be submitted through the WebGrants system between Friday, September 17 and Friday, October 8, 2021. All proposals must be submitted by 5pm on Friday, October 8. Late proposals will be ineligible.

### *Kick off Meeting:*

All persons submitting FY 22 proposals are required to either attend the FY 22 proposal kick off workshop/webinar on Thursday, September 16, 2021 or review the webinar prior to submitting a proposal (available at [www.bayareauasi.org](http://www.bayareauasi.org)).

**Please note:** While the Management Team will notify our primary stakeholders of the kickoff meeting, ultimately, county and core city leadership are responsible for distributing notification emails regarding UASI project proposal information to a wider audience within their cities and agencies.

### *Drafting your proposal:*

All proposals must include a brief description of the project and requested funding amount. Additionally, proposers must determine which Goal and Core Capability their project helps address. Attached as Appendix B, is a guide to the drafting of proposals (investment justification). Table 1 in the document provides a list of investments by number, the Bay Area UASI Goal, and the appropriate UASI Core Capability. The appendix also provides further descriptions and project ideas that may be eligible within each investment area.

### *WebGrants System:*

All proposals must be submitted through WebGrants. Due to changes by FEMA a sample proposal will be made available closer in time to the actual submission process. The Management Team

will offer training on using the system for submitting proposals at the Thursday September 16 proposal kick off workshop/webinar.

***Hubs exceeding the allocation amount:***

The UASI Management Team will monitor the hub applications during the application period. Should the total amount of the submitted projects exceed the total amount identified in Section 7, staff will notify the appropriate Approval Authority member(s) for their guidance.

**Additional information:**

***Local Jurisdiction Internal Vetting:***

It is strongly recommended that Bay Area UASI jurisdictions conduct their own internal vetting process to identify which proposals should be submitted for UASI funding. With a two-year funding cycle, it is important that hubs meet to make some pre-determinations about the type of projects they want to submit.

Counties sometimes conduct UASI project vetting along with their State Homeland Security Program (SHSP) decision-making processes. While this vetting is the responsibility of each jurisdiction, the Management Team is available upon request to assist jurisdictions in facilitating their internal vetting processes.

***Management Team Support:***

Management Team staff is available to answer questions and provide support on compliance, proposal criteria, and using the WebGrants system. All proposers are urged to seek Management Team staff assistance in order to submit timely and compliant proposals. Please contact [Mary.Landers@sfgov.org](mailto:Mary.Landers@sfgov.org) with any questions.

***Proposals for Staff Positions:***

Funding requests for any staff position must be submitted as an individual proposal. Multiple positions may not be bundled within one proposal nor can positions be combined with other funding uses (e.g., equipment, training) within one proposal. Please also note that all staff positions are limited to a maximum performance period of 14 months for each grant year. Due to the 2 year budget cycle, the amount requested in the proposal will now reflect two (2) 14 month periods (one period for each grant year).

***Support of THIRA and SPR process:***

As stated above, the Department of Homeland Security (DHS) requires that the region submit a Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) on an annual basis. The SPR is a self-assessment of the region's current capability levels against the targets identified in the THIRA.

All projects (i.e., core city, Hub, or National Priority) shall describe how the proposed investment supports closing capability gaps or sustaining capabilities identified in the THIRA/SPR process. More detail is provided in Appendix B- “Bay Area UASI FY 2022 Guidance for Writing Your Grant Application”.

**Section 9. Role of the Work Group**

The Bay Area UASI encourages subject matter experts to discuss potential National Priority Area projects within Bay Area UASI work groups. Work group meetings are open to all governmental agencies within the twelve county footprint of the Bay Area UASI. They meet on a monthly or quarterly basis and are chaired by project managers from the UASI Management Team. Approval Authority members should ensure their jurisdictions are represented in work groups for optimum inclusion in UASI project discussions. Each work group aligns with Bay Area UASI Goals which align to California’s Investment Justification process.

The work groups and their areas of responsibility for FY 22 are:

<b>Investment</b>	<b>Bay Area UASI Work Group</b>	<b>Bay Area UASI Goal</b>	<b>State Homeland Security Goal</b>
1	NCRIC only	<b>National Priority:</b> Enhance Info & Intelligence Sharing	<b>National Priority:</b> Enhance Info & Intelligence Sharing
2	CBRNE Public Information and Warning Training and Exercise	<b>National Priority:</b> Enhance the protection of soft targets	<b>National Priority:</b> Enhance the protection of soft targets
3	Cyber Resilience Training and Exercise	<b>National Priority:</b> Enhance Cybersecurity	<b>National Priority:</b> Enhance Cybersecurity
4	CBRNE Public Information and Warning Training and Exercise	<b>National Priority:</b> Address Emergent Threats	<b>National Priority:</b> Address Emergent Threats
5	NCRIC Training and Exercise	<b>National Priority:</b> Combating Domestic Violent Extremism	<b>National Priority:</b> Combating Domestic Violent Extremism
6	Public Information and Warning BayRICS Radio Operators Advisory Group Training and Exercise	Strengthen Emergency Communications Capabilities	Strengthen Emergency Communications Capabilities

7	Medical and Public Health Training and Exercise	Enhance Medical and Public Health Preparedness	Enhance Medical and Public Health Preparedness
8	Public Safety Information Sharing Training and Exercise	Strengthen Information Sharing and Collaboration	Strengthen Information Sharing and Collaboration
9	Emergency Management Training and Exercise	Enhance Community Capabilities through Multi-Jurisdictional/Inter-Jurisdictional All-Hazards Incident Planning, Response & Recovery Capabilities, including partnerships with volunteers and community based organizations	Enhance Community Capabilities through Multi-Jurisdictional/Inter-Jurisdictional All-Hazards Incident Planning, Response, and Recovery Coordination, including Partnerships with Volunteers and Community Based Organizations and Programs
10	CBRNE Training and Exercise	Protect Critical Infrastructure and Key Resources	Protect Critical Infrastructure and Key Resources

Please contact Janell Myhre, Bay Area UASI Regional Program Manager, at [Janell.Myhre@sfgov.org](mailto:Janell.Myhre@sfgov.org) for information on work groups and their meeting schedules.

**Section 10. Proposal Review Process**

On October 11, the Management Team will begin reviewing all submitted project proposals for compliance with the project proposal criteria (see Section 3). Project proposals that do not meet the criteria will be ineligible and will be removed from further consideration for funding.

The Management Team will also undertake a financial and programmatic review of all proposals. Proposers may be contacted to correct errors and resubmit proposals, and/or the Management Team may make such corrections and notify the proposers. If a hub exceeds their allocated amount, the Management Team will contact the appropriate Approval Authority member for guidance on reducing either the number of projects or the amount of some of the projects.

The Management Team will share proposals with Approval Authority members for review in November and then with hub voting members in December 2021. See Section 11 below for more details on the hub and other review processes, as well as Section 13 for the summary timeline.

## **Section 11. Role of Hub Voting Members**

The Bay Area UASI utilizes a hub proposal prioritization process to prioritize projects within the grant allocation for hubs. Hubs are based on the geographical location of agencies grouped by county in four sectors of the Bay Area - North, East, South and West (see map on page 10).

### ***Hub Composition:***

In the fall, the Management Team will ask each Approval Authority member to assign one (1) to three (3) people to represent his or her county/core city in the hub proposal prioritization process. Please note that the Approval Authority members may make other arrangements for representation at hub meetings, provided that this is the agreement of all the Approval Authority members representing those counties/core cities of the hub in question. Hub representatives are referred to as “hub voting members.” Approval Authority members are urged to appoint representatives to serve as hub voting members that represent various agencies and subject matter expertise.

### ***Preparations for Hub Prioritization:***

On December 10, 2021, the Management Team will provide each hub voting member with all submitted proposals that meet the project criteria (per Section 3) and that have been confirmed by the corresponding jurisdiction’s Approval Authority member. Hub voting members should become familiar with all hub proposed projects prior to the hub meeting and come to the hub meeting prepared to discuss project submissions with other hub voting members. The Management Team is available to assist hub voting members with any questions or concerns, including arranging information from regional subject matter experts in advance of the hub deliberations.

### ***Proposal Prioritization Process:***

The Management Team will convene hub prioritization meetings in January 2022. The goal of each hub meeting is to create a list of projects, in order of priority, during the two year grant cycle. As described above, the amount of available funding for each individual hub is based on double the amount of funding of the previous year’s awarded allocation plus a 10% contingency (see Section 7 for these amounts).

Each hub will develop a list of these prioritized projects based on regional need and local capabilities. Hubs may also designate other criteria as mutually agreed upon (e.g., provides scalable solutions, leverages other funding sources, and benefits the most operational areas.) Ideally, these projects will be prioritized by agreement of all the members. However, if necessary, a vote may be taken.

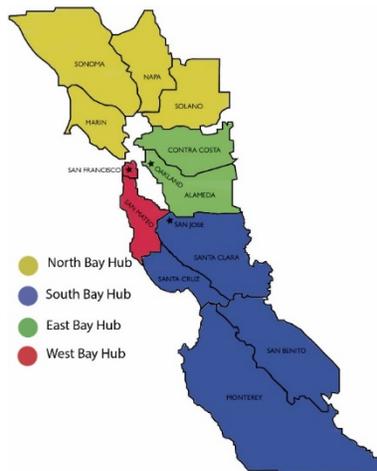
Since all projects will be prioritized with the two-year funding cycle in mind, the concept of “above the line” and “below the line” projects, is being eliminated. All projects will be prioritized and will be undertaken in order of priority as funding for FY22 or FY 23 allows. If a hub (or hubs) exceeds the amount allocated in Section 7, as discussed in Section 8, Approval Authority members will be tasked with identifying the removal of projects until the allocated amount is reached. The remaining projects will then be prioritized during the Hub prioritization meetings in January 2022.

***Modifications to Proposals:***

Hub voting members may make modifications to proposals during their deliberations with the agreement of the original project proposers as long as these modifications are consistent with the original goals of the project. Recognizing that the discussion of needs at the hub level may generate new ideas and opportunities for cooperation, in special circumstances hubs may also propose new projects with the approval of the Bay Area UASI General Manager and the relevant Approval Authority members. Such projects must meet all the project criteria presented in Section 3.

***Facilitation of Hub Meetings:***

All four hubs will have decision-making meetings coordinated, facilitated, and led by UASI Management Team staff members during January 2022.



**Section 12. Role of the Approval Authority**

The following is a summary of key actions, responsibilities, and decision-points for Approval Authority members in the FY22 proposal process:

- **Work Groups:** Approval Authority members should ensure that their jurisdictions are represented on Bay Area UASI work groups (see Section 9, Role of the Work Groups).

- **Hub Voting Members:** Approval Authority members should designate 1-3 hub voting members to participate in hub meetings. The Management Team will solicit this information from members in the fall of 2021. (See Section 11, Role of Hub Voting members).
- **Proposal Compliance:** Approval Authority members should ensure that those submitting FY 22 proposals attend the proposal kick off meeting on Thursday, September 16 or review the webinar online at [www.bayareauasi.org](http://www.bayareauasi.org). All proposers are required to attend/view the presentation. (See Section 3, Proposal Criteria and Section 8, Developing and Submitting Proposals, for more information).
- **Proposal Review:** Approval Authority members will have the opportunity to review their jurisdictions' proposals from November 11 – 30, 2021. The member may remove a hub project from consideration by notification to the Management Team and the proposer.
- **Approve National Priority projects:** Approval Authority members will approve the list of all National Priority Project proposals. This will occur at the March 10, 2022 Approval Authority meeting or as soon as possible following DHS's issuance of the FY 22 Homeland Security Grant Program Notice of Funding Opportunity (NOFO).
- **Approve All Other Projects:** Approval Authority members will review/approve all hub projects recommended by hub voting members. This will take place at the March 10, 2022 Approval Authority meeting or as soon as possible following DHS's issuance of the Homeland Security Grant Program Notice of Funding Opportunity (NOFO).
- **Approve Grant Allocations:** Approval Authority members will approve allocation amounts among the categories of core city allocation and the two year spending cycle of projects for the hub projects. This action will take place at the next Approval Authority meeting following DHS's issuance of the NOFO, estimated to be the March 10, 2022 Approval Authority meeting.

## Section 13. Summary Timeline

WHO	WHAT	WHEN	DESCRIPTION
Management Team	Outreach	July 2021	Management Team sends the FY22 project proposal guidance to UASI stakeholders
UASI Work Groups	Proposal discussions	July - September 2021	Work groups discuss regional gaps and priorities and review potential National Priority proposals
Management Team	Kick off workshop and webinar	September 16, 2021	This meeting/webinar is required for all those submitting proposals.
UASI Stakeholders	Proposal submissions	September 17 – October 8, 2021	UASI stakeholders submit proposals through the WebGrants system.
Management Team	Compliance review	October 11 – November 5, 2021	Management Team reviews proposals and checks for compliance.
Approval Authority	Proposal review	November 8 – 26, 2021	Review period for Approval Authority members.
Hubs	Proposal review	December 10, 2021	Management Team sends proposals to hub voting members for review.
Hubs	Prioritize	January 2022	Hubs meet on specific days in January 2022 and prioritize all projects.
Approval Authority	Approve sustainment project	January 13, 2022	Existing sustainment project proposal presented to the Approval Authority.
Approval Authority	Approve	March 10, 2022 (estimate)	Approval Authority approves Hub, Core City, and National Priority projects as well as FY22 allocations

# **APPENDIX A**

## **Bay Area UASI FY 2022**

### **National Priority Projects**

#### **Guidance**



## **Introduction**

In FY 2021, DHS identified five priority areas of national concern and determined that these priorities should be addressed by allocating specific percentages of HSGP funds to them. The total amount allocated for these five national priorities totaled 30% of the grant award, reflecting an increase from 20% in FY 2020.

## **Application process**

In the FY 22 application, a separate investment for each of the five national priority areas identified in the Notice of Funding Opportunity (NOFO) is required. In FY 21, these projects included: Enhancing cybersecurity; Enhancing the protection of soft targets/crowded places); Enhancing information and intelligence sharing and cooperation with federal agencies, including DHS; Addressing emergent threats (e.g., unmanned aerial systems [UASs]; and Combating domestic violent extremism. Three of the five investments – Information Sharing, Soft Targets, and Emergent Threats – have a 5% percent allocation requirement, while the other two – Cybersecurity and Combating Domestic Violence – require a 7.5% investment allocation.

Failure by a recipient to propose investments and projects that align with the five priority areas and spending requirements will result in a recipient having a portion of their SHSP and UASI funds (up to 30 percent) placed on hold until they provide projects that sufficiently align to the National Priority Areas, and total at least the minimum percentage identified above of total SHSP and UASI funds per National Priority Area.

The remaining 70 percent of the Bay Area’s funding must be applied to gaps identified through the Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) process.

These projects will be further defined in the FY 22 NOFO, but Work Groups wishing to submit projects should plan to develop general large scale projects that could be tailored to meet FY 22 national priority projects. The National Priority projects, the appropriate Core Capability, and sample projects are listed in Table 1 below:

Table 1

FY 2022 UASI National Priority Funding Projects

National Priorities	Core Capabilities	Sample Project Types
<p>Enhancing Cybersecurity</p>	<ul style="list-style-type: none"> <li>• Cybersecurity</li> <li>• Intelligence and information sharing</li> <li>• Planning</li> <li>• Public Information and warning</li> <li>• Operational coordination</li> <li>• Screening, search, and detection</li> <li>• Access control and identity verification</li> <li>• Supply chain integrity and security</li> <li>• Risk management for protection programs and activities</li> <li>• Long-term vulnerability reduction</li> <li>• Situational assessment</li> <li>• Infrastructure systems</li> <li>• Operational communications</li> </ul>	<ul style="list-style-type: none"> <li>• Cybersecurity risk assessments</li> <li>• Migrating online services to “.gov” internet domain</li> <li>• Projects that address vulnerabilities identified in cybersecurity risk assessments               <ul style="list-style-type: none"> <li>○ Improving cybersecurity of critical infrastructure to meet minimum levels identified by the Cybersecurity and Infrastructure Security Agency (CISA)</li> <li>○ Cybersecurity Training and Planning</li> </ul> </li> </ul>
<p>Enhancing the Protection of Soft Targets/ Crowded Places</p>	<ul style="list-style-type: none"> <li>• Operational coordination</li> <li>• Public information and warning</li> <li>• Intelligence and information sharing</li> <li>• Interdiction and disruption</li> <li>• Screening, search, and detection</li> <li>• Access control and identity verification</li> <li>• Physical protective measures</li> <li>• Risk management for protection programs and activities</li> </ul>	<ul style="list-style-type: none"> <li>• Operational overtime</li> <li>• Physical security enhancements               <ul style="list-style-type: none"> <li>○ Close-circuit television (CCTV) security cameras</li> <li>○ Security screening equipment for people and baggage</li> <li>○ Lighting</li> <li>○ Access controls</li> <li>○ Fencing, gates, barriers, etc.</li> </ul> </li> </ul>

<p>Enhancing information and intelligence sharing and analysis, and cooperation with federal agencies, including DHS</p>	<ul style="list-style-type: none"> <li>• Intelligence and information sharing</li> <li>• Interdiction and disruption</li> <li>• Planning</li> <li>• Public information and warning</li> <li>• Operational coordination</li> <li>• Risk management for protection programs and activities</li> </ul>	<ul style="list-style-type: none"> <li>• Fusion center operations (Fusion Center project will be required under this investment, no longer as a stand-alone investment)</li> <li>• Information sharing with all DHS components; fusion centers; other operational, investigative, and analytic entities; and other federal law enforcement and intelligence entities</li> <li>• Cooperation with DHS officials and other entities designated by DHS in intelligence, threat recognition, assessment, analysis, and mitigation</li> <li>• Identification, assessment, and reporting of threats of violence</li> <li>• Joint intelligence analysis training and planning with DHS officials and other entities designated by DHS</li> </ul>
<p>Combating Domestic Violent Extremism</p>	<ul style="list-style-type: none"> <li>• Interdiction and disruption</li> <li>• Screening, search and detection</li> <li>• Physical protective measures</li> <li>• Intelligence and information sharing</li> <li>• Planning</li> <li>• Public information and warning</li> <li>• Operational coordination</li> <li>• Risk management for protection programs and activities</li> </ul>	<ul style="list-style-type: none"> <li>• Open source analysis of misinformation campaigns, targeted violence and threats to life, including tips/leads, and online/social media-based threats</li> <li>• Sharing and leveraging intelligence and information, including open source analysis</li> <li>• Execution and management of threat assessment programs to identify, evaluate, and analyze indicators and behaviors indicative of domestic violent extremists</li> <li>• Training and awareness programs (e.g., through social media, suspicious activity reporting [SAR] indicators and behaviors) to help prevent radicalization</li> <li>• Training and awareness programs (e.g., through social media, SAR indicators and behaviors) to educate the public on misinformation campaigns and resources to help them identify and report potential instances of domestic violent extremism</li> </ul>

Addressing Emergent Threats, such as the activities of Transnational Criminal Organizations, open source threats, and threats from UAS and WMD	<ul style="list-style-type: none"> <li>• Interdiction and disruption</li> <li>• Screening, search and detection</li> <li>• Physical protective measures</li> <li>• Intelligence and information sharing</li> <li>• Planning</li> <li>• Public Information and warning</li> <li>• Operational Coordination</li> </ul>	<ul style="list-style-type: none"> <li>• Sharing and leveraging intelligence and information</li> <li>• UAS detection technologies</li> <li>• Enhancing WMD and/or improvised explosive device (IED) prevention, detection, response and recovery capabilities <ul style="list-style-type: none"> <li>○ Chemical/Biological/Radiological/Nuclear/Explosive (CBRNE) detection, prevention, response, and recovery equipment</li> </ul> </li> </ul>
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**Projects must demonstrate:**

- Support terrorism preparedness;
- Support closing capability gaps or sustaining capabilities identified in the community’s THIRA/SPR process; and
- Support the overcoming of existing logistical, technological, legal, policy, and other impediments to collaborating, networking, sharing information, cooperating, and fostering a culture of national preparedness with federal, state, tribal, and local governments, as well as other regional, and nonprofit partners in efforts to prevent, prepare for, protect against, and respond to acts of terrorism, to meet its target capabilities, support the national security mission of DHS and other federal agencies, and to otherwise reduce the overall risk to the high-risk urban area, the state, or the Nation.

**Projects must explain:**

- Prevent a threatened or an actual act of terrorism;
- Prepare for all hazards and threats, while explaining the nexus to terrorism preparedness;
- Protect citizens, residents, visitors, and assets against the greatest threats and hazards, relating to acts of terrorism; and/or
- Respond quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of an act of terrorism or other catastrophic incidents.

**Review and Evaluation Process**

FEMA will evaluate the applications for completeness, adherence to programmatic guidelines, and anticipated effectiveness of the proposed investments, utilizing the following criteria:

- Aligns with at least one core capability identified in the Goal;
- Demonstrates how investments support closing capability gaps or sustaining capabilities identified in the THIRA/SPR process; and
- Supports a NIMS-typed resource and whether those assets are deployable/shareable to support emergency or disaster operations per existing EMAC agreements.

In addition to the above, FEMA will evaluate whether proposed projects are: 1) both feasible and effective at reducing the risks for which the project was designed; and 2) able to be fully completed within the three-year period of performance. FEMA will use the information provided in the application and after the submission of the first BSIR to determine the feasibility and effectiveness of a grant project. To that end, IJs should include:

- An explanation of how the proposed project(s) will achieve objectives as identified in the SPR, including expected long-term impact where applicable, and which core capability gap(s) it helps to close and how;
- A summary of laws, policies and practices that can be enhanced, eliminated, or otherwise changed in order to achieve the goals of the project and foster a culture of national preparedness;
- A summary of the status of planning and design efforts accomplished to date (e.g., included in a capital improvement plan); and
- A project schedule with clear milestones.

Projects are expected to conform, as applicable, with accepted engineering practices, established codes, standards, modeling techniques, and best practices, and participate in the development of case studies demonstrating the effective use of grant funds, as requested by FEMA.

## **Project Scoring**

Five factors will be used in FEMA's review of the projects:

1. **Investment Strategy:** Proposals will be evaluated based on the quality and extent to which applicants describe an effective strategy that demonstrates that proposed projects support the program objective of preventing, preparing for, protecting against, and responding to acts of terrorism, to meet its target capabilities, and otherwise reduce the overall risk to the high-risk urban area, the State, or the Nation.
2. **Budget:** Proposals will be evaluated based on the extent to which applicants describe a budget plan for the investment by demonstrating how the applicant will maximize cost effectiveness of grant expenditures.
3. **Impact/Outcomes:** Proposals will be evaluated on how this investment helps the jurisdiction close capability gaps identified in its Stakeholder Preparedness Review and addresses national priorities outlined in the FY 22 NOFO. Further, proposals will be evaluated on their identification and estimated improvement of core capability(ies), the associated standardized target(s) that align with their proposed investment, and the ways in which the applicant will measure and/or evaluate improvement.
4. **Collaboration:** Proposals will be evaluated based on the degree to which the proposal adequately details how the recipient will use investments and other means to overcome existing logistical, technological, legal, policy, and other impediments to collaborating, networking, sharing information, cooperating, and fostering a culture of national preparedness with federal, state, tribal, and local governments, as well as other regional

and nonprofit partners in efforts to prevent, prepare for, protect against, and respond to acts of terrorism, to meet its target capabilities, support the national security mission of DHS and other federal agencies, and to otherwise reduce the overall risk to the high-risk urban area, the State, or the Nation. In evaluating applicants under this factor FEMA will consider the information provided by the applicant and may also consider relevant information from other sources.

5. Past Performance (additional consideration): Proposals will be evaluated based on the applicants demonstrated capability to execute the proposed investments. In evaluating applicants under this factor FEMA will consider the information provided by the applicant and may also consider relevant information from other sources.

### **Review and Selection Process**

All national priority investments will be reviewed by DHS/FEMA, CISA, and other DHS components as appropriate, for compliance with purposes and requirements of the priority investment area. Proposed investments will be reviewed for effectiveness using the criteria found in the NOFO.

Fusion center projects will be reviewed by DHS/FEMA for compliance with HSGP NOFO requirements to prioritize the alignment of requests with results from the annual Fusion Center Assessment Program. If a fusion center investment does not meet the requirements, a Fusion Center Addendum must be completed and submitted for review and approval prior to expending funds allocated to fusion center activities.

All other proposed investments not associated with a required investment justification will undergo a Federal review by DHS/FEMA to verify compliance with all administrative and eligibility criteria identified in the NOFO.

# **APPENDIX B**

## **Bay Area UASI FY 2021**

### **Guidance for Writing Your Grant Application**



## **INTRODUCTION**

The purpose of this guidance is to assist in developing and writing project proposals (investment justifications), and aligning them with the correct investment areas, core capability, and capability gap.

### **Define and Develop Your Project**

When drafting your project proposal, include project scope, estimated costs, feasibility, milestones, time needed to implement, and how to evaluate the project's success. Even though some of this information will not be required for submission in your WebGrants application, it is a good idea to conceptualize the project before it is time to submit it into the system.

The budget elements of a project must include one of the following POETE categories:

- Planning/Plans/Personnel
- Organization/People/Teams
- Equipment
- Training \*
- Exercises

Note: Training requests are not eligible for submission through WebGrants as these classes fall under the purview of the Bay Area Training and Exercise Program (BATEP). Proposers seeking a specific class should go to [www.BATEP.org](http://www.BATEP.org) and create an account. Once the account is approved, proposers can review the calendar of training and the planned schedule of T&E services under Documents in the Integrated Preparedness Plan. Regional Exercises are also under the purview of BATEP, but local, jurisdiction-specific exercises may be submitted through the WebGrants application process.

### **Project Development Principles**

When developing a project, the following principles should apply:

- **Give the project a SHORT, clear title.** Directly link the title to the project description and provide a clear indication of the focus of the project. For example, “public information officer (PIO) Training”, “HazMat Team Equipment”, or “Cybersecurity Assessment of City’s Networks” are all valid project names. Project names such as “Exercises” or “Data Sharing” are too vague.
- **Be descriptive, but brief.** A project description should be no more than two to three sentences. Do not include unnecessary information that does not describe what the project is truly about.

- **Be sure your project describes how it closes an identified gap.** Identify the threat your project is addressing and the most appropriate core capability and associated gap areas. Ultimately, this information demonstrates how funding for this project will build or sustain capabilities identified in the SPR (Stakeholder Preparedness Review). More information about the SPR can be found on the <http://www.bauasi.org> website [here](#).

Remember, all projects must have a nexus to terrorism prevention, protection, response, and preparedness, even if it will also address natural hazards scenarios.

### **Describe the Project**

Please include the following information when developing and describing a project:

- **Who** the project is for, e.g., your city/county’s HazMat team, bomb squad, or emergency operations center (EOC), etc.?
- **What** the project entails, e.g., develop plans, purchase equipment, conduct training, etc.?
- **When** will you be working on this project?
- **Where** is your jurisdiction?
- Describe **why** the project is necessary, or the intended benefit/outcome.

The following is an example of an effective project description:

- *Install fencing, lighting, and gates, at the Water Treatment Plant, in Alameda County, in 2021, to protect the plant from unauthorized intrusion.*

Using the “why” element of these projects is the best way to help determine which is the most appropriate Core Capability as well as how it reduces the threat to your community. If your project describes improving emergency communications capabilities, then you will use “Operational Communications” as your Core Capability.

The following are examples of insufficient project descriptions.

- Incident Command System (ICS) 300 and 400 training
- Encryption Hardware/Software
- HazMat response team training, CERT training, PIO training

None of the above projects provides enough detail to understand what the projects entail. In the third example, multiple types of training are grouped together but each has a different Core Capability.

## **SEVEN STEPS TO DEVELOPING YOUR PROJECT:**

### **STEP ONE\***

The federal government website allows for only 10 Investment Justifications (or IJs) with an unlimited number of projects assigned to them. Therefore, all proposals submitted through WebGrants will have an IJ number and then later be assigned a project number by UASI Management Team staff. As described above, the first five IJs are assigned by the federal government. The next four (IJs 6-9) are available for use by the Bay Area UASI (IJ 10 is assigned to the State of CA projects). When preparing your application, first determine the appropriate IJ number. Below is the list of IJs with a brief description and samples to assist in the selection. Please review them to assist in determining which IJ description is the best fit.

**\*New for 2022:** IJs 1-5 are for National Priority Projects only and will be separately reviewed by DHS for effectiveness. Similar to FY21, the federal government has allocated required percentages to FY22 projects. Three of the projects are worth 5% each (IJs 1, 2, and 4) with the remaining two projects (IJs 3 and 5) worth 7.5% each for a total of 30% of the grant award. Described below are the National Priority Projects identified in FY 21. While it is unknown what, if any, special project types may be imposed in FY 22, Working groups identified in the description of these IJs will be asked to develop projects that **MAY** be used in the FY 22 grant application.

### **IJ 1: National Priority – Enhance Information and Intelligence Sharing/Fusion Center**

**This project is for fusion centers only and is provided for information purposes.**  
This Investment will be provided by the NCRIC. Sample NCRIC projects include:

- Information sharing with all DHS components, fusion centers, and other entities designated by DHS
- Cooperation with DHS officials and other entities designated by DHS in intelligence, threat recognition and analysis
- Joint training and planning with DHS officials and other entities designated by DHS

### **IJ 2: National Priority – Enhance the Protection of Soft Targets**

IJ 2 covers the National Priority of protecting soft targets. The CBRNE work group would develop national priority projects for this IJ. IJ 2 projects **may** include examples such as:

- Physical security enhancements such as: Cameras, lighting, gates, bollards, fencing, etc., at critical infrastructure sites

- **Non-fusion center** operational overtime costs
- Risk management planning projects
- Operational Coordination projects

### **IJ 3: National Priority - Enhance Cybersecurity**

IJ 3 covers National Priority cybersecurity activities. In addition to regional projects, any Hub or Core City cybersecurity project will also be included here. The UASI's cyber resiliency work group covers this type of project. Examples of projects that **may** fit under IJ 3 include:

- Information security systems
- Software upgrades for information system and network security
- Cybersecurity related training
- Cybersecurity analysts

### **IJ 4: National Priority – Address Emergent Threats**

IJ 4 covers the National Priority of emergent threats related to safety and security. The UASI's CBRNE work group, in consultation with the NCRIC will develop projects in this IJ. Projects may include:

- Sharing and leveraging intelligence and information
- Enhancing weapons of mass destruction (WMD) and/or improvised explosive device (IED) prevention, detection, response and recovery capabilities
- Chemical Biological Radiological Nuclear and Explosive (CBRNE) detection, prevention, response, and recovery equipment
- Sharing and leveraging intelligence and information
- UAS detection technologies

### **IJ 5: National Priority – Combating Domestic Violent Extremists**

IJ 5 covers the National Priority of domestic violent extremists related to safety and security. The UASI's Management Team, in consultation with the NCRIC, will develop projects in this IJ. Projects may include:

- Sharing and leveraging intelligence and information, including open source analysis
- Execution and management of threat assessment programs to identify, evaluate, and analyze indicators and behaviors indicative of domestic violent extremists
- Training and awareness programs (e.g., through social media, suspicious activity reporting [SAR] indicators and behaviors) to help prevent radicalization
- Training and awareness programs (e.g., through social media, SAR indicators and behaviors) to educate the public on misinformation campaigns and resources to help them identify and report potential instances of domestic violent extremism

## **IJ 6: Strengthen Emergency Communications Capabilities**

IJ 6 covers two broad categories – emergency responder communications, and public information and warning. Two work groups- Public Information and Warning and BayRICS cover these projects. Projects that **may** fall under IJ 6 include these examples:

- Radio purchases
- 911 dispatch systems
- Public alert and warning systems
- Joint information center exercises

## **IJ 7: Enhance Medical and Public Health Preparedness**

IJ 7 covers public health, hospital, and emergency medical based projects. The Health and Medical work group covers these types of projects. Sample projects that **may** fall under IJ 7 include:

- Public health laboratory equipment
- Medical supplies
- Isolation and quarantine planning
- Emergency Medical Services (EMS) equipment and training

## **IJ 8: Strengthen Information Sharing & Collaboration**

This is the UASI's non-fusion center information sharing investment project. The Public Information and Sharing and CBRNE work groups cover these types of projects. Sample project areas covered here may include projects such as:

- ALPR equipment
- Specialized equipment to track suspects

## **IJ 9: Enhance Multi-Jurisdictional/Inter-Jurisdictional All Hazards Incident Planning, Response & Recovery Capabilities, including Critical Infrastructure and Key Resources**

IJ 9 is the investment with the largest number of total projects, as it covers the broadest scope of potential projects in both the response and recovery areas. In short, IJ 9 may be the default home for projects that have no other clear IJ under which they fit. This investment area also covers training and exercise **infrastructure**, and not specific trainings and exercises which should be identified in the IJ in which those trainings or exercises apply. This approach treats training and exercise activities as supporting capability building that falls within any one of the other IJ areas and is consistent with the purpose of training and exercises. The Training and Exercise work group will assist with determining the submission of classes as well as which IJ

they may fall under.

- Situational awareness support products
- Fire incident response equipment
- Mass evacuation plans
- HazMat team training
- Mass care plans
- Search and rescue team equipment
- Bomb squad equipment
- Special Weapons and Tactics (SWAT) team training
- Recovery planning
- Training and exercise program staff (not for regional projects)
- Equipment for multi-purpose training and exercise facilities
- Multi-year training and exercise plan updates and/or conferences
- Emergency Response planning for critical infrastructure
- Active Shooter kits
- On-scene security equipment

**IJ 10: State of California IJ**

This project is for the State of California Investments and is listed for information purposes only.

**STEP TWO:**

Once you select the appropriate Investment Justification for your project, please use the drop-down menu to select the most appropriate THIRA Threat or Hazard that your project addresses.

**STEP THREE:**

After selecting an Investment Justification, use the drop-down menu in WebGrants to select the most appropriate Core Capability addressed by your project. A description of each Core Capability is listed in Table 1 at the end of this document.

Once you have selected a Core Capability, identify how your project closes a gap or sustains a capability by selecting at least one capability gap from the drop-down menu in WebGrants.

**STEP FOUR:**

Next, select the nexus to terrorism using the drop down menu and then briefly describe this nexus.

**STEP FIVE:**

Provide a brief description of your project using the criteria described on page 2 of this guidance.

**STEP SIX:**

Fill out the timeline and milestone sections. The **timeline** begins on 11/1/22 and ends on 12/31/23. In filling out the **milestone** section, select appropriate milestones from the drop down menu. Remember to keep the milestone dates within the grant performance period. Finally, everything takes longer than you think, so **BE REALISTIC!**

**STEP SEVEN:**

Answer the compliance questions and complete the budget using the POETE categories described on page 2. Once you have completed this section, your application is ready to submit.

**Aligning Proposals to the Bay Area UASI's Goal Area, Core Capabilities, and Capability Gaps**

Once you have determined the appropriate Investment Justification for your project, it must align with the most appropriate core capability and capability gaps.

The Table on the next page indicates the Investment Justification Number, the UASI Goal Name, the Core Capability(ies) associated with the Goal Area, and the capability gaps (aka functional areas) associated with each investment. Please use this guide to complete your application.

IJ #	National Priority/UASI Goal Name	Core Capability	Core Capability Description	Capability Gaps / Functional Areas
1	National Priority: Enhance Info & Intelligence Sharing /fusion center	Intelligence and Information Sharing	Provide timely, accurate, and actionable information resulting from the planning, direction, collection, exploitation, processing, analysis, production, dissemination, evaluation, and feedback of available information concerning physical and cyber threats to the United States, its people, property, or interests; the development, proliferation, or use of WMDs; or any other matter bearing on U.S. national or homeland security by local, state, tribal, territorial, Federal, and other stakeholders. Information sharing is the ability to exchange intelligence, information, data, or knowledge among government or private sector entities, as appropriate.	<ul style="list-style-type: none"> <li>• Analysis of Intelligence and Information</li> <li>• Developing Reports and Products</li> <li>• Disseminating Intelligence and Information</li> <li>• Exploiting and Processing Information</li> <li>• Feedback and Evaluation</li> <li>• Gathering Intelligence</li> <li>• Continuous Threat Assessment</li> <li>• Establishing Intelligence and Information Requirements</li> <li>• Monitoring Information</li> <li>• Safeguarding Sensitive Information</li> </ul>
		Planning	Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or tactical-level approaches to meet defined objectives.	<ul style="list-style-type: none"> <li>• Evaluating and Updating Plans</li> <li>• Operational Planning</li> <li>• Whole Community Involvement and Coordination</li> <li>• Continuity Planning</li> <li>• Including Individuals with Disabilities or Access/Functional Needs</li> <li>• Incorporating Risk Analyses</li> <li>• Integrating Different Plans</li> <li>• Pre-Incident planning</li> <li>• Strategic Planning</li> </ul>
		Threat and Hazard Identification	Identify the threats and hazards that occur in the geographic area; determine the frequency and magnitude; and incorporate this into analysis and planning processes so as to clearly understand the needs of a community or entity.	<ul style="list-style-type: none"> <li>• Estimating Frequency and Magnitude</li> <li>• Modeling and Analysis</li> <li>• Stakeholder Collaboration / Coordination</li> <li>• Data Collection and Sharing</li> </ul>
2	National Priority: Enhance the Protection of Soft Targets	Operational Coordination	Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities.	<ul style="list-style-type: none"> <li>• Command, Control, and Coordination</li> <li>• NIMS/ICS Compliance</li> <li>• Stakeholder Engagement</li> <li>• Allocating and Mobilizing Resources</li> <li>• Determining Priorities, Objectives, Strategies</li> <li>• Emergency Operations Center Management</li> <li>• Ensuring Information Flow</li> <li>• Ensuring Unity of Effort</li> <li>• Establishing a Common Operating Picture</li> <li>• Ensuring Continuity of Government and Essential Services</li> </ul>

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				<ul style="list-style-type: none"> <li>• Establishing Lines of Communication</li> <li>• Establishing Roles and Responsibilities</li> </ul>
		Public Information and Warning	Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard, as well as the actions being taken and the assistance being made available, as appropriate.	<ul style="list-style-type: none"> <li>• Alerts and Warnings</li> <li>• Culturally and Linguistically Appropriate Messaging</li> <li>• Delivering Actionable Guidance</li> <li>• Inclusiveness of the Entire Public</li> <li>• Developing Standard Operating Procedures for Public Information</li> <li>• New Communications Tools and Technologies</li> <li>• Protecting Sensitive Information</li> <li>• Public Awareness Campaigns</li> <li>• Traditional and Mobilizing Resources</li> </ul>
		Planning	See Planning description	See Planning description
		Intelligence and Information Sharing	See Intelligence and Information Sharing description	See Intelligence and Information Sharing description
		Interdiction and Disruption	Delay, divert, intercept, halt, apprehend, or secure threats and/or hazards.	<ul style="list-style-type: none"> <li>• Interdicting Cargo, Conveyances, and Persons</li> <li>• Anti-Terrorism Operations</li> <li>• Border Security</li> <li>• CBRNE Detection</li> <li>• CBRNE Render Safe</li> <li>• Deterrent Law Enforcement Presence</li> <li>• Financial Disruption</li> <li>• Preventing Acquisition of CBRNE</li> <li>• Tactical Law-Enforcement Operations</li> <li>• Tracking and Targeting Terrorists and Their Weapons</li> <li>• Wide-Area Search and Detection</li> </ul>
		Screening, Search, and Detection	Identify, discover, or locate threats and/or hazards through active and passive surveillance and search procedures. This may include the use of systematic examinations and assessments, bio-surveillance, sensor technologies, or physical investigation and intelligence.	<ul style="list-style-type: none"> <li>• Screening</li> <li>• Wide-Area Search</li> <li>• Bio-surveillance</li> <li>• Chemical and Biological Detection</li> <li>• Electronic Search</li> <li>• Explosives Detection</li> <li>• Laboratory Testing</li> <li>• Locating Terrorists</li> <li>• Physical Investigation</li> <li>• Promoting an Observant Nation</li> <li>• Radiological and Nuclear Detection</li> </ul>

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		Access Control & Identity Verification	Apply and support necessary physical, technological, and cyber measures to control admittance to critical locations and systems.	<ul style="list-style-type: none"> <li>• Verifying Identity</li> <li>• Controlling Cyber Access</li> <li>• Controlling Physical Access</li> </ul>
		Physical Protective Measures	Implement and maintain risk-informed countermeasures, and policies protecting people, borders, structures, materials, products, and systems associated with key operational activities and critical infrastructure sectors.	<ul style="list-style-type: none"> <li>• Physical Security Measures</li> <li>• Site-Specific and Process-Specific Risk Assessments</li> <li>• Biosecurity</li> <li>• Border Protection</li> <li>• Identifying and Prioritizing Assets to Protect</li> </ul>
		Risk Management for Protection Programs & Activities	Identify, assess, and prioritize risks to inform Protection activities, countermeasures, and investments.	<ul style="list-style-type: none"> <li>• Data Collection</li> <li>• Risk Assessment</li> <li>• Analysis Tools</li> <li>• Incorporating Risk Assessments in Exercise Design</li> <li>• Risk Communication</li> <li>• Risk Management Planning</li> </ul>
3	National Priority: Enhance Cybersecurity	Cybersecurity	Protect (and if needed, restore) electronic communications systems, information, and services from damage, unauthorized use, and exploitation.	<ul style="list-style-type: none"> <li>• Guidelines, Regulations, and Standards</li> <li>• Sharing Threat Information</li> <li>• Continuity of Operations for Cyber Systems</li> <li>• Controlling Electronic Access</li> <li>• Detecting Malicious Activity</li> <li>• End-User Awareness</li> <li>• Investigating Malicious Actors</li> <li>• Protective Measures</li> <li>• Securing CIKR and SCADA Systems</li> <li>• Technical Countermeasures</li> </ul>
		Risk Management for Protection Programs & Activities	See Risk Management for Protection Programs & Activities description	See Risk Management for Protection Programs & Activities description
		Access Control & Identity Verification	See Access Control & Identity Verification description	See Access Control & Identity Verification description
		Planning	See Planning description	See Planning description
		Intelligence and Information Sharing	See Intelligence and Information Sharing description	See Intelligence and Information Sharing description
4	National Priority: Addressing Emergent Threats	Interdiction and Disruption	See Interdiction and Disruption description	See Interdiction and Disruption description
		Planning	See Planning description	See Planning description
		Intelligence and Information Sharing	See Intelligence and Information Sharing description	See Intelligence and Information Sharing description

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		Information Sharing		
		Public Information and Warning	See Public Information and Warning description	See Public Information and Warning description
		Operational Coordination	See Operational Coordination description	See Operational Coordination description
5	National Priority: Combating Violent Domestic Extremists	Interdiction and Disruption	See Interdiction and Disruption description	See Interdiction and Disruption description
		Screening, Search and Detection	See Screening, Search, and Detection description	See Screening, Search, and Detection description
		Physical Protective Measures	See Physical Protective Measures description	See Physical Protective Measures description
		Intelligence and Information Sharing	See Intelligence and Information Sharing description	See Intelligence and Information Sharing description
		Planning	See Planning description	See Planning description
		Public Information and Warning	See Public Information and Warning description	See Public Information and Warning description
		Operational Coordination	See Operational Coordination description	See Operational Coordination description
		Risk Management for Protection Programs and Activities	See Risk Management for Protection Programs & Activities description	See Risk Management for Protection Programs & Activities description
6	Strengthen Emergency Communications Capabilities	Operational Communications	Ensure the capacity for timely communications in support of security, situational awareness, and operations by any and all means available, among and between affected communities in the impact area and all response forces.	<ul style="list-style-type: none"> <li>• Interoperable Communications Between Responders</li> <li>• Communication Between Responders and the Affected Population</li> <li>• Data Communications</li> <li>• Re-establishing Communications Infrastructure</li> <li>• Re-establishing Critical; Information Networks</li> <li>• Voice Communications</li> </ul>
		Public Information and Warning	See Public Information and Warning description	See Public Information and Warning description
		Planning	See Planning description	See Planning description
		Public Information and Warning	See Public Information and Warning description	See Public Information and Warning description

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7	Enhance Medical and Public Health Preparedness	Public Health, Healthcare, and Emergency Medical Services	Provide lifesaving medical treatment via Emergency Medical Services and related operations and avoid additional disease and injury by providing targeted public health, medical, and behavioral health support, and products to all affected populations.	<ul style="list-style-type: none"> <li>• Definitive Care</li> <li>• Emergency Medical Services</li> <li>• Triage and Initial Stabilization</li> <li>• Health Assessments</li> <li>• Clinical Laboratory Testing</li> <li>• Medical Countermeasures</li> <li>• Medical Surge</li> <li>• Public Health Interventions</li> </ul>
		Fatality Management	Provide fatality management services, including decedent remains recovery and victim identification, working with local, state, tribal, territorial, insular area, and Federal authorities to provide mortuary processes, temporary storage or permanent internment solutions, sharing information with mass care services for the purpose of reunifying family members and caregivers with missing persons/remains, and providing counseling to the bereaved.	<ul style="list-style-type: none"> <li>• Body Recovery</li> <li>• Mortuary Services</li> <li>• Victim Identification</li> <li>• Bereavement Counseling</li> <li>• Family Reunification</li> </ul>
		Health and Social Services	Restore and improve health and social services capabilities and networks to promote the resilience, independence, health (including behavioral health), and well-being of the whole community.	<ul style="list-style-type: none"> <li>• Healthcare Facilities and Coalitions</li> <li>• Social Services</li> <li>• Behavioral Health</li> <li>• Determining Health and Social Needs</li> <li>• Ensuring Access</li> <li>• Environmental Health</li> <li>• Food Safety</li> <li>• Health Assessment</li> <li>• Medical Products and Services</li> <li>• Public Awareness</li> <li>• Public Health Measures</li> <li>• Response and Recovery Worker Health</li> <li>• School Impacts</li> </ul>
		Environmental Response/ Health & Safety	Conduct appropriate measures to ensure the protection of the health and safety of the public and workers, as well as the environment, from all-hazards in support of responder operations and the affected communities.	<ul style="list-style-type: none"> <li>• Hazardous Material Clean-Up</li> <li>• Decontamination</li> <li>• Debris Removal</li> <li>• Environmental Impact Analysis</li> <li>• Health and Safety Monitoring and Assessment</li> <li>• Predictive Modeling</li> <li>• Responder Safety</li> <li>• Survivor Safety and Assistance</li> </ul>
8	Strengthen Information Sharing and Collaboration	Intelligence and Information Sharing	See Intelligence and Information Sharing description	See Intelligence and Information Sharing description
		Risk and Disaster Resiliency Assessment	Assess risk and disaster resilience so that decision makers, responders, and community members can take informed action to reduce their entity's risk and increase their resilience.	<ul style="list-style-type: none"> <li>• Modeling and Analysis</li> <li>• Obtaining and Sharing Data</li> <li>• Education and Training</li> </ul>

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		Planning	See Planning description	See Planning description
		Threats and Hazards Identification	Identify the threats and hazards that occur in the geographic area; determine the frequency and magnitude; and incorporate this into analysis and planning processes so as to clearly understand the needs of a community or entity.	<ul style="list-style-type: none"> <li>• Estimating Frequency and Magnitude</li> <li>• Modeling and Analysis</li> <li>• Stakeholder Collaboration/Coordination</li> <li>• Data Collection and Sharing</li> </ul>
		Risk Management for Protection Programs & Activities	See Risk Management for Protection Programs & Activities description	See Risk Management for Protection Programs & Activities description
9	Enhance Multi-Jurisdictional /Inter-Jurisdictional All-Hazards Incident Planning, Response & Recovery Capabilities, including critical infrastructure and key resources	Infrastructure Systems	Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.	<ul style="list-style-type: none"> <li>• Communications Systems</li> <li>• Power Restoration</li> <li>• Sanitation</li> <li>• Water Treatment and Provision</li> <li>• Dams and Flood Control</li> <li>• Food Production and Delivery</li> <li>• Government Facilities</li> <li>• Heating Fuel Provision</li> <li>• Hospitals</li> <li>• Infrastructure Site Assessments</li> <li>• Public Recreation Facilities</li> <li>• Public Safety Facilities</li> <li>• Transportation Infrastructure</li> </ul>
		Forensics and Attribution	Conduct forensic analysis and attribute terrorist acts (including the means and methods of terrorism) to their source, to include forensic analysis as well as attribution for an attack and for the preparation for an attack in an effort to prevent initial or follow-on acts and/or swiftly develop counter-options.	<ul style="list-style-type: none"> <li>• Attribution Assessment</li> <li>• Crime Scene Preservation and Exploitation</li> <li>• Evidence Collection</li> <li>• Forensic Analysis</li> <li>• Terrorist Investigations</li> <li>• Assessing Terrorist Capabilities</li> <li>• Biometric Analysis</li> <li>• CBRNE Material Analysis</li> <li>• Digital Media and Network Exploitation</li> </ul>
		Screening, Search, and Detection	See Screening, Search, and Detection description	See Screening, Search, and Detection description
		Public Information & Warning	See Public Information and Warning description	See Public Information and Warning description
		Interdiction and Disruption	See Interdiction and Disruption description	See Interdiction and Disruption description
		Supply Chain Security and Integrity	Strengthen the security and resilience of the supply chain.	<ul style="list-style-type: none"> <li>• Analysis of Supply Chain Dependencies</li> <li>• Implementing Countermeasures</li> <li>• Implementing Physical Protection</li> <li>• Integrating Security Processes</li> <li>• Verification and Detection</li> </ul>

**Bay Area UASI Guidance for Writing Homeland Security Grant Application**

	Environmental Response / Health & Safety	See Environmental Response/Health & Safety description	See Environmental Response/Health & Safety description
	Mass Care Services	Provide life-sustaining and human services to the affected population, to include hydration, feeding, sheltering, temporary housing, evacuee support, reunification, and distribution of emergency supplies.	<ul style="list-style-type: none"> <li>• Ensuring Access</li> <li>• Feeding</li> <li>• Hydration</li> <li>• Pets</li> <li>• Relocation Assistance</li> <li>• Resource Distribution</li> <li>• Sheltering</li> <li>• Family Reunification</li> </ul>
	Mass Search and Rescue Operations	Deliver traditional and atypical search and rescue capabilities, including personnel, services, animals, and assets to survivors in need, with the goal of saving the greatest number of endangered lives in the shortest time possible.	<ul style="list-style-type: none"> <li>• Community-Based Search and Rescue Support</li> <li>• Rescue Operations</li> <li>• Search Operations</li> <li>• Specialized Operations</li> <li>• Synchronizing Operations</li> </ul>
	Logistics & Supply Chain Management	Deliver essential commodities, equipment, and services in support of impacted communities and survivors, to include emergency power and fuel support, as well as the coordination of access to community staples. Synchronize logistics capabilities and enable the restoration of impacted supply chains.	<ul style="list-style-type: none"> <li>• Resource Delivery</li> <li>• Resource Management</li> <li>• Access to Community Staples</li> <li>• Donations Management</li> <li>• Emergency Power Provision</li> <li>• Fuel Support</li> <li>• Private Resource</li> <li>• Resource Tracking</li> <li>• Supply Chain Restoration</li> <li>• Volunteer Management</li> </ul>
	On-scene Security Protection / Law Enforcement	Ensure a safe and secure environment through law enforcement and related security and protection operations for people and communities located within affected areas and also for response personnel engaged in lifesaving and life-sustaining operations.	<ul style="list-style-type: none"> <li>• Law Enforcement</li> <li>• Protecting Response Personnel</li> <li>• Securing Disaster Areas</li> </ul>
	Fire Management and Suppression	Provide structural, wildland, and specialized firefighting capabilities to manage and suppress fires of all types, kinds, and complexities while protecting the lives, property, and the environment in the affected area.	<ul style="list-style-type: none"> <li>• Structural Firefighting</li> <li>• Wildland Firefighting</li> <li>• Specialized Firefighting</li> <li>• Initial Attack Firefighting</li> <li>• Extended Attack Firefighting</li> </ul>
	Natural and Cultural Resources	Protect natural and cultural resources and historic properties through appropriate planning, mitigation, response, and recovery actions to preserve, conserve, rehabilitate, and restore them consistent with post-disaster community priorities and best practices and in compliance with applicable environmental and historic preservation laws and executive orders.	<ul style="list-style-type: none"> <li>• Damage Assessment</li> <li>• Environmental Preservation and Restoration</li> <li>• Historic Preservation</li> </ul>

**Bay Area UASI Guidance for Writing Homeland Security Grant Application**

	Health and Social Services	See Health and Social Services description	See Health and Social Services description
	Critical Transportation	Provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people and animals, and the delivery of vital response personnel, equipment, and services into the affected areas.	<ul style="list-style-type: none"> <li>• Debris Removal</li> <li>• Establishing Access</li> <li>• Evacuation</li> <li>• Airspace Management</li> <li>• Delivery of Response Assets</li> <li>• Reentering Affected Area</li> <li>• Transportation Safety and Condition Assessments</li> </ul>
	Economic Recovery	Return economic and business activities (including food and agriculture) to a healthy state and develop new business and employment opportunities that result in an economically viable community.	<ul style="list-style-type: none"> <li>• Reopening Businesses</li> <li>• Business/Economic Continuity Planning</li> <li>• Developing Recovery Objectives</li> <li>• Developing the Workforce</li> <li>• Disseminating Information</li> <li>• Economic Impact Assessments</li> <li>• Incentivizing Entrepreneurial and Business Development</li> <li>• Management Planning</li> </ul>
	Housing	Implement housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience.	<ul style="list-style-type: none"> <li>• Addressing Housing Shortages</li> <li>• Housing Accessibility</li> <li>• Transition from Interim to Permanent/Long-Term Housing</li> <li>• Housing Affordability</li> <li>• Housing Assessments</li> <li>• Reconstruction of Destroyed Housing</li> <li>• Rehabilitation of Damaged Housing</li> </ul>
	Operational Coordination	See Operational Coordination description	See Operational Coordination description
	Planning	See Planning description	See Planning description
	Physical Protective Measures	See Physical Protective Measures description	See Physical Protective Measures description
	Access Control & Identity Verification	See Access Control & Identity Verification description	See Access Control & Identity Verification description
	Planning	See Planning description	See Planning description
	Long-term Vulnerability Reduction	Build and sustain resilient systems, communities, and critical infrastructure and key resources lifelines so as to reduce their vulnerability to natural, technological, and human-caused threats and hazards by lessening the likelihood, severity, and duration of the adverse consequences.	<ul style="list-style-type: none"> <li>• Incorporating Mitigation Measures into Construction and Development</li> <li>• Adopting Vulnerability Reduction Standards and Building Codes</li> <li>• Developing Neighborhood Civic Organizations</li> <li>• Individual and Family Preparedness</li> </ul>

# APPENDIX C

## Allowable Expenses



*Please note that DHS has yet to issue guidelines for FY22. In the absence of this information, below please find the allowable spending information for FY21. At this time, the Management Team does not anticipate changes in the allowable spending guidelines in the FY22 Notice of Funding Opportunity. The Management Team will update stakeholders on any such changes in a timely manner.*

## **Bay Area UASI Guidance for Allowable Expenses**

### **Introduction**

The following is a summary of allowable spending areas under the UASI program as it pertains to the Bay Area UASI. Please contact the Bay Area UASI Management Team for clarification, should you have questions regarding allowable cost items. The spending areas are broken out under planning, organization, equipment, training and exercises (POETE) spending areas. This matches the DHS mandated budget sections for Investment Justifications that the Bay Area must submit in order to receive DHS funding. The spending areas below outline what is allowable and are not lists of what should or must be purchased.

Recipients must comply with all the requirements in 2 C.F.R. Part 200 (*Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*).

### **Planning**

Funds may be used for a range of emergency preparedness and management planning activities such as those associated with the development, review and revision of the THIRA, SPR, continuity of operations plans and other planning activities that support the National Preparedness Goal, placing an emphasis on updating and maintaining a current EOP that conforms to the guidelines outlined in CPG 101 v 2.0. For additional information, please see [http://www.fema.gov/pdf/about/divisions/npd/CPG\\_101\\_V2.pdf](http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf).

### **Organization**

Organizational activities include:

- Program management;
- Development of whole community partnerships;
- Structures and mechanisms for information sharing between the public and private sector;
- Implementing models, programs, and workforce enhancement initiatives to address ideologically-inspired radicalization to violence in the homeland;
- Tools, resources and activities that facilitate shared situational awareness between the public and private sectors;
- Operational Support;
- Utilization of standardized resource management concepts such as typing, inventorying, organizing, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident;
- Responding to an increase in the threat level under the National Terrorism Advisory System (NTAS), or needs in resulting from a National Special Security Event; and
- Paying salaries and benefits for personnel to serve as qualified intelligence analysts.

Proposed expenditures of UASI funds must support organization activities within the Investment Justification (IJ) submission. Per grant guidelines, the Bay Area UASI is allowed up to 50 percent

### **Bay Area UASI Guidance for Allowable Expenses**

(50%) of their funding for personnel costs. Personnel hiring, overtime, and backfill expenses are permitted under this grant only to the extent that such expenses are for the allowable activities within the scope of the grant. Personnel expenses may include but are not limited to: training and exercise coordinators, program managers and planners, intelligence analysts, and statewide interoperability coordinators (SWIC).

Upon request, a waiver of the 50 percent (50%) personnel limitation noted above may be granted. Requests for waivers to the personnel cap must be submitted by the authorized CalOES representative to DHS' Grants Program Directorate (GPD) in writing on official letterhead, with the following information:

- Documentation explaining why the cap should be waived;
- Conditions under which the request is being submitted; and
- A budget and method of calculation of personnel costs both in percentages of the grant award and in total dollar amount. To avoid supplanting issues, the request must also include a three-year staffing history for the requesting entity.

Organizational activities under UASI include:

**Intelligence analysts.** Per the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412), funds may be used to hire new staff and/or contractor positions to serve as intelligence analysts to enable information/intelligence sharing capabilities, as well as support existing intelligence analysts previously covered by UASI funding. In order to be hired as an intelligence analyst, staff and/or contractor personnel must meet at least one of the following criteria:

- Complete training to ensure baseline proficiency in intelligence analysis and production within six months of being hired; and/or,
- Previously served as an intelligence analyst for a minimum of two years either in a Federal intelligence agency, the military, or State and/or local law enforcement intelligence unit

All fusion center analytic personnel must demonstrate qualifications that meet or exceed competencies identified in the *Common Competencies for State, Local, and Tribal Intelligence Analysts*, which outlines the minimum categories of training needed for intelligence analysts. A certificate of completion of such training must be on file with the SAA and must be made available to the recipient's respective FEMA HQ Program Analyst upon request.

**Operational Overtime Costs.** In support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism and other catastrophic events, operational overtime costs are allowable for increased protective security measures at critical infrastructure sites or other high-risk locations and to enhance public safety during mass gatherings and high-profile events. In that regard, sub-recipients are urged to consider using grant funding to support soft target preparedness activities. UASI funds may be used to support select operational expenses associated with increased security measures in the authorized categories cited in the table below, but this table is not exhaustive. DHS/FEMA retains the discretion to approve other types of requests that do not fit within one of the categories of the table.

**Table 1: Authorized Operational Overtime Categories**

	<b>Category</b>	<b>Description</b>
1	<b>National Terrorism Advisory System (NTAS)</b>	Security measures in response to an increase in the threat level under the NTAS to an “elevated” or “imminent” alert status. GPD Information Bulletin No. 367, <i>Impact of National Terrorism Advisory System on Homeland Security Grant Programs</i> , remains applicable; therefore, advance authorization from FEMA is not required. Refer to <a href="https://www.dhs.gov/topic/ntas">https://www.dhs.gov/topic/ntas</a> for additional information on the NTAS.
2	<b>National Security Special Event (NSSE)</b>	Security measures for a designated NSSE. NSSEs are events of national or international significance deemed by DHS to be a potential target for terrorism or other criminal activity.
3	<b>Special Event Assessment Rating (SEAR) Level 1 through Level 4 Events</b>	<p>Security measures required for SEAR Level 1 through Level 4 events as designated by the Department of Homeland Security (DHS) and included in the DHS National Special Events List, as defined below:</p> <ul style="list-style-type: none"> <li>• SEAR 1: A significant event with national and/or international importance that may require extensive Federal interagency support;</li> <li>• SEAR 2: A significant event with national and/or international importance that may require some level of Federal interagency support.</li> <li>• SEAR 3: An event of national and/or international importance that requires only limited Federal support.</li> <li>• SEAR 4: An event with limited national importance that is managed at state and local level.</li> </ul> <p>NOTE: In cases where a threat of terrorism can be associated with a SEAR Level 5 event, the event planners should coordinate with their state or territory Homeland Security Advisor to seek re-adjudication of the SEAR rating. Operational overtime for</p>

**Bay Area UASI Guidance for Allowable Expenses**

		security measures associated with such events will be considered for approval by FEMA if re-adjudication results in a SEAR 1 through 4 rating.
<b>4</b>	<b>States of Emergency</b>	Declarations of states of emergency by the Governor associated with a terrorism-related threat or incident. This excludes Presidentially-declared major disasters or emergencies where federal funding support for the proposed grant-funded activity is made available through the FEMA Public Assistance program or other Federal disaster grants.
<b>5</b>	<b>National Critical Infrastructure Prioritization Program (NCIPP)</b>	Protection of Level 1 and Level 2 facilities identified through the Department of Homeland Security’s NCIPP based on a terrorism-related threat to critical infrastructure.
<b>6</b>	<b>Directed Transit Patrols</b>	Targeted security patrols in airports and major transit hubs based on a terrorism-related threat to transportation systems.
<b>7</b>	<b>Other Related Personnel Overtime Costs</b>	Overtime costs may be authorized for personnel assigned to directly support any of the security activities relating to the categories above. Examples include firefighters and emergency medical services personnel; public works employees who may be responsible for installing protective barriers and fencing; public safety personnel assigned to assist with event access and crowd control; emergency communications specialists; fusion center analysts; National Guard; contract security services; etc.
<b>8</b>	<b>Operational Support to a Federal Agency</b>	Overtime costs are allowable for personnel to participate in information, investigative, and intelligence sharing activities related to homeland security/terrorism preparedness and specifically requested by a federal agency. Allowable costs are limited to overtime associated with federally requested participation in eligible activities, including anti-terrorism task forces, Joint Terrorism Task Forces (JTTFs), Area Maritime Security Committees (as required by the Maritime Transportation Security Act of 2002), DHS

**Bay Area UASI Guidance for Allowable Expenses**

		<p>Border Enforcement Security Task Forces, and Integrated Border Enforcement Teams. In addition, reimbursement for operational overtime law enforcement activities related to combating transnational crime organizations in support of efforts to enhance capabilities for detecting, deterring, disrupting, and preventing acts of terrorism is an allowable expense under SHSP and UASI on a case by case basis. Grant funding can only be used in proportion to the federal man-hour estimate, and only after funding for these activities from other federal sources (i.e., FBI JTTF payments to state and local agencies) has been exhausted.</p>
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All allowable operational overtime costs are also subject to the administration requirements outlined in the following subsection.

*Administration of Operational Overtime Requests*

- With the exception of an elevated NTAS alert, UASI funds may only be spent for operational overtime costs upon prior written approval by FEMA. CalOES must submit operational overtime requests in writing, to its assigned FEMA Grant Programs Directorate (GPD) Program Analyst (PA). FEMA GPD will consider requests for special event activities up to one year in advance. However, such requests must be within the award’s current period of performance and not result in the need for a request to extend the period of performance.
- All operational overtime requests must clearly explain how the request meets the criteria of one or more of the categories listed in the table above. Requests must address the threat environment as it relates to the event or activity requiring operational overtime support and explains how the overtime activity is responsive to the threat. Request letters sent to FEMA GPD must be UNCLASSIFIED but may be labeled “For Official Use Only.” If explaining the threat will require the sharing of classified information, the letter should state as such. FEMA GPD will then make arrangements for the sharing of classified information through official channels.
- Post-event operational overtime requests will only be considered on a case-by-case basis, where it is demonstrated that exigent circumstances prevented submission of a request in advance of the event or activity.
- Under no circumstances may DHS/FEMA grant funding be used to pay for costs already supported by funding from another federal source.

### **Bay Area UASI Guidance for Allowable Expenses**

- CalOES can use funds retained at the state level to reimburse eligible operational overtime expenses incurred by the state (per the above guidance limitations). Any UASI funds retained by the state must be used in direct support of the Urban Area. States must provide documentation to the UAWG and DHS/FEMA upon request demonstrating how any UASI funds retained by the state would directly support the Urban Area.
- FEMA will consult and coordinate with appropriate DHS components as necessary to verify information used to support operational overtime requests. For example, the review of operational overtime requests for the protection of critical infrastructure will be coordinated with DHS Office of Cyber and Infrastructure Analysis to verify the Level I or Level II NCIPP designation. Also, DHS Office of Intelligence and Analysis will be consulted to validate reported threat information associated with the event or activity.

### **Equipment**

The 21 allowable prevention, protection, mitigation, response, and recovery equipment categories and equipment standards for HSGP are listed on the Authorized Equipment List (AEL). The AEL is available at <http://www.fema.gov/authorized-equipment-list>. Some equipment items require prior approval before the obligation or purchase of the items. Please reference the grant notes for each equipment item to ensure prior approval is not required.

Unless otherwise stated, equipment must meet all mandatory regulatory and/or DHS/FEMA-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

Investments in emergency communications systems and equipment must meet applicable SAFECOM Guidance. Such investments must be coordinated with the SWIC and the State Interoperability Governing Body (SIGB) to ensure interoperability and long-term compatibility.

Grant funds may be used for the procurement of medical countermeasures. Procurement of medical countermeasures must be conducted in collaboration with state, city, or local health departments that administer Federal funds from HHS for this purpose and with existing MMRS committees where available, in order to sustain their long-term planning for appropriate, rapid, and local medical countermeasures, including antibiotics and antidotes for nerve agents, cyanide, and other toxins. Procurement must have a sound threat-based justification with an aim to reduce the consequences of mass casualty incidents during the first crucial hours of a response. Prior to procuring pharmaceuticals, recipients submit a written inventory management plan to the UASI for approval by CalOES to avoid large periodic variations in supplies due to coinciding purchase and expiration dates. Recipients are encouraged to enter into rotational procurement agreements with vendors and distributors. Purchases of pharmaceuticals must include a budget for the disposal of expired drugs within each fiscal year's PoP for HSGP. The cost of disposal cannot be carried over to another DHS/FEMA grant or grant period.

EMS electronic patient care data systems should comply with the most current data standard of the National Emergency Medical Services Information System ([www.NEMESIS.org](http://www.NEMESIS.org)).

## **Training**

The regional Bay Area Training and Exercise Program (BATEP) will be responsible for reviewing and approving all training requests. Allowable training-related costs under UASI include the establishment, support, conduct, and attendance of training specifically identified under the UASI grant program and/or in conjunction with emergency preparedness training by other Federal agencies (e.g., HHS, DOT). Training conducted using HSGP funds should address a performance gap identified through an AAR/IP or other assessments (e.g., National Emergency Communications Plan NECP Goal Assessments) and contribute to building a capability that will be evaluated through a formal exercise. Any training or training gaps, including those for children, older adults, pregnant women, and individuals with disabilities and others who also have or access and functional needs, should be identified in the AAR/IP and addressed in the state or Urban Area training cycle. Recipients are encouraged to use existing training rather than developing new courses. When developing new courses, recipients are encouraged to apply the Analysis, Design, Development, Implementation and Evaluation model of instructional design using the *Course Development Tool*.

## **Exercise**

BATEP is also responsible for all regional exercises. Exercises should be used to provide the opportunity to demonstrate and validate skills learned in training, as well as to identify training gaps. Any training or training gaps should be identified in the AAR/IP and/or addressed in the Bay Area training plans and cycle. Exercises conducted with grant funding should be managed and conducted consistent with the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP guidance for exercise design, development, conduct, evaluation, and improvement planning is located at <https://www.fema.gov/exercise>.

In addition, the NOFO encourages the completion of a progressive exercise series and encourages inviting representatives/planners involved with other federally mandated or private exercise activities. The Bay Area UASI is further encouraged to share, at a minimum, the multiyear training and exercise schedule with those departments, agencies, and organizations included in the plan.

- *Validating Capabilities*. Exercises examine and validate capabilities-based planning across the Prevention, Protection, Mitigation, Response, and Recovery mission areas. The extensive engagement of the whole community, including, but not limited to, examining the needs and requirements for individuals with disabilities, individuals with limited English proficiency and others with access and functional needs, is essential to the development of an effective and comprehensive exercise program. Exercises are designed to be progressive – increasing in scope and complexity and drawing upon results and outcomes from prior exercises and real-world events – to challenge participating communities. Consistent with Homeland Security Exercise and Evaluation Program guidance and tools, the National Exercise Program (NEP) serves as the principal exercise mechanism for examining national preparedness and measuring readiness. Exercises should align with priorities and capabilities identified in a multi-year TEP.

### **Bay Area UASI Guidance for Allowable Expenses**

- *Special Event Planning.* If a jurisdiction within the region will be hosting a special event (e.g., Super Bowl, G-8 Summit), the special event planning should be considered as a training or exercise activity for the purpose of the multi-year TEP. All confirmed or planned special events must be included in the Multi-year TEP. UASI funding may be used to finance training and exercise activities in preparation for those events. States and Urban Areas should also consider exercises at major venues (e.g., arenas, convention centers) that focus on evacuations, communications, and command and control.
- *Regional Exercises.* States should also anticipate participating in at least one regional exercise annually.
- *Role of Non-Governmental Entities in Exercises.* Non-governmental participation in all levels of exercises is strongly encouraged. Leaders from non-governmental entities should be included in the planning, design, and evaluation of an exercise. State, local, tribal, and territorial jurisdictions are encouraged to develop exercises that test the integration and use of resources provided by non-governmental entities, defined as the private sector and private non-profit, faith-based, and community organizations. Participation in exercises should be coordinated with local Citizen Corps Whole Community Council(s) or their equivalents and other partner agencies.

### **Maintenance and Sustainment**

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees are allowable as described in FEMA Policy [FP 205-402-125-1](#) under all active and future grant awards, unless otherwise noted. With the exception of maintenance plans purchased incidental to the original purchase of the equipment, the period covered by maintenance or warranty plan must not exceed the period of performance of the specific grant funds used to purchase the plan or warranty.

Grant funds are intended to support projects that build and sustain the core capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation. In order to meet this objective, the policy set forth in GPD's IB 379 (Guidance to State Administrative Agencies to Expedite the Expenditure of Certain DHS/FEMA Grant Funding) allows for the expansion of eligible maintenance and sustainment costs which must be in 1) direct support of existing capabilities; (2) must be an otherwise allowable expenditure under the applicable grant program; (3) be tied to one of the core capabilities in the five mission areas contained within the Goal, and (4) shareable through the Emergency Management Assistance Compact (EMAC). Additionally, eligible costs must also be in support of equipment, training, and critical resources that have previously been purchased with either Federal grant or any other source of funding other than DHS/FEMA preparedness grant program dollars.

## **Law Enforcement Terrorism Prevention Allowable Costs**

Activities eligible for the use of LETPA focused funds include but are not limited to:

- Maturation and enhancement of designated our fusion center, including information sharing and analysis, threat recognition, terrorist interdiction, and training/ hiring of intelligence analysts;
- Coordination between the fusion center and other analytical and investigative efforts including, but not limited to the Joint Terrorism Task Force (JTTF), Field Intelligence Groups (FIGs), High Intensity Drug Trafficking Areas (HIDTAs), Regional Information Sharing Systems (RISS) Centers, criminal intelligence units, and real-time crime analysis centers;
- Implementation and maintenance of the Nationwide Suspicious Activity Reporting (SAR) Initiative, including training for front line personnel on identifying and reporting suspicious activities;
- Implementation of the “If You See Something, Say Something™” campaign to raise public awareness of indicators of terrorism and terrorism-related crime and associated efforts to increase the sharing of information with public and private sector partners, including nonprofit organizations. Note: DHS/FEMA requires that the Office of Public Affairs be given the opportunity to review and approve any public awareness materials (e.g., videos, posters, tri-folds, etc.) developed using HSGP grant funds for the “If You See Something, Say Something™” campaign to ensure these materials are consistent with the Department’s messaging and strategy for the campaign and the initiative’s trademark;
- Increase physical security, through law enforcement personnel and other protective measures by implementing preventive and protective measures at critical infrastructure site or at-risk nonprofit organizations; and
- Building and sustaining preventive radiological and nuclear detection capabilities, including those developed through the Securing the Cities initiative.

## **Requirements for Small Unmanned Aircraft System**

All requests to purchase Small Unmanned Aircraft Systems (SUAS) with FEMA grant funding must comply with IB 426 and include a description of the policies and procedures in place to safeguard individuals’ privacy, civil rights, and civil liberties of the jurisdiction that will purchase, take title to or otherwise use the SUAS equipment. CalOES conducts a primary review prior to submitting it to FEMA and this review process can be quite lengthy.

## **Critical Emergency Supplies**

In order to further DHS/FEMA's mission, critical emergency supplies, such as shelf stable products, water, and basic medical supplies are an allowable expense under UASI. Prior to the allocation of grant funds for stockpiling purposes, each state must have DHS/FEMA's approval of a five-year viable inventory management plan which should include a distribution strategy and related sustainment costs if planned grant expenditure is over \$100,000.

If grant expenditures exceed the minimum threshold, the five-year inventory management plan will be developed by the recipient and monitored by FEMA GPD with the assistance of the FEMA Logistics Management Directorate (LMD). FEMA GPD will coordinate with LMD and the respective FEMA Region to provide program oversight and technical assistance as it relates to the purchase of critical emergency supplies under UASI. FEMA GPD and LMD will establish guidelines and requirements for the purchase of these supplies under UASI and monitor development and status of the state's inventory management plan.

CalOES is strongly encouraged to consult with the FEMA Region IX Logistics Chief regarding disaster logistics- related issues.

DHS/FEMA approved plans are to be shared by CalOES with local jurisdictions and Tribes in our region.

## **Construction and Renovation**

Project construction using UASI funds may not exceed the greater of \$1,000,000 or 15% of the grant award. For the purposes of the limitations on funding levels, communications towers are not considered construction.

Written approval must be provided by DHS/FEMA prior to the use of any UASI funds for construction or renovation. When applying for construction funds, recipients must submit evidence of approved zoning ordinances, architectural plans, and any other locally required planning permits. Additionally, recipients are required to submit a SF-424C Budget and Budget detail citing the project costs.

Recipients using funds for construction projects must comply with the Davis-Bacon Act (40 U.S.C. § 3141 et seq.). Recipients must ensure that their contractors or subcontractors for construction projects pay workers no less than the prevailing wages for laborers and mechanics employed on projects of a character similar to the contract work in the civil subdivision of the state in which the work is to be performed. Additional information regarding compliance with the Davis-Bacon Act, including Department of Labor (DOL) wage determinations, is available from the following website <https://www.dol.gov/whd/govcontracts/dbra.htm>.

Communications Towers. When applying for funds to construct communication towers, recipients and sub-recipients must submit evidence that the FCC's Section 106 review process has been completed and submit all documentation resulting from that review to GPD using the guidelines in EHP Supplement prior to submitting materials for EHP review. Completed EHP review materials for construction and communication tower projects must be submitted as soon as possible to get

## **Bay Area UASI Guidance for Allowable Expenses**

approved by the end of the PoP. EHP review materials should be sent to [gpdehpinfo@fema.gov](mailto:gpdehpinfo@fema.gov).

### **Personnel**

Personnel hiring, overtime, and backfill expenses are permitted under this grant in order to perform allowable HSGP planning, training, exercise, and equipment activities. Personnel may include but are not limited to: training and exercise coordinators, program managers for activities directly associated with UASI funded activities, intelligence analysts, and statewide interoperability coordinators (SWIC).

In general, the use of grant funds to pay for staff and/or contractor regular time or overtime/backfill is considered a personnel cost. Grant funds may not be used to support the hiring of any personnel for the purposes of fulfilling traditional public health and safety duties or to supplant traditional public health and safety positions and responsibilities.

For further details, see FP 207-093-1, Clarification on the Personnel Reimbursement for Intelligence Cooperation and Enhancement of Homeland Security Act of 2008 (Public Law 110-412 – the PRICE Act), or contact their FEMA HQ Program Analyst.

HSGP funds may not be used to support the hiring of any personnel to fulfil traditional public health and safety duties or to supplant traditional public health and safety positions and responsibilities.

The following are definitions as they relate to personnel costs:

- *Hiring.* State and local entities may use grant funding to cover the salary of newly hired personnel who are exclusively undertaking allowable /DHS/FEMA program activities as specified in this guidance. This may not include new personnel who are hired to fulfill any non-DHS/FEMA program activities under any circumstances. Hiring will always result in a net increase of Full Time Equivalent (FTE) employees.
- *Overtime.* These expenses are limited to the additional costs which result from personnel working over and above 40 hours of weekly work time as a direct result of their performance of DHS/FEMA-approved activities specified in this guidance. Overtime associated with any other activity is not eligible.
- *Backfill-related Overtime.* Also called “Overtime as Backfill,” these expenses are limited to overtime costs which result from personnel who are working overtime (as identified above) to perform the duties of other personnel who are temporarily assigned to DHS/FEMA-approved activities outside their core responsibilities. Neither overtime nor backfill expenses are the result of an increase of FTE employees.
- *Supplanting.* Grant funds will be used to supplement existing funds and will not replace (supplant) funds that have been appropriated for the same purpose. Applicants or recipients may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

## ***Bay Area UASI Guidance for Allowable Expenses***

### **Unallowable Costs**

- Per FEMA policy, the purchase of weapons and weapons accessories, including ammunition, is not allowed with HSGP funds.
- Grant funds may not be used for the purchase of equipment not approved by DHS/FEMA. Grant funds must comply with IB 426 and may not be used for the purchase of the following equipment: firearms; ammunition; grenade launchers; bayonets; or weaponized aircraft, vessels, or vehicles of any kind with weapons installed.

Unauthorized exercise-related costs include:

- Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles), medical supplies, and emergency response apparatus (e.g., fire trucks, ambulances).
- Equipment that is purchased for permanent installation and/or use, beyond the scope of the conclusion of the exercise (e.g., electronic messaging sign).

**Bay Area UASI Guidance for Allowable Expenses**

**Allowable Cost Matrix**

The following matrix provides allowable cost activities that fall under each of the cost categories. Recipients and subrecipients must follow all applicable requirements in 2 C.F.R. Part 200 (*Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*). Funds under HSGP may be used to cover the costs for evaluating the impact of these grants on the state or urban area’s core capabilities and capability gaps. This list is not exhaustive, therefore, if there are any questions regarding allowable costs, please contact the appropriate HQ GPD Program Analyst. For additional information on allowable costs, see the [Preparedness Grants Manual](#).

Allowable Program Activities	UASI
<b>Allowable Planning Costs</b>	
Developing hazard/threat-specific annexes	Y
Developing and implementing homeland security support programs and adopting ongoing DHS/FEMA national initiatives	Y
Developing related terrorism and other catastrophic event prevention activities	Y
Developing and enhancing plans and protocols	Y
Developing or conducting assessments	Y
Hiring of full- or part-time staff or contract/consultants to assist with planning activities	Y
Materials required to conduct planning activities	Y
Travel/per diem related to planning activities	Y
Overtime and backfill costs (in accordance with operational Cost Guidance)	Y
Issuance of WHTI-compliant Tribal identification cards	N
Activities to achieve planning inclusive of people with disabilities and others with access and functional needs and limited English proficiency.	Y
Coordination with Citizen Corps Councils for public information/education and development of volunteer programs	Y
Update governance structures and processes and plans for emergency communications	Y
Development, and review and revision of continuity of operations plans	Y
Development, and review and revision of the THIRA/SPR continuity of operations plans	Y
<b>Allowable Organizational Activities</b> <b>Note:</b> Personnel hiring, overtime, and backfill expenses are permitted under this grant only to the extent that such expenses are for the allowable activities within the scope of the grant.	
Program management	Y
Development of whole community partnerships	Y

**Bay Area UASI Guidance for Allowable Expenses**

Structures and mechanisms for information sharing between the public and private sector	Y
Implementing models, programs, and workforce enhancement initiatives	Y
Tools, resources, and activities that facilitate shared situational awareness between the public and private sectors	Y
Operational support	Y
Utilization of standardized resource management concepts	Y
Responding to an increase in the threat level under the National Terrorism Advisory System (NTAS), or needs in resulting from a National Special Security Event	Y
Reimbursement for select operational expenses associated with increased security measures at critical infrastructure sites incurred (up to 50 percent of the allocation)	Y
Overtime for information, investigative, and intelligence sharing activities (up to 50 percent of the allocation)	Y
Hiring of new staff positions/contractors/consultants for participation in information/intelligence analysis and sharing groups or fusion center activities (up to 50 percent of the allocation).	Y
<b>Allowable Equipment Categories</b>	
Personal Protective Equipment	Y
Explosive Device Mitigation and Remediation Equipment	Y
CBRNE Operational Search and Rescue Equipment	Y
Information Technology	Y
Cybersecurity Enhancement Equipment	Y
Interoperable Communications Equipment	Y
Detection	Y
Decontamination	Y
Medical countermeasures	Y
Power (e.g., generators, batteries, power cells)	Y
CBRNE Reference Materials	Y
CBRNE Incident Response Vehicles	Y
Terrorism Incident Prevention Equipment	Y
Physical Security Enhancement Equipment	Y
Inspection and Screening Systems	Y
Animal Care and Foreign Animal Disease	Y

**Bay Area UASI Guidance for Allowable Expenses**

CBRNE Prevention and Response Watercraft	Y
CBRNE Prevention and Response Unmanned Aircraft	Y
CBRNE Aviation Equipment	Y
CBRNE Logistical Support Equipment	Y
Intervention Equipment (e.g., tactical entry, crime scene processing)	Y
Critical emergency supplies	Y
Vehicle acquisition, lease, and rental	N
Other Authorized Equipment	Y

<b>Allowable Training Costs</b>	
Overtime and backfill for emergency preparedness and response personnel attending DHS/FEMA-sponsored and approved training classes	Y
Overtime and backfill expenses for part-time and volunteer emergency response personnel participating in DHS/FEMA training	Y
Training workshops and conferences	Y
Activities to achieve training inclusive of people with disabilities and others with access and functional needs and limited English proficiency	Y
Full- or part-time staff or contractors/consultants	Y
Travel	Y
Supplies	Y
Instructor certification/re-certification	Y
Coordination with Citizen Corps Councils in conducting training exercises	Y
Interoperable communications training	Y
Activities to achieve planning inclusive of people with limited English proficiency	Y
Immigration enforcement training	Y
<b>Allowable Exercise Related Costs</b>	
Design, Develop, Conduct, and Evaluate an Exercise	Y
Full- or part-time staff or contractors/consultants	Y
Overtime and backfill costs, including expenses for part-time and volunteer emergency response personnel participating in DHS/FEMA exercises	Y
Implementation of HSEEP	Y
Activities to achieve exercises inclusive of people with disabilities and others with access and functional needs	Y

**Bay Area UASI Guidance for Allowable Expenses**

Travel	Y
Supplies	Y
Interoperable communications exercises	Y
<b>Allowable Exercise Related Costs</b>	
Activities to achieve planning inclusive of people with limited English proficiency	Y
<b>Allowable Management &amp; Administrative Costs</b>	
Hiring of full- or part-time staff or contractors/consultants to assist with the management of the respective grant program, application requirements, and compliance with reporting and data collection requirements	Y
Development of operating plans for information collection and processing necessary to respond to DHS/FEMA data calls	Y
Overtime and backfill costs	Y
Travel	Y
Meeting related expenses	Y
Authorized office equipment	Y
Recurring expenses such as those associated with cell phones and faxes during the PoP of the grant program	Y
Leasing or renting of space for newly hired personnel during the PoP of the grant	Y
<b>Law Enforcement Terrorism Prevention Activities (LETPA) Costs</b>	
Integration and interoperability of systems and data, such as CAD and RMS, to	Y
Maturation and enhancement of designated state and major Urban Area fusion	Y
Coordination between fusion centers and other analytical and investigative efforts	Y
Implementation and maintenance of the Nationwide SAR Initiative	Y
Implementation of the "If You See Something, Say Something®" campaign	Y
Increase physical security, through law enforcement personnel and other protective measures, by implementing preventive and protective measures at critical	Y
Building and sustaining preventive radiological and nuclear detection capabilities	Y