



**To: Bay Area UASI Approval Authority**  
**From: Catherine Spaulding, Assistant General Manager**  
**Date: August 8, 2013**  
**Re: Item #8: Management Team Policies and Procedures**

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**Recommendation:**

Approve the updated Management Team Policies and Procedures

**Attachments:**

Appendix A: 2013 Bay Area UASI Management Team Policies and Procedures (redlined)

**Discussion:**

In March 2012, the Approval Authority approved the 2012 Bay Area UASI Management Team Policies and Procedures. Per the 2011 Bylaws, these need to be updated annually and approved by the Approval Authority.

The Management Team has updated the Policies and Procedures Manual in consultation with staff. There are no substantive changes to the document, although considerable edits have been made to update, clarify, and bring the document in better alignment with current practices. Key changes include:

- Updates to the organizational chart (page 6)
- Updated Terms of Reference template for assigned staff (page 8 and Appendix F)
- Addition of a fraud policy (page 32)

A redlined version of the policies and procedures is included as an attachment to this report.

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AGENDA ITEM # 8

APPENDIX A

2013 BAY AREA UASI  
MANAGEMENT TEAM  
POLICIES AND  
PROCEDURES (REDLINED)



**Bay Area Urban Areas  
Security Initiative (UASI)  
Management Team  
Policies and Procedures Manual**

~~March-August~~ 2013

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## I. INTRODUCTION

### A. Scope and Purpose

This manual provides administrative standards, policies, and procedures for Bay Area UASI Management Team staff members. This manual includes:

- Staffing and personnel procedures;
- General office procedures;
- Professional standards; and
- Ethical principles.

The Bay Area UASI Management Team aims to provide a valuable service to the community region and offer staff members a work environment conducive to both professional and personal growth. These policies describe each staff member's obligations. If any policy or procedure is not clear, it is the responsibility of the staff member to request guidance or clarification on the policy.

No manual can anticipate every circumstance or question about policy. The Bay Area UASI Management Team reserves the right to revise, supplement, or rescind any policies or portion of this manual from time to time as it deems appropriate. Staff will be notified of changes to the manual as they occur.

Every staff member is expected to read, understand, and comply with all the provisions of this manual, both in their specific direction and the spirit in which they were written. As a team of professionals, our goal is to serve our regional community and maintain a commitment to excellence.

### B. Affected Parties

These policies and procedures apply to all Bay Area UASI Management Team staff members, who are drawn from various member jurisdictions of the Bay Area UASI. These policies and procedures apply to all staff members unless they are in conflict with specific provisions of existing labor agreements or with specific provisions of state or federal law. In such cases, the provisions of those agreements or laws should prevail for the employees covered under those agreements or laws.

### C. Bay Area UASI

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

The Bay Area UASI's footprint is comprised of three major cities (Oakland, San Francisco, and San Jose); twelve counties (Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Monterey, San Benito, Santa Cruz, Solano, and Sonoma); and more than 100 incorporated cities. The primary source of funds comes from the Homeland Security Grant Program (UASI program) administered by the Department of Homeland Security.

Governed by MOUs between participant jurisdictions, the Bay Area UASI is managed through a multi-layered governance structure. At the top level is the Approval Authority, which is supported by an Advisory Group. The City and County of San Francisco serves as the fiscal agent for the Bay Area UASI.

Please see the website, [www.bayareauasi.org](http://www.bayareauasi.org), and the Bay Area UASI Grants and Projects Policy and Procedures Manual for more information on the participants and functioning of the Bay Area UASI.

### D. Management Team

The Bay Area UASI Management Team is responsible for implementing policy decisions of the Approval Authority, which includes the administration and management of regional projects that have been endorsed by the Approval Authority, and all other administrative and legislative responsibilities associated with running the UASI. This includes regional capability assessment, planning and strategy development, resource allocation, implementation, and evaluation of the Bay Area UASI program. In addition, the team is responsible for the liaison role between the City and County of San Francisco, which serves as the fiscal agent for grant funds, and the grantors and sub-recipients. The Management Team also serves as the point of contact for all inquiries and issues from regional stakeholders and may assist, schedule, and/or facilitate Approval Authority, ~~Advisory Group, Regional Hub Group, and other~~ and stakeholder meetings.

The Management Team is comprised of two units, Project Management and Grants Management.



The Project Management Unit is responsible for:

- **Needs Identification** – Working with ~~any advisory group, regional hub groups, and/or working group~~ and s, as well as appropriate Bay Area stakeholders, to obtain input and assist with ~~project~~ recommendations to the Approval Authority on application for and allocation and distribution of grant funds, ~~which align with policy and programmatic objectives.~~
- **Coordination and Collaboration** – Coordinating ~~and collaborating and advisory and working groups,~~ including serving as the liaison between those groups to ensure regional coordination and collaboration.
- **Project-Program Administration** – Overseeing and executing all administrative tasks associated with application for ~~regional projects~~ and distribution of grant funds; including: maintaining records, negotiating deliverables, drafting documents, ~~and coordinating timelines for projects, and creating agreements outlining contract amounts and terms.~~
- **Project Management** – Providing regional coordination, monitoring, and appropriate oversight and management of grant funded projects and programs.

The Grants Management Unit is responsible for:

- **Grants Administration** – Administering federal grant awards to ensure compliance with federal laws, regulations, executive orders, OMB circulars, departmental policy, award terms and conditions, and state and local requirements.
- **Procurement** – Developing contracts for projects and reviewing and approving contract procurement for sub-recipient projects.
- **Accounting** – Reconciling financial records, responding to internal and external audits, reimbursement of sub-recipients, processing of cash requests, and ensuring all activities carried out under the Bay Area UASI grant program are reasonable and allowable.
- **Sub-recipient Partnerships** – ~~Helping pP~~ preparing e and modify ing agreements between the Bay Area UASI and sub-recipients as well as monitoring sub-recipients to ensure compliance with grant requirements.

Please see the Bay Area UASI Grants ~~and Projects Policy and Procedures~~ Manual for more information on the responsibilities of the Bay Area UASI Management Team.

## II. STAFFING AND PERSONNEL PROCEDURES

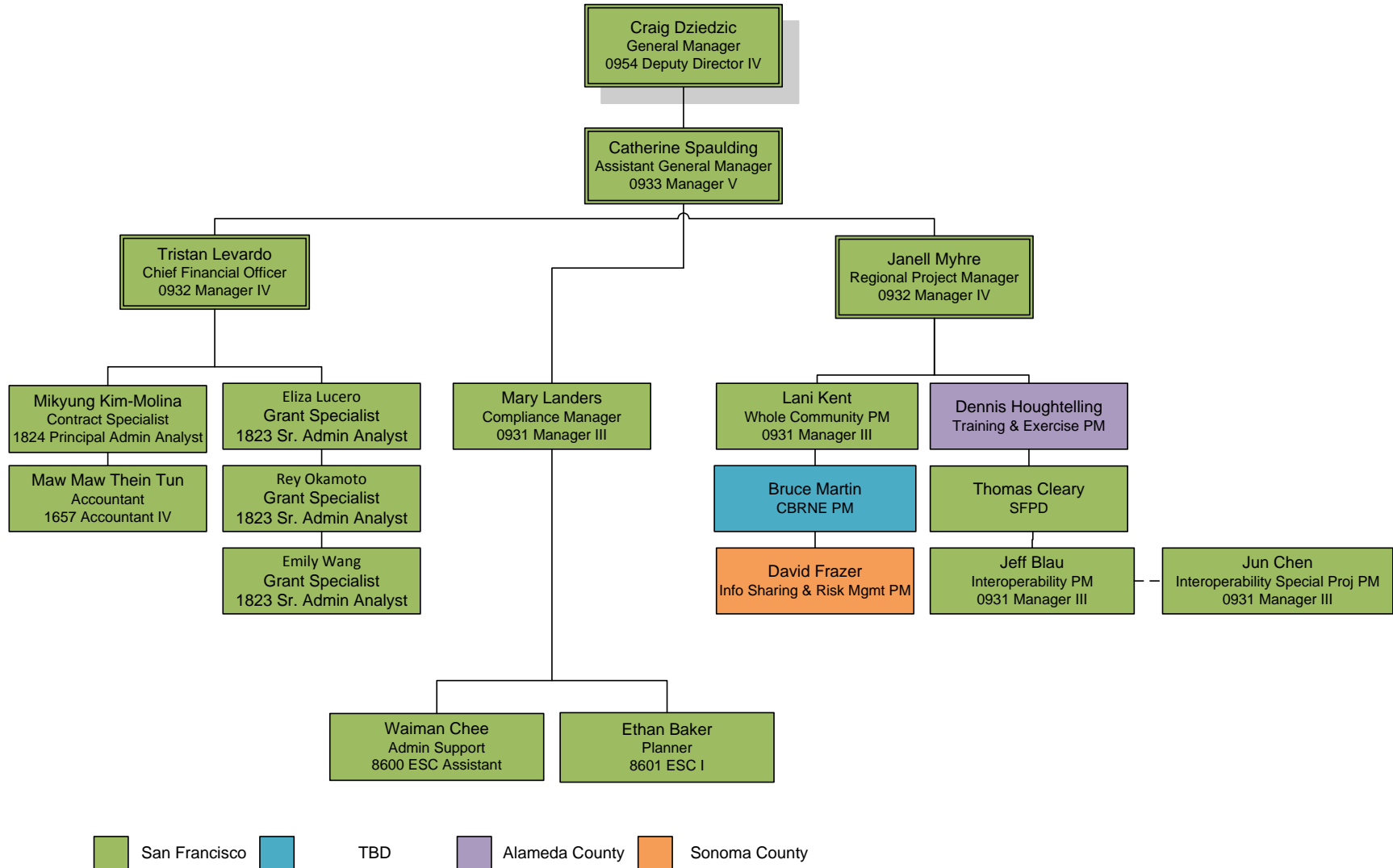
### A. Staffing and General Responsibilities

The Bay Area UASI is staffed with approximately twenty full time staff from the City and County of San Francisco and other Bay Area UASI member jurisdictions. All members work on the behalf of the Bay Area region and represent the interests of the region.:

- **General Manager** – The General Manager is responsible for providing region-wide leadership and administration of all grant initiatives in federal homeland security grants, in direct support of the homeland security strategies approved by the Approval Authority and awarded to the Bay Area Region. The position develops **and implements** division goals, objectives, policies, and priorities as well as selects and manages a Management Team.
- ~~Director of Strategy and Compliance~~**Assistant General Manager** – The ~~Director~~ **Assistant General Manager** develops ~~and coordinates the region's~~ strategic planning and risk management efforts. This position serves as the state and federal point of contact; implements systems for grants monitoring, reporting, compliance, and performance management; and manages staff to ensure all regional projects and initiatives are implemented on a timely basis.
- **Chief Financial Officer** – The CFO oversees financial administration of grants including contracts and MOUs, accounting, sub-recipient reimbursements, and reporting to state and federal governments. The CFO ensures that all sub-recipient jurisdictions follow applicable grant financial guidelines, as well as develops and maintains policies, procedures, and systems for monitoring financial performance of projects.
- **Program/Project Managers** – Bay Area UASI Project Managers are directed by a Regional Program Manager. Program/project managers are responsible for program implementation and coordination of multiple complex projects. Responsibilities include acting as a liaison to UASI partner jurisdiction cities and counties as well as ensuring that project goals and objectives are met, grant milestones are achieved, and projects are completed within performance periods.
- **Finance and Grants Managers/Analysts** – Finance and grants managers and analysts ensure compliance with grant guidelines; monitor and evaluate performance; undertake fiscal and accounting reconciliation; coordinate and respond to audit investigations; and prepare statistical, fiscal and programmatic reports.
- **Administrative ~~Manager-Support~~** – ~~The~~ Administrative ~~Manager-staff~~ provides administrative support to the Bay Area UASI and the Management Team, including the

management of scheduling and noticing, meeting agendas and minutes, correspondence, website design and maintenance, invoices, supplies, equipment servicing, and work progress tracking tools.

**B. Organizational Chart**



### **C. Applicable Personnel Policies and Procedures**

Pursuant to the MOU 2011 and Bylaws, all civil service rules and personnel policies and procedures from the home jurisdictions of staff of the Management Team apply and should be strictly complied with in personnel management matters, such as hiring, promotion, and discipline.

### **D. New Employee Orientation**

The General Manager or designee will provide an orientation to acquaint newly hired staff members with the Bay Area UASI Management Team office, context, and working environment.

### **E. Hiring and Promotion**

The Bay Area UASI Management Team practice is to hire or promote the best candidate available in a fair and transparent process. Civil service guidelines from member jurisdictions suggest that each candidate's merit and seniority be considered, along with affirmative action plans. All recruitment and selection processes—including those for assigned personnel—will be open, competitive, well organized, and documented. Vacancies will be widely and publically advertised, and all candidates will be evaluated on an equal basis. Efforts will be made to maintain appropriate representation of participating Bay Area UASI jurisdictions by giving consideration to the following criteria:

- Subject matter expertise;
- Geographic diversity;
- Candidate's availability and time commitment;
- Grant performance period;
- Project deadlines and deliverables;
- Existing agreement with participating jurisdictions;
- Recommendations from members of the regional working groups, Advisory Group, and/or Approval Authority.

The Bay Area UASI Management Team will carry out recruitment and selection processes in accordance with the City and County of San Francisco Civil Service rules and in coordination with the City and County of San Francisco Department of Emergency Management Personnel Office and the City and County of San Francisco Department of Human Resources.

## F. Assigned Personnel From Member Jurisdictions

When hiring at the project ~~/program~~-manager level, efforts will be made to utilize assigned subject matter experts from member jurisdictions. In order to maintain an efficient operating environment, all such staff must be available to work for the Management Team for at least ~~18 months~~two years, on a full time basis, and be based at the Bay Area UASI Management Team offices in San Francisco at least two days per week and as business needs require. Assigned staff may be considered for alternative work schedules per the provisions laid out in Section III "General Office Procedures."

For all assigned staff, a "Terms of Reference" document ~~a MOU agreement~~ must be signed by the assigned staff member, the assigned staff member's direct supervisor in his or her home jurisdiction, the fiscal agent Bay Area UASI General Manager, and the relevant Approval Authority member ~~and the home jurisdiction of the assigned staff member~~. Such an agreement must be finalized and signed before the assigned staff member may begin any Bay Area UASI work duties. The agreement should ~~outline the terms of reference for the staff person and~~ must include:

- Performance period and termination of services;
- Work location;
- Frequency;
- Funding;
- Scope of work;
- Compensation and benefits;
- Roles and responsibilities of the employee's home jurisdiction; and
- Roles and responsibilities of the host (Bay Area UASI Management Team).

~~Additionally, a Memorandum Of Understanding Regarding Personnel Assigned to the Bay Area UASI Management Team between the UASI General Manager and the Approval Authority Member of the jurisdiction must be signed prior to the commencement of the assignment. (A sample copy of the document, attached as Appendix F)~~

~~Home jurisdictions of assigned staff are ultimately responsible for completing appraisal procedures based on the provided information. Please see section G below.~~

As specified in the Terms of Reference document, assigned Personnel-personnel from other member jurisdictions may be terminated from an assignment to the Bay Area UASI Management Team at any time, with or without cause (2011 Bylaws Article VII, section 7.1 (d)). Prior to terminating an assignment on the UASI Management Team, whenever reasonably possible, the General Manager will contact the Approval Authority Member of the Assigned assigned Personnel-personnel not less than 30 days from the termination of assignment date

and issue the ~~a~~Assigned ~~Personnel~~ ~~personnel~~ written notice of the termination of assignment (“Termination of Assignment”). Upon receiving the Termination of Assignment, the Approval Authority Member will notify the employee’s ~~Supervisor~~ ~~supervisor~~ and arrange for the return of the ~~Assigned~~ ~~assigned~~ ~~Employee~~ ~~employee~~ to the ~~Employing~~ ~~employing~~ ~~Jurisdiction~~ ~~jurisdiction~~. The ~~Assigned~~ ~~assigned~~ ~~Personnel~~ ~~personnel~~ will return all equipment and will not have access to the UASI work place premises no later than two weeks from the actual termination date.

~~Please see the TOR template for seconded staff in Appendix F more information. The Approval Authority Member will make a good faith effort to replace the Assigned Personnel with a candidate possessing similar skills and subject matter expertise.~~

~~Home jurisdictions of assigned staff are ultimately responsible for completing appraisal procedures based on the provided information. Please see section G below.~~

## G. Performance Evaluations

It is the policy of the Bay Area UASI Management Team to prepare annual written performance plans and appraisals for all staff on a fiscal year basis as follows:

- ~~Performance a~~Appraisals for the previous fiscal year are due by July 31 of each year.
- ~~Performance p~~Plans for the upcoming, current fiscal year are due by August 31 of each year.
- ~~Performance p~~Plans for new staff are due within six weeks of the staff person's start date.
- ~~Performance a~~Appraisals of new staff are due at the mid-point of the probationary period or at six months, whichever is sooner, in addition to the annual appraisal required at the end of the fiscal year.

Managers/supervisors use the standard City and County of San Francisco performance planning and appraisal form for their direct reports, adopting tailored key objectives for the office and the specific job responsibilities of the staff member under review (see Appendix A for template).

Before sharing draft appraisals with the staff member under evaluation, managers will submit all drafts to the next level supervisor for review. This review is made to ensure completeness, compliance, fairness, constructiveness, and consistency of evaluations. Once reviewed, managers will share draft performance appraisals with staff members. Managers are then responsible for setting up one-on-one, in-person meetings with staff members to discuss appraisals, clarify content, and hear staff feedback. In the performance appraisal evaluation and meeting, managers provide the following information:

- An objective assessment of work performance and skill level;
- Identification of areas of strength and accomplishment;
- Identification of areas of work performance that need improvement;
- Identification of training needs; and
- A joint plan of action for the coming evaluation period.

If managers subsequently make any changes to the appraisal document, these must be shared with the reviewer before the appraisal is signed and finalized. To finalize the appraisal process, documents are signed by the employee, manager, and reviewer.

For assigned personnel (staff members who are not City and County of San Francisco employees and who are assigned to the Bay Area UASI Management Team from member jurisdictions), the Bay Area UASI General Manager or his delegate will provide performance plan and appraisal information to the home jurisdiction, per the schedule and process above. Home jurisdictions are ultimately responsible for completing appraisal procedures based on the



provided information. To ensure fairness and consistency of review processes and content, the same performance planning and appraisal template will be used for all Management Team staff members (see Appendix A for template).

## **H. Ongoing Performance Feedback**

For all Bay Area UASI Management Team staff members, progress towards goals specified in performance plans should form the basis of regular performance feedback and coaching provided by their managers/supervisors, and, if required, discipline.

In addition to the formal appraisal period at the end of the fiscal year, managers are responsible for providing performance feedback that is immediate, direct, and specific on an ongoing basis. Managers should check in with their direct reports on performance-related issues and progress on objectives outlined in performance plans at least quarterly.

### **~~I. 360 Evaluations~~**

~~A 360 evaluation process, or “multi-rater” process, provides staff members the opportunity to conduct a self-assessment and receive feedback from supervisors, peers, direct reports, stakeholders, and other team members. The process allows the staff person an understanding of how his or her effectiveness is viewed by others. The Bay Area UASI Management Team currently does not have a 360 evaluation process in place. However, it is the intention of the General Manager to establish such a process by the end of fiscal year 2013. The results of the 360 process will not be a formal part of the appraisal process but will be a tool in planning and supporting individual staff training and development.~~

### **II. Training and Professional Development**

Bay Area UASI managers/supervisors are responsible for serving as professional development advisors to those staff members ~~that who~~ report to them. They should encourage and enhance professional development by providing staff members with guidance regarding appropriate training opportunities and professional development needs. Professional development plans should be identified at the beginning of the fiscal year and stated in the performance plan document.

All Management Team staff members should complete at least 24 hours of professional development each year as part of the annual performance plan (this does not include any

mandatory training such as harassment prevention or disaster service worker training). It is expected that these hours, when approved by management, may be completed while using work time. See “Additional Resources” in Section IV below on “Professional Standards” for training and professional development resources.

Training requests should be made using the Bay Area UASI Management Team Training Request Form (see Appendix B) and must be approved in advance by the immediate supervisor and the General Manager or designee. Training that includes travel will generally be limited to professional conferences or specialized training that is not offered locally, and is subject to the Bay Area UASI Travel Policy (see Appendix C). Approval of training that is not required or that involves travel will be on a case-by-case basis.

City and County of San Francisco employees of the Bay Area UASI Management Team must undertake City-required training courses as directed. For elective professional development courses that are not required, employees may use union employee development funds, which vary based on the terms of each union’s Memorandum of Understanding. When using union funds, the employee must pay for the training in advance and submit a request for reimbursement, required receipts, and proof of completion to the union after completing the training.

#### **K.J. Termination of Services**

For staff members who are San Francisco employees, termination from the Bay Area UASI Management Team will be pursuant to applicable San Francisco Civil Service rules and personnel policies and procedures. As discussed above, ~~Assigned-assigned~~ employees from other member jurisdictions who are not San Francisco employees, ~~such me~~ may be terminated from an assignment to the Bay Area UASI Management Team at any time, with or without cause (2011 Bylaws Article VII, section 7.1 (d)). See Section F above.

#### **L.K. Statement of Economic Interest – Form 700**

~~The Approval Authority isn't a legal entity, and there is no separate Form 700 filing requirement related to serving on the Approval Authority. Any requirement to file would come only from the individual's employing jurisdiction.~~ Personnel assigned to the Bay Area UASI Management Team should look to their local rules to determine whether he/she needs to file a Form 700. A member —jurisdiction could specify that someone serving on the Approval Authority —or assigned to the UASI Management Team is a Form 700 filer at a specific disclosure category. For San Francisco employees, the employing department is determined by the CA Campaign & Government Conduct Code. The Approval Authority isn't a legal entity, and there is no separate Form 700 filing requirement related to serving on the Approval Authority. Any requirement to file would come only from the individual's employing jurisdiction.

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### III. GENERAL OFFICE PROCEDURES

#### A. Office Hours

Regular working hours for the Bay Area UASI Management Team are weekdays from 8:30 AM to 5:30 PM, with a one-hour lunch and two 15-minute breaks, one in the morning and the second in the afternoon. Staff members are expected to work eight hours each regular working day, unless on an otherwise approved schedule, and should arrive and leave within a 30 minute range of their designated regular working hours. The lunch hour may be shortened to a minimum 30 minute lunch. However, the two 15-minute breaks cannot be used to extend the lunch break or to make up any work time due to arriving later or leaving earlier than scheduled work hours.

#### B. Alternative Work Schedules

Bay Area UASI Management Team staff members may set alternative work schedules—those that do not fit the office’s regular working hours—through a flexible, reduced, or compressed work schedule (e.g., working nine days during a pay period). A request for these alternative work schedules must be made in writing and approved by the General Manager or designee. Staff members may be considered for alternative work schedules after having passed probation or having worked a full-time regular schedule for one year, whichever is later, and must be in excellent standing per their performance evaluations. Approval is subject to management discretion and business needs, and can be revoked at any time by management.

Staff members on any alternative work schedules must work at least during the core office hours of 9 a.m. to 4 p.m., Monday-Thursday, unless otherwise approved by the General Manager or designee. Staff must schedule at least a 30 minute lunch hour each day and cannot use the two 15-minute breaks to reduce work hours or to make up any work time due to arriving later or leaving earlier than scheduled work hours. Staff members on alternative work schedules are responsible for maintaining their full workweek. Further, they should not work more than ten hours during a day without the approval of General Manager or designee.

#### C. Telecommuting

Telecommuting on an ad-hoc or regular basis is not permitted. However, scheduled telecommuting may be permitted in exceptional circumstances for a limited time period. Special circumstances could include a health, family, or other personal situation, and telecommuting arrangements can only be approved for periods of up to six months at a time. Approval is provided by the General Manager or designee, is subject to management discretion and business needs, and can be revoked at any time. To be eligible, a staff person’s position

must be deemed appropriate for telecommuting, and the staff person must be a suitable candidate. In addition, staff must be in excellent standing per their performance review and have worked for a period of at least one year with the Bay Area UASI Management Team and have passed probation. Any telecommuting approved must also be consistent with relevant labor agreements and policies of the employee's home jurisdiction.

#### **D. Work Location**

All work must be completed on-site at the Bay Area UASI Management Team's offices. However, work needs will require many staff members to regularly conduct business elsewhere, such as travelling to meetings located at the sites of partner jurisdictions.

#### **E. Location Reporting**

The Bay Area UASI Management Team uses Microsoft Outlook to schedule its meetings and activities. Staff members who are employees of the City and County of San Francisco Department of Emergency Management are responsible for keeping their Outlook calendars current and making sure they are shared with the entire Management Team staff. Calendars should reflect staff members' locations at all times, since this is the primary method used to locate where staff members are. Staff members should enter all meetings, appointments, vacations, and external work locations in their calendars as they are scheduled. Because not all Management Team staff members are able to access shared calendars, all staff members are also required to input vacations, regional meetings, and other out of office absences that last for more than a half a day into an online master calendar.

#### **F. Attendance and Accounting for Time**

Generally, Bay Area UASI Management Team staff members must account for 80 hours per pay period. All staff persons are expected to proactively communicate with their managers concerning out of office plans that affect deadlines and business operations. If a staff person needs to be out unexpectedly, it is his or her responsibility to contact colleagues and managers as appropriate and ensure commitments for the day will be covered or changed.

The following applies to Management Team staff who are City and County of San Francisco Department of Emergency Management employees:

- **Illness** – If a staff person will be absent due to illness or other unforeseen reason, they must speak to or leave a voice mail message with his or her manager/supervisor by 9:30 AM. If a staff person is sick more than one day, he or she must call in each day. A doctor's note is required after sick leave of five consecutive workdays.

- **Planned Absences** – In addition to vacations and other leave, planned absences include all time-off requested in advance, such as medical appointments, and staff members should make such requests to their manager/supervisor. See next section (“Requesting and Covering Authorized Time Off”).
- **Arriving Late, Taking Time Off During the Day, and Leaving Early** – If a staff person is late by less than 30 minutes from his or her regular arrival time, it is assumed that the staff person will make up the time by working later or shortening his or her lunch period that day, unless the staff person informs his or her manager otherwise. However, the minimum duration of the lunch period is 30 minutes and cannot be shortened further. If the staff person is late 30 minutes or more in the morning or takes an extra 30 minutes or more at lunch or at another time during the day, the staff person must inform his or her manager that day how he or she will account for the time. If the staff person opts not to make up the 30 minutes or more that day, the staff person should charge that time to vacation or other leave.
- **Notification When Arriving Late** – If a staff person is running late in the morning and will arrive more than 30 minutes later than his or her regularly scheduled arrival time, he or she must call his or her manager to inform the manager of his or her estimated arrival time.
- **Holidays** – Legal holidays and floating holidays are counted as eight hours, unless the staff member is on a reduced schedule (working less than 80 hours per pay period).
- ~~**Staff on Compressed Schedules** – On legal and floating holidays, staff members on daily schedules of more than eight hours (compressed schedules) should account for their scheduled hours beyond eight. The additional hour(s) must be recorded as vacation, compensatory time off, or unpaid leave. Those on compressed schedules cannot switch their eight hour day to a legal or floating holiday. Note that floating holidays can be taken in hourly increments and can be used to make up the additional hour. In addition, staff on compressed schedules should not switch their 8-hour day or day off to another day, unless there is a business need and the employee’s request to switch his or her 8-hour day or day off to another day within the pay period is approved in advance by the staff person’s manager/supervisor.~~

## G. Requesting and Covering Authorized Time Off

To request time off, Bay Area UASI Management Team staff members who are City and County of San Francisco Department of Emergency Management employees should email their managers/supervisors with the dates and hours requested. Upon approval, the ~~manager must copy the Administrative Manager for payroll and tracking purposes~~ staff member should input

this information into the PeopleSoft system. Staff members should not purchase plane tickets or make arrangements for travel until time off requests have been approved. Please note that all approved vacations are subject to change depending on the office's needs.

Before staff members leave for authorized time off, they are responsible for:

- Posting their name on the master calendar for the days they will be out of the office;
- Changing their voicemail greeting to state the days that they are out, and including a back-up contact;
- Setting up an automated email outgoing message to reflect that they are out of the office, and including a back up contact; and
- Updating their Outlook calendar.

In addition, prior to scheduled leave, the staff person should meet with his or her direct reports and manager to discuss the status of his or her work and any action plan needed as not to delay work while the staff person is away.

## **H. Overtime**

Staff members must have any compensated overtime preauthorized by management via email. ~~Upon approval, the manager/supervisor must copy the Administrative Manager for payroll and tracking purposes.~~ Credit for overtime, whether on a compensatory or paid basis and at what rate, will be provided in a manner consistent with that staff member's existing labor agreement or home jurisdiction's agreement. Time spent outside the normal work schedule to attend training or professional meetings will be at the expense of the staff member and is not eligible for overtime.

## **I. Jury Duty**

A staff member called for jury duty must inform his or her manager/supervisor as soon as the jury duty notice is received. Staff members will be compensated for their jury service duty, unless otherwise prohibited by their home jurisdiction's policies or existing labor agreements. If a staff member is on a compressed schedule, he or she is compensated for his or her regularly scheduled workday. For example, if the staff member is scheduled to work a nine-hour day, he or she is compensated for nine hours.

If the staff member is released from jury duty early, then the staff member must report back to work for the remaining hours or use leave hours to account for the remaining hours not spent on jury duty. Staff members must obtain a document from the court attesting to the number of days that the staff member was on jury duty and submit a copy to the Administrative Manger for payroll and tracking purposes. If the staff person receives a jury duty payment check, he or

she is to submit a copy of the remittance advice to the Administrative Manager so that the staff person's paycheck can be reduced by the amount of the jury duty payment check for jury duty service.

#### J. Time Entry Procedures

Bay Area UASI Management Team staff members who are City and County of San Francisco Department of Emergency Management employees are required to accurately enter their time on a weekly basis using PeopleSoft, a web-based project management/time tracking tool. Such weekly entries include actual time worked as well as vacation days, sick time, legal holidays, and work furlough days. On a monthly basis, all UASI Management Team staff members are required to complete functional timesheets for federal and state grant compliance purposes. These sheets must be signed by the Regional Program Manager and then delivered to ~~d~~ and deliver them to the Grants Management Unit.

#### K. Reimbursing Expenses

During the course of official business, Bay Area UASI Management Team staff members may incur travel or business-related expenses that could be reimbursed. Reimbursable expenses are:

- **Travel Expenses** – Includes lodging, transportation costs, registration or attendance fees, subsistence costs, and other costs reasonably and necessarily incurred when the staff person is required to travel on official business. All travel expenses must be pre-approved per the Bay Area UASI Travel Policy (see Appendix C).
- **Use of Personal Vehicle & Mileage Reimbursement Rates** – see next section.
- **Other Expenses** – Includes ground transportation, parking fees, bridge tolls, necessary business telephone charges, copying charges, and business-related internet access.

To seek reimbursement for business expenses, the staff person completes an Expense Voucher (see Appendix D), provides original receipts, and forwards the report to his or her manager/supervisor for review and approval. The manager then forwards the voucher to the Grants Management Unit for review and processing. Staff members must submit such requests no more than 30 days from the date costs were incurred or the return from travel. Reimbursement requests that are late, deemed unreasonable or improper, or with incomplete documentation will be denied.



## L. Use of Personal Car for Official Business

Bay Area UASI Management Team staff members may use privately-owned automobiles to conduct day-to-day official business, such as travelling to sites of partner jurisdictions for meetings. Staff will be compensated for such use based on the actual number of miles traveled. In addition, staff may also be paid for all necessary parking and toll expenses. If travel is to destinations outside the general region or includes an overnight stay, airfare, or a need for advanced funds, please see the Bay Area UASI Travel Policy for guidance (Appendix C).

When using a personal vehicle for official business, all passengers in the vehicle must be on official business of the Bay Area UASI. In all instances, the most direct and cost efficient route must be taken. When multiple staff members are attending the same business activity, they are strongly encouraged to carpool. Staff members who use their personal car on business must have valid driver's licenses and valid vehicle registration and insurance, as required by state law. Staff members must report all accidents involving personal vehicles used on business.

All parking and toll expenses must be documented with receipts. Staff should submit a claim for reimbursement of expenses as soon as possible after incurring the expenses and within 30 days. The following information is required to be included on the staff person's Expense Voucher (see Appendix D):

- Business purpose;
- Starting point (i.e. worksite or home, whichever is the closer of the two);
- Destination;
- Vehicle make, model and license number; and
- Odometer reading, beginning and ending.

In accordance with the fiscal agent's local ordinance (i.e., Section 10.28-1 of the San Francisco Administrative Code), the mileage rate for payments to officers and employees for use of privately owned automobiles in connection with any official duty or service is the rate established by the City and County of San Francisco Controller. The San Francisco Controller's Office currently reimburses mileage at the rate allowed by the Internal Revenue Service as the standard mileage rate for business use of an automobile. A portion of the mileage rate includes compensation for personal automobile insurance expenses. Staff persons who use their personal vehicle for business are responsible for maintaining insurance coverage on that vehicle.

Please note that:

- Mileage is reimbursed when using a personal vehicle, fuel is not reimbursed.
- Personal expenses such as private vehicle repair and maintenance are not reimbursable.
- Staff members are personally responsible and will not be reimbursed for parking or traffic violations or other penalties for infractions of any law.

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## **M. Use of Public Transportation**

Bay Area UASI Management Team staff members should consider using public transportation whenever possible when travelling to work sites for meetings and otherwise for business purposes. The office will reimburse the cost of fares with receipts (e.g., transfers from local bus systems or copies of BART tickets). However, staff should also consider whether the time spent waiting and using such transportation may exceed the cost of driving or other transportation modes.

## **N. Travel Policy**

The Bay Area UASI has a travel policy that pertains to all Management Team staff members. If business travel is required to destinations outside the general region or includes an overnight stay, airfare, or requires a need for advanced funds, please refer to this policy for guidance (Appendix C). All travel must be approved in advance by the General Manager.

## **O. Professional Appearance and Conduct**

Professional appearance and conduct enhance an organization's credibility, especially to those who have little knowledge of the organization. Accordingly, Bay Area UASI Management Team staff members should dress appropriately when on the job. All staff, moreover, should promote an attitude of professionalism and competence. The office has a Friday casual dress policy. However, staff must take into consideration if they have outside meetings, in which cases casual dress may be unsuitable.

## **P. Use of Office Facilities and Security**

Use of the Bay Area UASI Management Team office facilities and equipment is restricted to work-related activities. On occasion, it may be necessary to place and receive personal phone calls. However, staff members must use discretion and keep such calls short and to a minimum.

Staff members are reminded to keep desktops and other working areas as neat as possible. In addition, at the end of each day, all staff should:

- Ensure that they retain confidentiality of reports and correspondence by storing and securing any sensitive items in desk drawers or file cabinets.
- Make sure that they turn off all computers and close windows in their work area.

## Q. Employee Identification Badge

Pursuant to the personnel policy and procedure of the Department of Emergency Management (DEM), San Francisco employees of the Bay Area UASI Management Team are required to obtain and carry an employee ID badge in order to gain access to the DEM office, located at 1011 Turk Street, San Francisco, CA.

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## **R. Contact with the News Media and Elected Officials**

The General Manager should be informed of all work-related contact with elected officials and the news media. Staff members should report to their managers/supervisors all significant contacts with any such persons about ongoing or proposed work, or report directly to the General Manager.

## **S. Office Supplies and Equipment**

The Administrative Manager is responsible for ordering supplies, assisting in maintaining equipment (copier, fax, and printer), distributing mail, and responding to space and facilities requests. Staff members should contact the Administrative Manager to check out laptops, USB sticks, or digital cameras as required for work purposes.

## **T. Information Systems Assistance**

The IT unit at the Department of Emergency Management is responsible for the information systems functions in the office, including computers and associated devices, telephones, network, email, and software. Staff may request assistance through contacting the IT unit.

## **U. Ergonomics**

Bay Area UASI Management Team staff members with ergonomic issues should first review the Ergonomics Policy of the Department Emergency Management, located at 1011 Turk Street, San Francisco, CA. If the policy does not address the staff member's concerns, then he or she should notify his or her manager/supervisor to obtain approval to register with the City and County of San Francisco Department of Public Health for ergonomics training at (415) 554-2736. Once a staff member receives training, it entitles her/him to a free ergonomic evaluation. The evaluation will provide evidence if special equipment is warranted. Special equipment purchases must be submitted for the approval of the General Manager or designee.

## **V. Record Retention**

It is the policy of the Bay Area UASI Management Team to retain all records, documents, and files for five years, unless a longer retention period is needed. Staff members are responsible for managing and retaining complete and accurate documents and records related to their responsibilities. This includes meeting agendas, meeting minutes, progress reports, project

plans and agreements, and interim and final deliverables. They are also required to store information in an organized fashion that is accessible to other members of the Management Team. It is critical that all staff maintain organized and complete records in the shared computer drive.

~~W.~~

~~X.W.~~ Correspondence

~~Y.~~

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~~Z.~~ Correspondence

Copies of all correspondence sent from Bay Area UASI Management Team staff members must be retained by the sender. For email correspondence, records should be retained in the sender's outbox in case copies are later required for reference. For hard copy letters and faxes, staff members are required to scan and save documents in the chron file located at 10 Lombard Street, Suite 410, San Francisco, CA. which can be accessed through the Administrative Manager.

## IV. PROFESSIONAL STANDARDS

### A. Deliverable Quality

Staff members of the Bay Area UASI Management Team are responsible for ensuring that their work deliverables are of high quality and meet stated specifications.

All written products by staff members—including Word, Excel, and PowerPoint documents as well as email communications—should be clear, organized, accurate, to the point, and timely. Staff should perform multiple self-edits to ensure documents are free of formatting, grammatical, content, and organizational errors. The “second pair of eyes” standard should be applied as a general rule for final deliverables—these should be reviewed by the General Manager or designee before being issued.

Quality standards for Excel files include:

- Setting page breaks, print area, and orientation appropriately so that the document prints out properly and can be easily read;
- Making sure headers and footers are in place;
- Including contact information as appropriate;
- Double checking formulas and calculations; and
- Completing spell check.

There are numerous guides for the preparation and delivery of presentations. At a minimum, staff members should make sure to prepare well in advance. It is also a good practice to do a run through of the presentation for colleagues to practice and obtain feedback. Staff should prepare presentations with relevant technical limitations in mind, such as using a minimum 24 point font so that slides can be easily viewed, and making sure printouts in both color and black and white are clear and understandable.

### B. Meetings

Bay Area UASI Management Team staff members should follow good meeting guidelines when organizing meetings, including:

- Establishing a clear objective prior to each meeting;
- Preparing a clear agenda and distributing it in advance;
- Identifying necessary participants;
- Starting and ending the meeting on time;

- Following the agenda;
- Conducting a meeting summary of major points discussed, decisions reached, and next steps with responsible parties and timeline;
- Creating and distributing minutes; and
- Following up with key stakeholders who were absent.

An often effective way to organize an agenda is by update items, decision items, and next steps. An RSVP should be required for meetings that cannot be effective without all participants.

Most meetings that involve decision making and assignment of next step responsibilities should be documented with meeting minutes/notes. Minutes should be prepared on a timely basis (ideally within a few days) and distributed to all participants or just key stakeholders to make sure that they are complete and accurate.

### **C. Facilitation, Brainstorming, and Consensus Building**

Bay Area UASI Management Team staff members should develop and apply skills related to facilitation, brainstorming, and consensus building as appropriate to their work responsibilities.

When facilitating, staff members should:

- Ask open-ended questions;
- Listen more and speak less;
- Encourage participation by all attendees;
- Use a problem-solving orientation; and
- Establish and enforce ground rules (e.g., one person speaks at a time, participant's viewpoints are considered, etc.)

When participating in and leading brainstorming efforts, tips for staff members include:

- Supporting the notion that all ideas are good and all viewpoints valid;
- Striving for balanced participation among participants;
- Creating an environment of trust; and
- Making sure only one person speaks at one time.

Some meetings have a specific purpose of building consensus around a decision. Guidelines for such meetings include:

- Getting the right people to participate;
- Allowing enough time for discussion;
- Resisting the temptation to come to agreement too quickly;



- Listening;
- Involving everyone, particularly all key stakeholders;
- Being open minded about the decision;
- Guiding the participants to consider the impact of each alternative; and
- Ensuring that all (or a majority) of participants are willing to support the decision or agreement.

#### **D. Leadership**

Leadership is a key soft skill that all Bay Area UASI Management Team staff members should cultivate. Some traits of successful leaders culled from literature on the topic include: flexibility, creativity, initiative, collaboration, enthusiasm, high standards of quality, vision, good judgment, openness to new ideas, conflict resolution, and integrity. There are many leadership styles, including directive, participative, and facilitative. In addition, staff members at all levels should strive to “manage upward”—helping guide upper management on decisions and pushing management appropriately and in a professional manner in order to obtain timely input and approval that keeps work processes moving.

#### **E. Teamwork**

Bay Area UASI Management Team staff members should strive for excellence when leading and participating in teams. Successful teamwork requires, among other things:

- Accountability;
- Communication;
- Transparency;
- Trust;
- Cooperation;
- Clarity of goals and purpose;
- Clearly defined roles and responsibilities;
- Well-defined decision procedures and authority, including delegation;
- Clear channels of communication;
- Problem solving and conflict resolution skills;
- Constructive feedback methods;
- Balanced participation;
- Holding people accountable for results; and
- Valuing of all members and the skills they bring to the team.

Managers/supervisors are encouraged to recognize team and individual accomplishments.

Conflict and disagreement are natural byproducts of highly committed and spirited teams working on challenging issues. Sources of conflict can include different assumptions about the context of the work/project, disagreement on the appropriate strategy or tasks, or disagreement or lack of clarity on goals. Conflict can also emerge from common implementation challenges, including lack of resources, tight schedules, conflicting priorities, changing goals, technical challenges, unclear processes, and personality or interpersonal issues among members. When such conflict arises, team leaders and members should promptly discuss with each other and address the issues to help identify opportunities and options for resolution. Team leaders and members should seek to clarify the source of the conflict, find solutions, and build consensus in order to reduce conflict and maintain effective and efficient work flow processes.

In team dynamics, staff members should also be mindful of different communication styles and personality temperaments. Staff members often need to “flex” their natural style in order to communicate in a way that will be effective with other team members. Some Bay Area UASI staff members have been trained in the DISC or Myers-Briggs temperament typologies. More information on DISC can be obtained from these websites:

- <http://www.myersbriggs.org/>
- <http://changingminds.org/explanations/preferences/disc.htm>

Interpersonal trust among team members promotes creativity, conflict management, empowerment, teamwork, and leadership. A culture of trust is a valuable asset for an organization. Trusting teams begin with trustworthy managers/supervisors, and trustworthy managers are those who exhibit integrity, reliability, fairness, caring, openness, competence, and loyalty.

## **F. Internal Reporting**

All Bay Area Management Team staff members should conduct regularly scheduled and agendaized check-ins with their managers/supervisors and staff to discuss progress on work. The format, content, and frequency of these meetings will be specific to the work tasks under discussion, but a general format to use in such meetings is as follows:

- Accomplishments for the reporting period;
- Challenges for the period and how they are being addressed;
- Progress/deviations on scope, schedule, and budget of projects;
- Expectations for deliverables;
- Needed input on key decisions; and
- Action plan for the next reporting period.

Team leaders should regularly work with team members to ensure that expectations are synchronized as to the above. In addition, team leaders should, as needed, facilitate the communication between team members who own dependent tasks so that successor tasks can begin as soon as possible after predecessor tasks are complete.

## G. Problem Escalation

All Bay Area UASI Management Team staff members are responsible for immediately escalating significant work or project implementation problems to their managers/supervisors, and this may be necessary to do outside of regular check-in meetings. Staff should escalate when a problem:

- Is of high visibility (e.g., could be reported in the press);
- Has the potential to harm relationships with stakeholders;
- Involves a sensitive topic;
- Involves communication to a very senior manager or elected representative;
- Threatens to significantly change scope, schedule, or budget of a project; and/or
- Concerns an issue previously identified as critical and in need of escalation.

*If a staff member is not sure whether or not a problem should be escalated, he or she should err on the side of consultation with management.* In addition, staff members should inform their manager/supervisor when important work or project contacts (such as consultants or team members from other jurisdictions) have not provided timely responses to requests for decisions or information, leading to delays in work implementation. As a general rule, if two communication attempts over the course of several weeks go unheeded, the contact should be considered nonresponsive. In many instances, a shorter time period without a response might be a cause for concern and work delays.

## H. Additional Resources

Bay Area UASI Management Team staff members should utilize the many resources available on the professional standards topics discussed above, as well as other professional standards more specific to their work functions. Some resources are as follows:

- **Project Management** – [The American Management Association \(AMA\) and Project Management Institute offer numerous training courses on all aspects of project management.](#) Some particularly good resources on project management include the *AMA Handbook of Project Management*, *Project Management Step-by-Step*, and *A Guide to the Project Management Body of Knowledge*. ~~The American Management Association and Project Management Institute offer numerous training courses on all aspects of project management.~~

- **Financial Management** – The Government Finance Officers Association (GFOA) provides professional development training opportunities to state and local finance professionals, and features a range of training and professional resources on its website, [www.gfoa.org](http://www.gfoa.org)
- **City and County of San Francisco Department of Human Resources (DHR) – ~~for City and County of San Francisco employees,~~** DHR offers a host of trainings related to work processes of the Bay Area UASI Management Team. Offerings include courses on leadership, communications, writing, presentations, conflict management, and project management:  
<http://www.sfdhr.org/Modules/ShowDocument.aspx?documentid=1859>
- **Homeland Security** – The following websites offer homeland security and emergency response-related training:
  - Texas Engineering Extension Services (TEEX) <http://www.teex.com>
  - Energetic Materials Research and Testing Center (EMRTC)  
<http://respond.emrtc.nmt.edu/>
  - Domestic Preparedness Campus <http://www.teexwmdcampus.com>
  - Homeland 1 <http://www.homeland1.com/homeland-security-education-training/>
  - Bureau of Justice Assistance <http://bjatraining.ncjrs.gov>
  - FEMA Emergency Management Institute Independent Studies  
<http://training.fema.gov/IS/crslst.asp>
  - Center for Homeland Defense and Security-Naval Post Graduate School  
<https://www.chds.us>

## V. ETHICAL PRINCIPLES

### A. Professional Ethics

All staff members of the Bay Area UASI Management Team are required at all times to carry out their roles and responsibilities according to the highest ethical standards. Staff members are bound by all of the rules, procedures, and specific requirements related to ethical and professional behaviors that are promulgated by their respective jurisdictions. Staff members' conduct must be professional and competent, cooperative with partners and stakeholders, and avoid bringing the Bay Area UASI into disrepute or negatively reflecting upon it.

### B. Hatch Act

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

### B.C. Conflicts of Interest

No member of the Bay Area UASI Management Team may use their position for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain for themselves or others, particularly those with whom they have family, business, or other ties.

Bay Area UASI Management Team members must adhere to the following federal standards for avoiding conflicts of interest in grants management and administration. Violations of conflict of interest standards may result in criminal, civil, or administrative penalties.

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

any person or organization with whom he/she is negotiating or has any arrangement concerning prospective employment, has a financial interest, or has less than an arms-length transaction.

In the use of Bay Area UASI funds, all staff must avoid any action that might result in, or create the appearance of:

- Using his or her official position for private gain;
- Giving preferential treatment to any person
- Losing complete independence or impartiality;
- Making an official decision outside official channels; and
- Affecting adversely the confidence of the public in the integrity of the government or the program.

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

#### D. Fraud

All Management Team staff members have a responsibility for fraud prevention and detection concerning the use of grant funds. Most grant fraud includes conflicts of interest, failure to properly support the use of grant funds, and theft. More generally, fraud includes:

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

Staff should immediately report any suspicion of fraud directly to the Bay Area UASI Management Team Chief Financial Officer, the FEMA OIG (Office of the Inspector General) hotline (see FEMA website), and/or the City and County of San Francisco Whistleblower Program (www.sfgov.org/whistleblower).

The Bay Area UASI Chief Financial Officer shall be responsible for investigating fraud in conjunction with local jurisdictions, Cal EMA, FEMA, and/or other parties as appropriate.

Actions taken in the event of fraud may include debarment from receipt of future grant awards, termination of employment, and/or legal recourse.

#### C.E. City and County of San Francisco Ethics Requirements

Bay Area UASI Management Team employees of the City and County of San Francisco Department of Emergency Management come under the jurisdiction of specific requirements related to ethical behavior, including the following:

- San Francisco Ethics Commission regulations;
- Civil Service Commission rules;
- Provisions of the Employee Handbook published by the Department of Human Resources (DHR); and
- All applicable Memoranda of Understanding (MOUs) pertaining to an employee's position classification.

In particular, employees of the City and County of San Francisco should be familiar with and abide by the requirements in the following documents:

- Regulations implementing Proposition E (Conflict of Interest) (refer to, "Pertinent Local Laws" section of the Ethics Commission web page at: [http://www.sfgov.org/site/ethics\\_index.asp](http://www.sfgov.org/site/ethics_index.asp)).
- Ethics Commission Manual, "A Guide to State and Local Laws Governing the Conduct of Public Officials and Employees" (under the "Conflict of Interest" header in the "Pertinent Local Laws" section of the Ethics Commission web page at: [http://www.sfgov.org/site/ethics\\_index.asp](http://www.sfgov.org/site/ethics_index.asp)).
- DHR Employee Handbook, "Conflicts of Interest and Ethical Obligations"
- Civil Service Commission Rule 118, "Conflict of Interest"

#### D.F. Department of Emergency Management Statement of Incompatible Activities

Bay Area UASI Management Team employees of the City and County of San Francisco Department of Emergency Management are subject to the Department of Emergency Management's Statement of Incompatible Activities. The Statement discusses incompatible activities that apply to all staff. The document identifies activities that are incompatible, inconsistent, or in conflict with the duties and mission of the department. This includes:

- **Outside Activities** – Contracting with the City in any capacity, being a registered lobbyist, being employed by a registered lobbyist, or receiving or accepting compensation from a registered lobbyist is strictly prohibited. An employee may not

engage in an outside activity, whether compensated or not, that conflicts with the employee's City duties or when the ability to perform the duty is materially impaired. Additionally, an employee may not engage in outside activities that would cause the employee to be absent from the employee's assignment on a regular basis, or otherwise require a time commitment that is demonstrated to interfere with the employee's performance of the employee's duties. Employees may seek an informal determination from the General Manager whether an outside activity may be incompatible. The employee may also seek an advance written determination from the Department's Executive Director or designee whether a proposed outside activity is incompatible and therefore prohibited.

- **Acceptance of Gifts** – Employees are not permitted to accept any gifts from any entity other than the City for performing services or acts that the employee is expected to render in his or her normal course of duties. In addition, employees are not allowed to accept gifts from other City departments. —Nevertheless, there are specific circumstances in which gifts are considered minimal, and can be accepted:
  1. Voluntary gifts, other than cash, with an aggregate value of \$25 or less per occasion.
  2. Voluntary gifts such as food and drink, without regard to value, to be shared in the office among employees or officers.
  3. Free attendance at a widely attended convention, conference, seminar or symposium.
  
- **Outside Employment** – If it is determined that outside employment is not an incompatible activity, employees should also become familiar with Civil Service Rule 18, which discusses conflict of interest and additional part-time employment for City employees. Employees should ensure that they meet all City rules and regulations before accepting additional part-time employment. It is the policy of the Department that all employees comply with the Civil Service requirement that they report and receive approval for compensated employment outside of their employment with the City. Additionally, employees are prohibited from using City time and resources such as telephones, fax equipment, computers, copying machines, and other materials and supplies for outside employment.

See Appendix E for a full copy of the Statement of Incompatible Activities.



VI. APPENDICES

A. Performance Plan and Appraisal Template

~~Performance Plan  
and  
Appraisal Report~~

~~I. EMPLOYEE IDENTIFICATION INFORMATION~~

<p><del>1. LAST NAME, FIRST NAME, MIDDLE INITIAL</del></p> <p>_____</p>	<p><del>2. JOB CODE NUMBER AND TITLE</del></p> <p>_____</p>	<p><del>3. STATUS</del></p> <p><del><input type="checkbox"/> Permanent (PCS)</del></p> <p><del><input type="checkbox"/> Provisional (TPV)</del></p> <p><del><input type="checkbox"/> Permanent Exempt (PEX)</del></p> <p><del><input type="checkbox"/> Temporary Exempt (TEX)</del></p> <p><del><input type="checkbox"/> Temporary Civil Service (TCS)</del></p> <p><del><input type="checkbox"/> Limited Tenure (Restricted Use) (TLT)</del></p> <p><del><input type="checkbox"/> Non-Civil Service (Restricted Use) (NCS)</del></p>
<p><del>4. WORK LOCATION &amp; DIVISION</del></p> <p>_____</p>	<p><del>5. DEPARTMENT</del></p> <p>_____</p>	<p><del>6. REASON FOR REPORT</del></p> <p><del><input type="checkbox"/> Annual</del></p> <p><del><input type="checkbox"/> Dept. Review Period</del></p> <p><del><input type="checkbox"/> Probationary</del></p> <p><del><input type="checkbox"/> Unscheduled</del></p>
	<p><del>7. REVIEW PERIOD</del></p> <p>_____</p>	<p><del>8. PROBATION START AND END DATE</del></p> <p>_____</p>

## ~~II. EXPLANATIONS OF SECTIONS~~

~~I. EMPLOYEE IDENTIFICATION INFORMATION~~—Basic information about the employee, his/her status, and the review period.

~~II. EXPLANATION OF SECTIONS~~—Basic information about what should be included in each section of the Performance Plan and Appraisal Report.

~~III. PERFORMANCE PLAN: JOB DESCRIPTION~~—A list of the duties and responsibilities based on the job description. Comments may include clarification of job description items, address mid-year progress, and appraise the performance of the duties and responsibilities. If appropriate, the job description may be a source of Key Objectives for the review period.

~~IV. PERFORMANCE PLAN: KEY OBJECTIVES~~—Most important objectives for the review period and comments regarding the appraisal of the performance of the objectives.

### ~~V. APPRAISAL REPORT SUMMARY~~

~~A. Overall Performance Rating~~—Reporting Supervisor's/Manager's rating of the employee's overall performance over the appraisal review period. The purpose of the continuum line is to give supervisors a way to show employees how the supervisor sees their overall performance across the scale.

~~B. Comments Regarding Overall Performance~~—Narrative explanation of the rating of overall performance during the appraisal report review period.

- |  |                                      |  |
|--|--------------------------------------|--|
| ◆ Demonstration of DHR values            | ◆ Attendance And Punctuality         | ◆ Effectiveness Of Working With Others |
| ◆ Overall Performance of Job Description | ◆ Quantity Of Work Performed         | ◆ Use Of Materials And Equipment       |
| ◆ Results of Performance Objectives      | ◆ Quality Of Work Performed          | ◆ Safety                               |
| ◆ Knowledge Of Job                       | ◆ Adaptability To The Work Situation | ◆ Performance Plans                    |
| ◆ Employee's Strengths                   |                                      |  |
| ◆ Achievements                           |                                      |  |

~~In addition to the areas above, the following areas may be addressed for supervisors/managers:~~

- |                                  |                                 |                   |
|----------------------------------|---------------------------------|-------------------|
| ◆ Communication                  | ◆ Planning                      | ◆ Decision Making |
| ◆ Directing and Motivating Staff | ◆ Training and Developing Staff |                   |

### ~~VI. SIGNATURE PAGE~~

~~A. Performance Plan/Key Objectives Sign-Off~~—Signatures of the supervisor and the employee, the date they met to finalize the plan, the signature of the reviewer, and the date of the review.

~~B. Mid-Period Performance Review Meeting~~—Signatures of the supervisor and the employee and the date they met to review progress on the plan.

~~C. Reviewer's Certification~~—Information regarding the reviewer of the report. This is the person who directly supervises the reporting supervisor/manager.

~~— **D. Reporting Supervisor/Manager**— Information regarding the reviewer of the report. This is the person who directly supervises the employee's performance.~~

~~— **E. Employee's Statement**— Employee's opportunity to respond to the PPA Report using a checklist, signature and date. Signing the report only certifies that the employee has read it. It does not indicate, unless marked, that the employee agrees with the report.~~

~~III. PERFORMANCE PLAN: JOB DESCRIPTION~~

~~A. Functional/Working Title: (may be different from Job Code Title)~~

\_\_\_\_\_

~~B. Reports To: (supervisor's or manager's name and title)~~

\_\_\_\_\_

~~C. Work Schedule: (days and hours)~~

\_\_\_\_\_

~~D. Job Description or Competency Model:~~

~~(Combines Job Code Specifications, Job Announcement, and specific job functions, duties, responsibilities)~~

\_\_\_\_\_

\_\_\_\_\_

## ~~IV. PERFORMANCE PLAN: OBJECTIVES~~

<del>KEY OBJECTIVES</del>	<del>RATINGS AND COMMENTS</del> <del>1-Did Not Meet Objective</del> <del>2-Met Objective</del> <del>3-Exceeded Objective</del>
<del>Objective #1</del>	<del>Rating:</del> <del>Reason(s) for Rating:</del>
<del>Objective #2</del>	<del>Rating:</del> <del>Reason(s) for Rating:</del>
<del>Objective #3</del>	<del>Rating:</del> <del>Reason(s) for Rating:</del>
<del>DEPARTMENTAL OBJECTIVES</del>	<del>RATINGS AND COMMENTS</del> <del>1-Did Not Meet Objective</del> <del>2-Met Objective</del> <del>3-Exceeded Objective</del>
<del><b>1. PROFICIENCY:</b> Proficiency in the operating environment.</del>	<del>Rating:</del> <del>Reason(s) for Rating:</del>
<del><b>2. JOB KNOWLEDGE:</b> Understands role and responsibilities. Demonstrates appropriate analytical, organizational, and problem solving skills to perform successfully. Uses job processes appropriately. Employee is adaptable, flexible, and demonstrates ability to learn new job requirements as they arise.</del>	<del>Rating:</del> <del>Reason(s) for Rating:</del>
<del><b>3. MANAGEMENT:</b> Demonstrates effective team building, communication and leadership skills. Assigns work to staff appropriately to maximize team efficiency. Gives clear direction, guidance and constructive feedback to staff. As a</del>	<del>Rating:</del> <del>Reason(s) for Rating:</del>

<p>supervisor, provides orientation and mentoring to employees and completes performance plans and evaluations timely. As a manager, participates constructively in development of work plans, budgets, systems, policies and procedures and organizational efforts.</p>	
<p><del>4. PRODUCTIVITY and RELIABILITY:</del>  Maintains a steady, acceptable level of work output. Completes projects within planned time frames, sets and follows priorities and uses office time conscientiously and efficiently. Maintains good attendance and punctuality, gives proper notice in advance and arranges coverage in case of foreseeable absence. Deals effectively with unexpected increases or decreases in workload.</p>	<p><del>Rating:</del>  _____  Reason(s) for Rating:</p>
<p><del>5. QUALITY OF WORK:</del> Completes work thoroughly, accurately, and according to specifications/standards. Strives for excellence and integrity in work product and services provided.</p>	<p><del>Rating:</del>  _____  Reason(s) for Rating:</p>
<p><del>6. INTERACTION:</del> Displays good interpersonal skills, maintains smooth working relationships and appropriate behavior. Maintains a safe working environment. Accepts and offers constructive criticism in a positive manner. Develops trust and confidence with work contacts. Resolves conflicts. Is responsive and constructive in dealings with work contacts.</p>	<p><del>Rating:</del>  _____  Reason(s) for Rating:</p>
<p><del>7. MOTIVATION and INNOVATION:</del>  Demonstrates a commitment to the goals of the division and contributes to its growth and achievement. Initiates actions independently, requiring minimal supervision. Demonstrates willingness to assist and/or train others. Strives to innovate and improve work processes and outcomes.</p>	<p><del>Rating:</del>  _____  Reason(s) for Rating:</p>
<p><del>8. COMMUNICATION.</del> Demonstrates clear and effective oral and written communication. Produces clear reports, presentations and other communications.</p>	<p><del>Rating:</del>  _____  Reason(s) for Rating:</p>

<p><del>9. <b>Statement of Incompatible Activities:</b> Fully complies with the department's Statement of Incompatible Activities as approved by the Ethics Commission. Compliance includes, but is not limited to: Restrictions on Incompatible Activities; Restrictions on Use of City Resources, City Work Product and Prestige; and Prohibition on Gifts for Assistance with City Services.</del></p>	<p><del>Rating: ____ Reason(s) for Rating:</del></p>
<p><del>10. <b>Use of City and County Property for Business Purposes Only:</b> All City equipment, devices, and materials (i.e., photocopier, telephones, computers, vehicles, stationery, fax machines, etc.) must be used only for conducting City business.</del></p>	<p><del>Rating: ____ Reason(s) for Rating:</del></p>
<p><del>11. <b>DSW Preparedness:</b> Takes all necessary steps to prepare yourself for an emergency, in your capacity as a Disaster Service Workers; provide updated personal contact information to your department so that you can be contacted in the event of an emergency; report in and respond promptly to instructions by the City and/or your department in the event of an emergency; participate in any drills or emergency exercises as notified; and carry out disaster related work assignments as required.</del></p>	<p><del>Rating: ____ Reason(s) for Rating:</del></p>
<p><del>12. <b>DSW Training:</b> Completes DSW and Personal Preparedness training. Completes NIMS training as assigned.</del></p>	<p><del>Rating: ____ Reason(s) for Rating:</del></p>
<p><del>____</del> <del><b>PROFESSIONAL DEVELOPMENT OBJECTIVES</b></del> <del>____</del></p>	<p><del>____</del> <del><b>RATINGS AND COMMENTS</b></del> <del>____</del> <del><b>1-Did Not Meet Objective</b></del> <del>____</del> <del><b>2-Met Objective</b></del> <del>____</del> <del><b>3-Exceeded Objective</b></del></p>
<p><del>1. Obtains training to improve professional skills, with an overall goal of 24 hours per year. In addition, works on the following professional development objectives:</del> <del>____</del></p>	<p><del>Rating: ____ Reason(s) for Rating:</del></p>
<p><del>2. Develops professional skills and contacts by participating in professional organizations, through publications, by conference attendance or other means.</del></p>	<p><del>Rating: ____ Reason(s) for Rating:</del></p>

# ~~V. APPRAISAL REPORT SUMMARY~~

## ~~A. OVERALL PERFORMANCE RATING~~

~~The appraisal report on overall performance should include a consideration of all items in the Job Description, Departmental policies and procedures, and the Performance Plan's Key Objectives for the review period. Circle the appropriate number on the continuum.~~

<del>Did Not Meet Expectations</del>	<del>Met Expectations</del>	<del>Exceeded Expectations</del>
<del>Performance of job duties needs improvement; did not meet many or majority of objectives.</del>	<del>Performed job duties competently and effectively; met the objectives. (Meets Competent and Effective requirement)</del>	<del>Performed job duties with exceptional competence and effectiveness; exceeded the objectives.</del>
<del>1      2      3      4      5      6      7      8      9</del>		

## ~~B. COMMENTS REGARDING OVERALL PERFORMANCE~~

~~Overall performance rating =~~

## ~~C. EMPLOYEE GUIDELINES -- PERFORMANCE PLAN AND APPRAISAL REPORT~~

- ~~Employee should review his/her employee organization's Memorandum of Understanding with the City and County of San Francisco for information that may add to or modify the following list of guidelines.~~
- ~~Employee has the right to read the Performance Plan and Appraisal Report.~~
- ~~Employee has the right to receive a copy of the Performance Plan and Appraisal Report.~~



- ~~4. Employee has the right to discuss the report with the Reporting Supervisor or Manager.~~
- ~~5. Employee has the right to attach a rebuttal to the Performance Appraisal Plan and Report. Unless otherwise provided in the collective bargaining agreement that applies to the employee's Job Code, the rebuttal must be presented within 5 working days of the report date. The rebuttal should only address the items presented in the report. The 5 days may be extended at the discretion of the Reviewer for up to 30 days.~~
- ~~6. Employee has the right to a conference, if requested, with the Reviewer (Reporter's supervisor or manager).~~

VI. SIGNATURE PAGE

**PERFORMANCE PLAN**

A. Performance Plan/Key Objectives Sign-Off

1. REVIEWER SIGNATURE	2. REVIEW DATE	
3. SUPERVISOR SIGNATURE	4. EMPLOYEE SIGNATURE	5. MEETING DATE

B. Mid-Period Performance Review Meeting

1. SUPERVISOR SIGNATURE	2. EMPLOYEE SIGNATURE	3. MEETING DATE
-------------------------	-----------------------	-----------------

**PERFORMANCE APPRAISAL REPORT**

C. Reviewer's Certification

1. NAME, WORK ADDRESS Test	2. JOB CODE NUMBER AND TITLE test	
3. <input type="checkbox"/> I CERTIFY THAT I HAVE REVIEWED THIS REPORT. (Print/Type)		4. SIGNATURE & DATE

D. Reporting Supervisor/Manager

1. NAME, WORK ADDRESS	2. JOB CODE NUMBER AND TITLE	3. DATE OF CONFERENCE WITH EMPLOYEE
		4. SIGNATURE & DATE

E. Employee's Statement

1. <input type="checkbox"/> I AGREE WITH THIS REPORT. <input type="checkbox"/> I DO NOT AGREE WITH THIS REPORT: SECT. _____ NO. _____ <input type="checkbox"/> I HAVE ATTACHED A REBUTTAL. <input type="checkbox"/> I HAVE ATTACHED A REBUTTAL AND REQUEST A CONFERENCE WITH THE REVIEWER.	2. CONFERENCE DATE
	3. SIGNATURE CERTIFIES I HAVE READ THE REPORT <input type="checkbox"/> DECLINED TO SIGN. DATE:

A. Performance Plan and Appraisal Template

# FY 2012-2013

## Performance Plan

### and

## Appraisal Report

### I. EMPLOYEE IDENTIFICATION INFORMATION

<p><u>1. LAST NAME, FIRST NAME, MIDDLE INITIAL</u></p>	<p><u>2. JOB CODE NUMBER AND TITLE</u></p>	<p><u>3. STATUS</u></p> <p><input type="checkbox"/> Permanent (PCS)</p> <p><input type="checkbox"/> Provisional (TPV)</p> <p><input type="checkbox"/> Permanent Exempt (PEX)</p> <p><input type="checkbox"/> Temporary Exempt (TEX)</p> <p><input type="checkbox"/> Temporary Civil Service (TCS)</p> <p><input type="checkbox"/> Limited Tenure (Restricted Use) (TLT)</p> <p><input type="checkbox"/> Non Civil Service (Restricted Use) (NCS)</p>
<p><u>4. WORK LOCATION &amp; DIVISION</u></p> <p><u>711 Van Ness Ave, Ste 420</u> <u>San Francisco, CA 94102</u></p>	<p><u>5. DEPARTMENT</u></p> <p><u>Department of Emergency</u> <u>Management, UASI Division</u></p>	<p><u>6. REASON FOR REPORT</u></p> <p><input type="checkbox"/> Annual</p> <p><input type="checkbox"/> Dept. Review Period</p> <p><input type="checkbox"/> Probationary</p> <p><input type="checkbox"/> Unscheduled</p>
	<p><u>7. REVIEW PERIOD</u></p>	<p><u>8. PROBATION START AND END DATE</u></p>

## II. PERFORMANCE PLAN – JOB DESCRIPTION

### REVIEW OF DUTIES & RESPONSIBILITIES BASED ON JOB DESCRIPTION

<u>Title</u>	
	<u>COMMENTS::</u>

### III. PERFORMANCE PLAN – KEY OBJECTIVES

	<u>COMMENTS:</u>
	<u>COMMENTS:</u>
	<u>COMMENTS:</u>
	<u>COMMENTS:</u>
	<u>COMMENTS:</u>

### DEPARTMENTAL OBJECTIVES

<u>1. PROFICIENCY: Proficiency in the operating environment.</u>	<u>COMMENTS:</u>
<u>2. JOB KNOWLEDGE: Understands role and responsibilities. Demonstrates appropriate analytical, organizational, and problem solving skills to perform successfully. Uses job processes appropriately. Employee is adaptable, flexible, and demonstrates ability to learn new job requirements as they arise.</u>	<u>COMMENTS:</u>
<u>3. MANAGEMENT: Demonstrates effective team-building, communication and leadership skills. Assigns work to staff appropriately to maximize team efficiency. Gives clear direction, guidance and constructive feedback to staff. As a supervisor, provides orientation and mentoring to employees and completes performance plans and evaluations timely. As a manager, participates constructively in development of work plans, budgets, systems, policies and procedures and organizational efforts.</u>	<u>COMMENTS:</u>
<u>4. PRODUCTIVITY and RELIABILITY: Maintains a steady, acceptable level of work output. Completes projects within planned time frames, sets and follows priorities and uses office time conscientiously and efficiently. Maintains good attendance and punctuality, gives proper notice in advance and arranges coverage in case of foreseeable absence. Deals effectively with</u>	<u>COMMENTS:</u>

<p><u>unexpected increases or decreases in workload.</u></p>	
<p><b>5. QUALITY OF WORK:</b> <u>Completes work thoroughly, accurately, and according to specifications/standards. Strives for excellence and integrity in work product and services provided.</u></p>	<p><b><u>COMMENTS:</u></b></p>
<p><b>6. INTERACTION:</b> <u>Displays good interpersonal skills, maintains smooth working relationships and appropriate behavior. Maintains a safe working environment. Accepts and offers constructive criticism in a positive manner. Develops trust and confidence with work contacts. Resolves conflicts. Is responsive and constructive in dealings with work contacts.</u></p>	<p><b><u>COMMENTS:</u></b></p>
<p><b>7. MOTIVATION and INNOVATION:</b> <u>Demonstrates a commitment to the goals of the division and contributes to its growth and achievement. Initiates actions independently, requiring minimal supervision. Demonstrates willingness to assist and/or train others. Strives to innovate and improve work processes and outcomes.</u></p>	
<p><b>8. COMMUNICATION.</b> <u>Demonstrates clear and effective oral and written communication. Produces clear reports, presentations and other communications.</u></p>	
<p><b>9. Statement of Incompatible Activities:</b> <u>Fully comply with the department's Statement of Incompatible Activities as approved by the Ethics Commission. Compliance includes, but is not limited to: Restrictions on Incompatible Activities; Restrictions on Use of City Resources, City Work-Product and Prestige; and Prohibition on Gifts for Assistance with City Services.</u></p>	<p><b><u>COMMENTS:</u></b></p>
<p><b>10. Use of City and County Property for Business Purposes Only:</b> <u>All City equipment, devices, and materials (i.e., photocopier, telephones, computers, vehicles, stationery, fax machines, etc.) must be used only for conducting City business.</u></p>	<p><b><u>COMMENTS:</u></b></p>
<p><b>11. DSW Preparedness:</b> <u>Take all necessary steps to prepare yourself for an emergency, in your capacity as a Disaster Service Worker; provide updated personal contact information to your department so that you can be contacted in the event of an emergency; report in and respond promptly to instructions by the City and/or your department in the event of an emergency; participate in any drills or emergency exercises as notified; and carry out disaster-related work assignments as required.</u></p>	<p><b><u>COMMENTS:</u></b></p>
<p><b>12. DSW Training:</b> <u>Complete DSW and Personal Preparedness training. Complete NIMS training as assigned.</u></p>	<p><b><u>COMMENTS:</u></b></p>

<p><b>14. Compliance with all Departmental Rules, Policies and Procedures:</b> <u>Fully comply with all rules, policies and procedures as defined by your Department.</u></p>	<p><b><u>COMMENTS:</u></b></p>
<p><b><u>PROFESSIONAL DEVELOPMENT</u></b></p>	
<p><u>1. Obtains training to improve professional skills, with an overall goal of 24 hours per year. In addition, works on the following professional development objectives:</u></p>	<p><b><u>COMMENTS:</u></b></p>
<p><u>2. Develops professional skills and contacts by participating in professional organizations, through publications, by conference attendance or other means.</u></p>	<p><b><u>COMMENTS:</u></b></p>

## IV. APPRAISAL REPORT SUMMARY

### A. OVERALL PERFORMANCE RATING

The appraisal report on overall performance should include a consideration of all items in the Job Description, Departmental policies and procedures, and the Performance Plan's Key Objectives for the review period. Circle the appropriate number on the continuum.

<u>Did Not Meet Expectations</u>	<u>Met Expectations</u>	<u>Exceeded Expectations</u>
<u>Performance of job duties needs improvement; did not meet many or majority of objectives.</u>	<u>Performed job duties competently and effectively; met the objectives. (Meets Competent and Effective requirement)</u>	<u>Performed job duties with exceptional competence and effectiveness; exceeded the objectives.</u>
<u>1</u>	<u>2</u>	<u>3</u>

### B. COMMENTS REGARDING OVERALL PERFORMANCE

### C. EMPLOYEE GUIDELINES -- PERFORMANCE PLAN AND APPRAISAL REPORT

1. Employee should review his/her employee organization's Memorandum of Understanding with the City and County of San Francisco for information that may add to or modify the following list of guidelines.
2. Employee has the right to read the Performance Plan and Appraisal Report.
3. Employee has the right to receive a copy of the Performance Plan and Appraisal Report.
4. Employee has the right to discuss the report with the Reporting Supervisor or Manager.
5. Employee has the right to attach a rebuttal to the Performance Appraisal Plan and Report. The rebuttal must be presented within 30 working days of the report date. The rebuttal should only address the items presented in the report.
6. Employee may request a conference, if requested, with the Reviewer (Reporter's supervisor or manager).



## V. SIGNATURE PAGE

### PERFORMANCE PLAN

#### A. Performance Plan/Key Objectives Sign-Off

<u>1. REVIEWER SIGNATURE</u>	<u>2. REVIEW DATE</u>	
<u>3. SUPERVISOR SIGNATURE</u>	<u>4. EMPLOYEE SIGNATURE</u>	<u>5. MEETING DATE</u>

#### B. Mid-Period Performance Review Meeting

<u>1. SUPERVISOR SIGNATURE</u>	<u>2. EMPLOYEE SIGNATURE</u>	<u>3. MEETING DATE</u>
--------------------------------	------------------------------	------------------------

### PERFORMANCE APPRAISAL REPORT

#### C. Reviewer's Certification

<u>1. NAME, WORK LOCATION</u>	<u>2. JOB CODE NUMBER AND TITLE</u>
<u>3. I CERTIFY THAT I HAVE REVIEWED THIS REPORT. (Signature)</u>	
	<u>5. DATE</u>

#### D. Reporting Supervisor/Manager

<u>2. NAME, WORK ADDRESS</u>	<u>2. JOB CODE NUMBER AND TITLE</u>	
<u>3. DATE OF CONFERENCE WITH EMPLOYEE</u>	<u>4. SIGNATURE</u>	<u>5. DATE</u>

#### E. Employee's Statement

<input type="checkbox"/> I AGREE WITH THIS REPORT. <input type="checkbox"/> I DO NOT AGREE WITH THIS REPORT: SECT. _____ NO. _____ <input type="checkbox"/> I HAVE ATTACHED A REBUTTAL. <input type="checkbox"/> I HAVE ATTACHED A REBUTTAL AND REQUEST A CONFERENCE WITH THE REVIEWER.	<u>2. CONFERENCE DATE</u>  <u>3. SIGNATURE CERTIFIES I HAVE READ THE REPORT</u> <input type="checkbox"/> DECLINED TO SIGN. DATE: _____
--	---

## VI. EXPLANATIONS OF SECTIONS

I. EMPLOYEE IDENTIFICATION INFORMATION — Basic information about the employee, his/her status, and the review period.

II. PERFORMANCE PLAN: JOB DESCRIPTION — A list of the duties and responsibilities based on the job description. Comments may include clarification of job description items, address mid-year progress, and appraise the performance of the duties and responsibilities. If appropriate, the job description may be a source of Key Objectives for the review period.

III. PERFORMANCE PLAN: KEY OBJECTIVES – Most important objectives for the review period and comments regarding the appraisal of the performance of the objectives.

### IV. APPRAISAL REPORT SUMMARY

A. Overall Performance Rating — Reporting Supervisor's/Manager's rating of the employee's overall performance over the appraisal review period.

B. Comments Regarding Overall Performance — Narrative explanation of the rating of overall performance during the appraisal report review period.

- |   |   |   |
|---|---|---|
| ◆ <u>Demonstration of Dept values</u>           | ◆ <u>Attendance And Punctuality</u>         | ◆ <u>Effectiveness Of Working With Others</u> |
| ◆ <u>Overall Performance of Job Description</u> | ◆ <u>Quantity Of Work Performed</u>         | ◆ <u>Use Of Materials And Equipment</u>       |
| ◆ <u>Results of Performance Objectives</u>      | ◆ <u>Quality Of Work Performed</u>          | ◆ <u>Safety</u>                               |
| ◆ <u>Knowledge Of Job</u>                       | ◆ <u>Adaptability To The Work Situation</u> | ◆ <u>Performance Plans</u>                    |
| ◆ <u>Employee's Strengths</u>                   |   |   |
| ◆ <u>Achievements</u>                           |   |   |

In addition to the areas above, the following areas may be addressed for supervisors/managers:

- |   |  |                          |
|---|--|--------------------------|
| ◆ <u>Communication</u>                  | ◆ <u>Planning</u>                      | ◆ <u>Decision Making</u> |
| ◆ <u>Directing and Motivating Staff</u> | ◆ <u>Training and Developing Staff</u> |                          |

C. Employee Guidelines — Guidelines for employees regarding the Performance Plan and Appraisal Report.

### V. SIGNATURE PAGE

A. Performance Plan/Key Objectives Sign-Off — Signatures of the supervisor and the employee, the date they met to finalize the plan, the signature of the reviewer, and the date of the review.

B. Mid-Period Performance Review Meeting— Signatures of the supervisor and the employee and the date they met to review progress on the plan.

C. Reviewer's Certification — Information regarding the reviewer of the report. This is the person who directly supervises the reporting supervisor/manager.

D. Reporting Supervisor/Manager --Information regarding the reporting supervisor/manager of the report. This is the person who directly supervises the employee's performance.

E. Employee's Statement – Employee's opportunity to respond to the PPA Report using a checklist, signature and date. Signing the report only certifies that the employee has read it. It does not indicate, unless marked, that the employee agrees with the report.

VI. EXPLANATION OF SECTIONS — Basic information about what should be included in each section of the Performance Plan and Appraisal Report.



~~TOOLS FOR COMPLETING THE FORM USING MICROSOFT WORD.~~

~~1. The following symbol can be copied over the blank box when you want to mark it with a check  or .~~

~~2. The following symbol can be copied over the number when you want to mark it:~~

~~①-②-③-④-⑤-⑥-⑦-⑧-⑨~~

**B. ~~B.~~ Training Request Form**

**BAY AREA UASI MANAGEMENT TEAM  
 TRAINING REQUEST AND EVALUATION FORM**

4. This form is to  
 be completed by the staff person to allow the office to keep a record of all training courses taken by staff.

~~2. Fill out Side A to request training and obtain required approvals. The form will be returned to you with the final decision to approve or deny the training request.~~

~~3. Fill out Side B after the training has been completed.~~

**Staff Person's Name:** \_\_\_\_\_

**COURSE INFORMATION**

**Course Title:** \_\_\_\_\_

**Sponsoring Organization:** \_\_\_\_\_

**Instructor Name:** \_\_\_\_\_

**Training Type (✓ one only):**

- |                                |       |                                       |       |
|--------------------------------|-------|---------------------------------------|-------|
| 1) Participant: Live/Lecture   | _____ | 4) Participant: Self-Study            | _____ |
| 2) Participant: Internet-Based | _____ | 5) Publications (author)              | _____ |
| 3) Participant: Audio/Video    | _____ | 6) Instructor/Lecturer/Session Leader | _____ |

**Subject Matter:** \_\_\_\_\_

**Start Date:** \_\_\_\_\_ **End Date (if >1 day):** \_\_\_\_\_

**REIMBURSEMENT REQUEST**

**Total Cost of Course: \$** \_\_\_\_\_

**Amounts to Be Paid by:**

- |                             |                       |
|-----------------------------|-----------------------|
| 1) Union Funds: \$ _____    | 2) Division: \$ _____ |
| 3) Non-Reimbursed: \$ _____ | 4) Other: \$ _____    |

**Signatures**

Staff Member	Date			
Manager/Supervisor	Date	Approved	Denied	Reason for Denial

CITY & COUNTY OF SAN FRANCISCO • DEPARTMENT OF HUMAN RESOURCES  
PERFORMANCE PLAN AND APPRAISAL REPORT

General Manager	Date	Approved	Denied	Reason for Denial

**EVALUATION INFORMATION**

**1. Why did you choose this course? (✓ one only)**

- Personal Interest \_\_\_\_\_
- Professional Development \_\_\_\_\_
- Required \_\_\_\_\_
- Staff Recommendation \_\_\_\_\_
- Other (please state reason) \_\_\_\_\_

**2. Learning objective stated in course syllabus? (✓ if Yes) \_\_\_\_\_**

**3. To what degree did the course meet your expectations? (✓ one only)**

- Exceeded my expectations \_\_\_\_\_
- Met my expectations \_\_\_\_\_
- Met some, but not all of my expectations \_\_\_\_\_
- Failed to meet my expectations \_\_\_\_\_

**4. What aspects of the training/event did you like?**

**5. What aspects of the training/event did you not like?**

**6. How would you rate the instructor in terms of presentation? (✓ one only)**

- Excellent \_\_\_\_\_ Good \_\_\_\_\_ Average \_\_\_\_\_ Poor \_\_\_\_\_

**7. How would you rate the course in terms of materials? (✓ one only)**

- Excellent \_\_\_\_\_ Good \_\_\_\_\_ Average \_\_\_\_\_ Poor \_\_\_\_\_

**8. How would you rate the instructor in terms of organization? (✓ one only)**

- Excellent \_\_\_\_\_ Good \_\_\_\_\_ Average \_\_\_\_\_ Poor \_\_\_\_\_

**9. Would you recommend this course to other staff? (✓ one only)**

- Highly Recommend \_\_\_\_\_ Recommend \_\_\_\_\_ Not Recommend \_\_\_\_\_



# BAY AREA UASI TRAVEL POLICY

March 2012



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# BAY AREA UASI TRAVEL POLICY

## SCOPE OF THIS MANUAL

### **Policies, Guidelines And Procedures**

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

### **Affected Parties**

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

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

## PURPOSE, OBJECTIVES AND PRINCIPLES

### **Purpose**

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

As a general rule:

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

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

### **Objectives**

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

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

## **Guiding Principles**

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

### **Definition of Official Business**

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

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

### **Prudent Person Standard**

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

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

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

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

### **Occasions for Travel**

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

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

### **Non-occasions for Travel**

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

### **Exception Principles**

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

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

### **Possible Conflict with Labor Agreements or Laws**

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

### **Geographical Categories**

BAUASI travel policies cover three geographical categories:

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

### **Advance Fund Request and Claims Submission**

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

## **Prudent Judgment and Common Sense**

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

## **RESPONSIBILITY AND ENFORCEMENT**

### **Traveler**

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

### **Approval Authority Members and Management Team**

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

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

### **General Manager**

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

### **Chief Financial Officer**

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

## **Grants Management Unit**

The Grants Management Unit is responsible for exercising general oversight for the processing of reimbursement requests in order to ensure consistency with the policies and guidelines set forth in this document. The Grants Management Unit processes claims, including conducting desk audits, and provides timely, accurate reimbursement to claimants. Regular updates to the published travel policies and procedures are provided by the Grants Management Unit.

## **TRAVEL AUTHORIZATION**

### **Obtaining Travel Authorization**

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

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

### **Advance Written Request**

#### **In-State and Out-of –State Travel**

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

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

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

#### **International Travel and Travel to Non-Continental Destinations**

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



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

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

### **Travel Authorization Form**

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

- Date(s) of travel and location;
- Business purpose of travel (training/conference/meeting);
- Estimated expenses including registration fee, cost of air ticket, other transportation costs

(i.e. taxi, shuttle, or car rental), and lodging. Fully itemized detail in accordance with the guidelines in this document must be provided for estimated expenses.

### **Travel Expenses**

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

### **Issuing and Monitoring Travel Advances**

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

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

## **TRAVEL CLAIMS**

### **General Guidelines**

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

### **Submitting and Processing of Travel Expense Vouchers**

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

Grants Management Unit no more than 30 days from return of travel, or 10 days if an advance was issued.

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

### **Reviewing Travel Claims**

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

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

### **Processing Travel Reimbursements**

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

## **TRANSPORTATION**

### **General Guidelines**

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

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

## Use of Vehicles

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

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

- Business purpose for use of vehicle.
- Starting point (i.e. worksite or home, whichever is the closer of the two) and the destination.
- Vehicle make, model and license #. If using City issued vehicle, provide vehicle number.
- Odometer reading, beginning and ending.

## Personal Vehicle

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

Effective ~~July~~ ~~January~~ 1, ~~2011~~2013, the IRS standard mileage rate for business use of an automobile is ~~55~~56.5 cents per mile.

Mileage is reimbursed when using personal vehicle, fuel is not reimbursed. Personal expenses such as private vehicle repair and maintenance are not reimbursable. When using personal vehicle for official business, all passengers in the vehicle must be on official business the BAUASI.

## Vehicle of the Fiscal Agent

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

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

## Rental Car

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

All passengers traveling in a rental vehicle must be on official business of the BAUASI. Car rental is limited to standard compact size vehicle. Midsize vehicle is reimbursable if use is for three people or more, justification provided, and pre-approved in writing by the Chief Financial Officer.

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

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

|

## MODE OF TRAVEL

### Air Travel

Airfare should be booked for economy/coach class only. Business or First class is not reimbursable. Upgrades are not reimbursable. Air ticket must be purchased in advance to take advantage of the most economical fares available. Same day or near travel day ticket purchases are not reimbursable unless approved by the General Manager and properly justified. Air travel itinerary is required to be submitted with travel claim documentation. If airline charges for checked luggage, reimburse the cost of first checked bag only. Additional baggage check-in costs will be reimbursed with justification explaining the business need for extra luggage.

### Mileage for long distances, employee drives instead of flying

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

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

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

### Transportation between worksite/home and airport within SF Bay Area

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

### Transportation during the travel between airport and hotel / conference site

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

## LODGING

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

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

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

### Conference Hotel

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

### Lodging in Excess of Federal Per Diem Rate

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

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

#### **City Not on the CONUS Per Diem Listing**

- If a city is not listed, check to ensure that the county within which it is located is also not listed. On the GSA website there is a link to the National Association of Counties which can help determine the county a destination is located in.
- If the city is not listed, but the county is, then the per diem rate is the rate for that entire county.
- If the city and the county are not listed, then that area is considered to be a Standard CONUS location which is currently \$70 for lodging and \$46 for meals and incidental expenses.

#### **Lodging for Travel Within Local Commuting Area**

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

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

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



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

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

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

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

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

### Conference Provided Meals

- If one or more meals are included as part of a conference registration fee, you should only charge the remaining meals and incidental expense rate from the above chart. A copy of the conference schedule and any other conference information must be attached to the travel claim documentation.
- You cannot claim per diem in lieu of conference provided meals. There are no exceptions allowed.

### Meal and Incidental Per Diem on Travel Days

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

### Incidental Expenses

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

### **Travel In the Local Commuting Area**

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

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

- No meal per diem

### **Other Expenses**

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

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

### Travel Change or Cancellation Fee

- Travel agencies or airlines charge up to \$150 for itinerary changes and cancellation fee when an employee changes or cancels a flight reservation. If this situation arises, the employee must submit written justification explaining the reason/business need for the itinerary change or cancellation, including approval from the Department's Authorized Travel Signatory in order for change/cancellation fee to be reimbursed.
- For a cancelled air ticket, the amount paid is credited to the employee's name.
  - (a) If air ticket was booked through a City travel agency, the Grant Management Unit is responsible for monitoring use of the credit and ensuring use for authorized official business travel only.

#### *(Travel Change or Cancellation Fee cont)*

(b) If booked on-line directly by employee, the City will reimburse for the cancellation fee if justified business reason for cancellation is provided and approved by the Chief Financial Officer. The City will not reimburse for the cancelled air ticket.

### Business Calls, Fax and Internet Usage

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

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

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

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

Type	Examples
Travel/Transportation	<ul style="list-style-type: none"><li>• Unjustified car rental and/or upgrade from standard compact size vehicle.</li><li>• Auto/flight/travel insurance.</li><li>• Air travel ticket higher than coach/economy class.</li><li>• Parking/moving violation tickets or other penalties for infractions of any law, repair of automobiles and towing charges.</li><li>• Passport application fees.</li><li>• Unjustified cancelled travel tickets and change/cancellation costs.</li></ul>

Lodging	<ul style="list-style-type: none"> <li>• Unjustified lodging in excess of federal per diem rate.</li> <li>• Payment for accommodation with friends/relatives.</li> <li>• Unjustified lodging during training/meetings within the nine Bay Area counties.</li> <li>• Hotel movies.</li> <li>• Unjustified internet access.</li> </ul>
Meals	<ul style="list-style-type: none"> <li>• Reimbursement for meals unless travel is overnight and pre-approved as an exception by the Department Head or provided for in employee MOU.</li> <li>• Unjustified meal expenses in lieu of conference provided meals.</li> <li>• Alcoholic beverages.</li> </ul>
Other Expenses	<ul style="list-style-type: none"> <li>• Boarding cost of pets and children during business travel.</li> <li>• Excessive phone calls from hotels when traveling.</li> <li>• Personal laundry/dry cleaning for trips less than 7 days.</li> <li>• <b>Significantly large tips.</b></li> </ul>

## QUESTIONS AND ANSWERS

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

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

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

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

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

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

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

**A:**

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

See "Transportation" section for additional information and requirements.

*Q: Does my lodging receipt need to be itemized?*

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

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

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

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

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

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

**A:** No.

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

**A:** No.

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

**A:** No.

*Q: Is alcohol and/or corkage expense reimbursable?*

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

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

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

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

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

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

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

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

**A:** An employee or traveler may combine personal travel with business travel when pre-approved in writing by the Chief Financial Officer. The BAUASI is responsible only for the official business portion of the trip. When travel on business is extended for personal reasons, before, in between, and/or after official business travel, no personal expenses can be included on the travel expense voucher claim form. The employee or traveler must obtain a quote from approved vendor of the fiscal agent showing the cost of roundtrip ticket for most economical and direct travel to/from the business destination for the dates of official business. This quote will be used for comparison and reimbursement purposes. Employee or traveler must pay for the personal portion of the airfare expense. When combining personal travel with official business travel, there is no reimbursement for lodging, meal per diem, or any other expense incurred before/in between/after the conference/ official business starts /concludes.

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

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

*Q: What does incidental expense per diem include?*

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

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

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

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

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

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

**A:** International travel expenses must be converted to U.S. dollars. Conversion rate should be calculated for the date the expense was incurred. Include proof of the currency exchange rate. Proof can be in the form of (1) receipts obtained by the employee during travel or (2) a copy of

the employee's credit card statement showing the travel expense or (3) a print out from the OANDA.com website or other conversion website using the date shown on the receipt(s).

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

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

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

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



## APPENDICES

A. BAUASI Travel & Expense Authorization

~~B.~~ BAUASI Field Expense Report

B.

## Bay Area UASI Travel & Expense Authorization

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









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**E. E. Statement of Incompatible Activities**



Edwin M. Lee  
Mayor

**Department of Emergency Management**

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Division of Emergency Communications  
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Anne Kronenberg  
Executive Director

**DEPARTMENT OF EMERGENCY MANAGEMENT**  
**STATEMENT OF INCOMPATIBLE ACTIVITIES**

**I. INTRODUCTION**

This Statement of Incompatible Activities is intended to guide officers and employees of the San Francisco Department of Emergency Management ("Department") about the kinds of activities that are incompatible with their public duties and therefore prohibited. For the purposes of this Statement, and except where otherwise provided, "officer" shall mean the executive director ("director"); and "employee" shall mean all employees of the Department.

This Statement is adopted under the provisions of San Francisco Campaign & Governmental Conduct Code ("C&GC Code") section 3.218. Engaging in the activities that are prohibited by this Statement may subject an officer or employee to discipline, up to and including possible termination of employment or removal from office, as well as to monetary fines and penalties. (C&GC Code § 3.242; Charter § 15.105.) Before an officer or employee is subjected to discipline or penalties for violation of this Statement, the officer or employee will have an opportunity to explain why the activity should not be deemed to be incompatible with his or her City duties. (C&GC Code § 3.218.) Nothing in this document shall modify or reduce any due process rights provided pursuant to the officer's or employee's collective bargaining agreement.

In addition to this Statement, officers and employees are subject to Department policies and State and local laws and rules governing the conduct of public officers and employees, including but not limited to:

- Political Reform Act, Cal. Gov't Code § 87100 *et seq.*;
- California Government Code § 1090;
- San Francisco Charter;
- San Francisco Campaign and Governmental Conduct Code ("C&GC Code");
- San Francisco Sunshine Ordinance;
- Applicable Civil Service Rules;
- *California Penal Code § 502*; and
- *California Commission on Peace Officer Standards and Training ("POST")*.

Nothing in this Statement shall exempt any officer or employee from applicable provisions of law, or limit his or her liability for violations of law. Examples provided in this

Statement are for illustration purposes only, and are not intended to limit application of this Statement. Nothing in this Statement shall interfere with the rights of employees under a collective bargaining agreement or Memorandum of Understanding applicable to that employee.

Nothing in this Statement shall be construed to prohibit or discourage any City officer or employee from bringing to the City's and/or public's attention matters of actual or perceived malfeasance or misappropriation in the conduct of City business, or from filing a complaint alleging that a City officer or employee has engaged in improper governmental activity by violating local campaign finance, lobbying, conflicts of interest or governmental ethics laws, regulations or rules; violating the California Penal Code by misusing City resources; creating a specified and substantial danger to public health or safety by failing to perform duties required by the officer's or employee's City position; or abusing his or her City position to advance a private interest.

No amendment to any Statement of Incompatible Activities shall become operative until the City and County has satisfied the meet and confer requirements of State law and the collective bargaining agreement.

If an employee has questions about this Statement, the questions should be directed to the employee's supervisor or to the director. Similarly, questions about other applicable laws governing the conduct of public employees should be directed to the employee's supervisor or the director, although the supervisor or director may determine that the question must be addressed to the Ethics Commission or City Attorney. Employees may also contact their unions for advice or information about their rights and responsibilities under these and other laws.

If a City officer has questions about this Statement, the questions should be directed to the officer's appointing authority, the Ethics Commission or the City Attorney.

## **II. MISSION OF THE DEPARTMENT OF EMERGENCY MANAGEMENT**

*The mission of the Department of Emergency Management is to provide coordination of public safety response systems and to provide emergency fire, police, and medical dispatch services as well as emergency disaster preparedness services that benefit all of San Francisco. (S.F. Administrative Code, Chapter 7.)*

## **III. RESTRICTIONS ON INCOMPATIBLE ACTIVITIES**

This section prohibits outside activities, including self-employment, that are incompatible with the mission of the Department. Under subsection C, an officer or employee may seek an advance written determination whether a proposed outside activity is incompatible and therefore prohibited by this Statement. Outside activities other than those expressly identified here may be determined to be incompatible and therefore prohibited. For an advance written determination request from an employee, if the director delegates the decision-making to a designee and if the designee determines that the proposed activity is incompatible under this Statement, the employee may appeal that determination to the director.

### **A. RESTRICTIONS THAT APPLY TO ALL OFFICERS AND EMPLOYEES**

## 1. ACTIVITIES THAT CONFLICT WITH OFFICIAL DUTIES

No officer or employee may engage in an outside activity (regardless of whether the activity is compensated) that conflicts with his or her City duties. An outside activity conflicts with City duties when the ability of the officer or employee to perform the duties of his or her City position is materially impaired. Outside activities that materially impair the ability of an officer or employee to perform his or her City duties include, but are not limited to, activities that disqualify the officer or employee from City assignments or responsibilities on a regular basis. Unless (a) otherwise noted in this section or (b) an advance written determination under subsection C concludes that such activities are not incompatible, the following activities are expressly prohibited by this section.

*a. No officer or employee may assist or perform the duties of a private investigator, whether or not compensated, other than in the officer's or employee's official capacity.*

*b. No officer or employee may be employed by or provide services in exchange for compensation or anything of value from any entity that provides goods or services to the Department or that has done so in the previous 12 months. This prohibition does not apply to employment of or compensation received by an officer's or employee's spouse or registered domestic partner.*

## 2. ACTIVITIES WITH EXCESSIVE TIME DEMANDS

Neither the director nor any employee may engage in outside activity (regardless of whether the activity is compensated) that would cause the director or employee to be absent from his or her assignments on a regular basis, or otherwise require a time commitment that is demonstrated to interfere with the director's or employee's performance of his or her City duties.

*Example.* An employee who works at the Department's front desk answering questions from the public wants to take time off every Tuesday and Thursday from 2:00 to 5:00 to coach soccer. Because the employee's duties require the employee to be at the Department's front desk during regular business hours, and because this outside activity would require the employee to be absent from the office during regular business hours on a regular basis, the director or his/her designee may, pursuant to subsection C, determine that the employee may not engage in this activity.

## 3. ACTIVITIES THAT ARE SUBJECT TO REVIEW BY THE DEPARTMENT

Unless (a) otherwise noted in this section or (b) an advance written determination under subsection C concludes that such activities are not incompatible, no officer or employee may engage in an outside activity (regardless of whether the activity is compensated) that is subject to the control, inspection, review, audit or enforcement of the Department. In addition to any activity permitted pursuant to subsection C, nothing in this subsection prohibits the following activities: appearing before one's own department on behalf of oneself; filing or otherwise pursuing claims against the City on one's own behalf; running

for City elective office; or making a public records disclosure request pursuant to the Sunshine Ordinance or Public Records Act. Unless (a) otherwise noted in this section or (b) an advance written determination under subsection C concludes that such activities are not incompatible, the following activities are expressly prohibited by this section.

Assistance in Responding to City Bids, RFQs and RFPs. No officer or employee may knowingly provide selective assistance (i.e., assistance that is not generally available to all competitors) to individuals or entities in a manner that confers a competitive advantage on a bidder or proposer who is competing for a City contract. Nothing in this Statement prohibits an officer or employee from providing general information about a bid for a City contract, a Department Request for Qualifications or Request for Proposals or corresponding application process that is available to any member of the public. Nothing in this Statement prohibits an officer or employee from speaking to or meeting with individual applicants regarding the individual's application, provided that such assistance is provided on an impartial basis to all applicants who request it.

**B. RESTRICTIONS THAT APPLY TO EMPLOYEES IN SPECIFIED POSITIONS**

In addition to the restrictions that apply to all officers and employees of the Department, unless (a) otherwise noted in this section or (b) an advance written determination under subsection C concludes that such activities are not incompatible, the following activities are expressly prohibited by this section for individual employees holding specific positions.

[RESERVED.]

**C. ADVANCE WRITTEN DETERMINATION**

As set forth below, an employee of the Department or the director may seek an advance written determination whether a proposed outside activity conflicts with the mission of the Department, imposes excessive time demands, is subject to review by the Department, or is otherwise incompatible and therefore prohibited by section III of this Statement. For the purposes of this section, an employee or other person seeking an advance written determination shall be called "the requestor"; the individual or entity that provides an advance written determination shall be called "the decision-maker."

**1. PURPOSE**

This subsection permits an officer or employee to seek an advance written determination regarding his or her obligations under subsections A or B of this section. A written determination by the decision-maker that an activity is not incompatible under subsection A or B provides the requestor immunity from any subsequent enforcement action for a violation of this Statement if the material facts are as presented in the requestor's written submission. A written determination cannot exempt the requestor from any applicable law.

If an individual has not requested an advance written determination under subsection C as to whether an activity is incompatible with this Statement, and the individual engages in that activity, the individual will not be immune from any subsequent enforcement action

brought pursuant to this Statement.

Similarly, if an individual has requested an advance written determination under subsection C as to whether an activity is incompatible with this Statement, and the individual engages in that activity, the individual will not be immune from any subsequent enforcement action brought pursuant to this Statement if:

- (a) the requestor is an *employee* who has not received a determination under subsection C from the decision-maker, and 20 working days have not yet elapsed since the request was made; or
- (b) the requestor is an *officer* who has not received a determination under subsection C from the decision-maker; or
- (c) the requestor has received a determination under subsection C that an activity is incompatible.

In addition to the advance written determination process set forth below, the San Francisco Charter also permits any person to seek a written opinion from the Ethics Commission with respect to that person's duties under provisions of the Charter or any City ordinance relating to conflicts of interest and governmental ethics. Any person who acts in good faith on an opinion issued by the Commission and concurred in by the City Attorney and District Attorney is immune from criminal or civil penalties for so acting, provided that the material facts are as stated in the opinion request. Nothing in this subsection precludes a person from requesting a written opinion from the Ethics Commission regarding that person's duties under this Statement.

## 2. THE DECISION-MAKER

Decision-maker for request by an employee: An employee of the Department may seek an advance written determination from the director or his or her designee. The director or his or her designee will be deemed the decision-maker for the employee's request.

Decision-maker for request by the director: The director may seek an advance written determination from his or her appointing authority. The appointing authority will be deemed the decision-maker for the director's request.

## 3. THE PROCESS

The requestor must provide, in writing, a description of the proposed activity and an explanation of why the activity is not incompatible under this Statement. The written material must describe the proposed activity in sufficient detail for the decision-maker to make a fully informed determination whether it is incompatible under this Statement.

When making a determination under this subsection, the decision-maker may consider any relevant factors including, but not limited to, the impact on the requestor's ability to perform his or her job, the impact upon the Department as a whole, compliance with applicable laws and rules and the spirit and intent of this Statement. The decision-maker shall consider all relevant written materials submitted by the requestor. The decision-maker shall also consider whether the written material provided by the requestor is sufficiently

specific and detailed to enable the decision-maker to make a fully informed determination. The decision-maker may request additional information from the requestor if the decision-maker deems such information necessary. For an advance written determination request from an employee, if the director delegates the decision-making to a designee and if the designee determines that the proposed activity is incompatible under this Statement, the employee may appeal that determination to the director.

The decision-maker shall respond to the request by providing a written determination to the requestor by mail, email, personal delivery, or other reliable means. For a request by an employee, the decision-maker shall provide the determination within a reasonable period of time depending on the circumstances and the complexity of the request, but not later than 20 working days from the date of the request. If the decision-maker does not provide a written determination to the employee within 20 working days from the date of the employee's request, the proposed activity will be determined not to violate this Statement.

The decision-maker may revoke the determination at any time based on changed facts or circumstances or other good cause, by providing advance written notice to the requestor. The written notice shall specify the changed facts or circumstances or other good cause that warrants revocation of the advance written determination.

#### **4. DETERMINATIONS ARE PUBLIC RECORDS**

To assure that these rules are enforced equally, requests for advance written determinations and written determinations, including approvals and denials, are public records to the extent permitted by law.

### **IV. RESTRICTIONS ON USE OF CITY RESOURCES, CITY WORK-PRODUCT AND PRESTIGE**

#### **A. USE OF CITY RESOURCES**

No officer or employee may use City resources, including, without limitation, facilities, telephone, computer, copier, fax machine, e-mail, internet access, stationery and supplies, for any non-City purpose, including any political activity or personal purpose. No officer or employee may allow any other person to use City resources, including, without limitation, facilities, telephone, computer, copier, fax machine, e-mail, internet access, stationery and supplies, for any non-City purpose, including any political activity or personal purpose.

Notwithstanding these general prohibitions, any incidental and minimal use of City resources does not constitute a violation of this section. Nothing in this subsection shall be interpreted or applied to interfere with, restrict or supersede any rights or entitlements of employees, recognized employee organizations, or their members under state law or regulation or pursuant to provisions of a collective bargaining agreement to use City facilities, equipment or resources, as defined herein.

*Example.* An officer or employee may use the telephone to make occasional calls to arrange medical appointments or speak with a child care provider, because this is an incidental and minimal use of City resources for a personal purpose.

Nothing in this Statement shall exempt any officer or employee from complying with more restrictive policies of the Department regarding use of City resources, including, without

limitation, the Department's e-mail policy.

#### **B. USE OF CITY WORK-PRODUCT**

No officer or employee may, in exchange for anything of value and without appropriate authorization, sell, publish or otherwise use any non-public materials that were prepared on City time or while using City facilities, property (including without limitation, intellectual property), equipment and/or materials. For the purpose of this prohibition, appropriate authorization includes authorization granted by law, including the Sunshine Ordinance, California Public Records Act, the Ralph M. Brown Act as well as whistleblower and improper government activities provisions, or by a supervisor of the officer or employee, including but not limited to the officer's or employee's appointing authority. Nothing in this subsection shall be interpreted or applied to interfere with, restrict or supersede any rights or entitlements of employees, recognized employee organizations, or their members under state law or regulation or pursuant to provisions of a collective bargaining agreement to use public materials for collective bargaining agreement negotiations.

#### **C. USE OF PRESTIGE OF THE OFFICE**

No officer or employee may use his or her City title or designation in any communication for any private gain or advantage. The following activities are expressly prohibited by this section.

##### **1. USING CITY BUSINESS CARDS**

No officer or employee may use his or her City business cards for any purpose that may lead the recipient of the card to think that the officer or employee is acting in an official capacity when the officer or employee is not.

*Example of inappropriate use.* An employee's friend is having a dispute with his new neighbor who is constructing a fence that the friend believes encroaches on his property. The friend invites the employee over to view the disputed fence. When the neighbor introduces herself, the employee should not hand the neighbor her business card while suggesting that she could help resolve the dispute. Use of a City business card under these circumstances might lead a member of the public to believe that the employee was acting in an official capacity.

*Example of acceptable use.* An employee is at a party and runs into an old friend who has just moved to town. The friend suggests meeting for dinner and asks how to get in touch with the employee to set up a meeting time. The employee hands the friend the employee's business card and says that he can be reached at the number on the card. Use of a City business card under these circumstances would not lead a member of the public to believe that the employee was acting in an official capacity. Nor would use of the telephone to set up a meeting time constitute a misuse of resources under subsection A, above.

##### **2. USING CITY LETTERHEAD, CITY TITLE, OR E-MAIL**

No officer or employee may use City letterhead, City title, City e-mail, or any other City resource, for any communication that may lead the recipient of the communication to think that the officer or employee is acting in an official capacity when the officer or employee is not. (Use of e-mail or letterhead in violation of this section could also violate subsection A of this section, which prohibits use of these resources for any non-City purpose.)

*Example.* An officer or employee is contesting a parking ticket. The officer or employee should not send a letter on City letterhead to the office that issued the ticket contesting the legal basis for the ticket.

### **3. HOLDING ONESELF OUT, WITHOUT AUTHORIZATION, AS A REPRESENTATIVE OF THE DEPARTMENT**

No officer or employee may hold himself or herself out as a representative of the Department, or as an agent acting on behalf of the Department, unless authorized to do so.

*Example.* An employee who lives in San Francisco wants to attend a public meeting of a Commission that is considering a land use matter that will affect the employee's neighborhood. The employee may attend the meeting and speak during public comment, but should make clear that he is speaking in his private capacity and not as a representative of the Department.

## **V. PROHIBITION ON GIFTS FOR ASSISTANCE WITH CITY SERVICES**

State and local law place monetary limits on the value of gifts an officer or employee may accept in a calendar year. (Political Reform Act, Gov't Code § 89503, C&GC Code §§ 3.1-101 and 3.216.) This section imposes additional limits by prohibiting an officer or employee from accepting any gift that is given in exchange for doing the officer's or employee's City job.

No officer or employee may receive or accept gifts from anyone other than the City for the performance of a specific service or act the officer or employee would be expected to render or perform in the regular course of his or her City duties; or for advice about the processes of the City directly related to the officer's or employee's duties and responsibilities, or the processes of the entity they serve.

*Example.* A member of the public who regularly works with and receives assistance from the Department owns season tickets to the Giants and sends a pair of tickets to an employee of the Department in appreciation for the employee's work. Because the gift is given for the performance of a service the employee is expected to perform in the regular course of City duties, the employee is not permitted to accept the tickets.

*Example.* A member of the public requests assistance in resolving an issue or complaint that is related to the City and County of San Francisco, but that does not directly involve the Department. The employee directs the member of the public to the appropriate department and officer to resolve the matter. The member of the public offers the employee a gift in appreciation for this assistance. The employee may not accept the gift, or



anything of value from anyone other than the City, for providing this kind of assistance with City services.

As used in this Statement, the term gift has the same meaning as under the Political Reform Act, including the Act's exceptions to the gift limit. (See Gov't Code §§ 82028, 89503; 2 Cal. Code Regs. §§ 18940-18950.4.) For example, under the Act, a gift that, within 30 days of receipt, is returned, or donated by the officer or employee to a 501(c)(3) organization or federal, state or local government without the officer or employee taking a tax deduction for the donation, will not be deemed to have been accepted. In addition to the exceptions contained in the Act, nothing in this Statement shall preclude an employee's receipt of a bona fide award, or free admission to a testimonial dinner or similar event, to recognize exceptional service by that employee, and which is not provided in return for the rendering of service in a particular matter. Such awards are subject to the limitation on gifts imposed by the Political Reform Act and local law.

In addition, the following gifts are de minimis and therefore exempt from the restrictions on gifts imposed by section V of this Statement:

- i. Gifts, other than cash, with an aggregate value of \$25 or less per occasion; and
- ii. Gifts such as food and drink, without regard to value, to be shared in the office among officers or employees.

*Example.* A member of the public who regularly works with and receives assistance from the Department sends a \$15 basket of fruit to an employee as a holiday gift. Although the fruit may in fact be offered in exchange for performing services that the employee is expected to perform in the regular course of City duties, the employee may accept the fruit because the value is de minimis. (Because the reporting requirement is cumulative, an employee may be required to report even de minimis gifts on his or her Statement of Economic Interests if, over the course of a year, the gifts equal or exceed \$50.)

*Example.* A member of the public who regularly works with and receives assistance from the Department sends a \$150 basket of fruit to the Department as a holiday gift. Although the fruit may in fact be offered in exchange for performing services that the Department is expected to perform in the regular course of City duties, the Department may accept the fruit basket because it is a gift to the office to be shared among officers and employees.

## **VI. AMENDMENT OF STATEMENT**

Once a Statement of Incompatible Activities is approved by the Ethics Commission, the Department may, subject to the approval of the Ethics Commission, amend the Statement. (C&GC Code § 3.218(b).) In addition, the Ethics Commission may at any time amend the Statement on its own initiative. No Statement of Incompatible Activities or any amendment thereto shall become operative until the City and County of San Francisco has satisfied the meet and confer requirements of State law and the collective bargaining agreement.

**F. E.—TOR Template for Seconded Staff**

BAY AREA UASI MANAGEMENT TEAM  
Home Jurisdiction and Department

TERMS OF REFERENCE FOR Name of Staff  
Bay Area UASI San Francisco Title

date

This Terms of Reference document outlines the mutual agreement between the Bay Area UASI Management Team and the Home jurisdiction and department for the full time secondment position of name of staff department and jurisdiction. Name of staff will serve as the title with the Bay Area UASI Management Team.

**1. Performance period:**

Should be at least two years

**2. Work location:**

As business needs dictate – at least two days a week at the Management Team offices for full time positions

**3. Frequency:**

The title is a full time position. It is understandable and accepted that the staff person will continue to have professional duties associated with the home department, such as required certifications, training, as well as coordination (e.g., staff meetings). However, unless unusual circumstances prevail (such as an activation for an emergency), activities that are not directly related to xxx should not typically consume more than approximately 10% of the staff member's regular work hours, based on a 40 hour work week.

**4. Funding:**

Please see the table below for a breakdown of available funding for this position. This table reflects funds for grant eligible and pre-approved activities for this staff position only. Funds tied to particular grant years are no longer available after the performance period of the grant ends.

## **5. Roles and responsibility of Bay Area UASI Management Team:**

(Janell Myhre, Regional Program Manager)

- Conduct weekly check in meetings with the staff member
- Provide oversight to the staff member to ensure successful completion of assigned tasks (see scope of work below)
- Provide information, coaching, support, and other resources to support completion of the scope of work and enhance the professional experience of the staff member
- Verify that the staff member's functional time sheet reflects only grant eligible activities that are related to the **management of xxx**
- Provide performance plan, mid period, and final evaluation information to home department on an annual basis
- Ensure staff member's compliance with the Bay Area UASI Management Team Policies and Procedures Manual

## **6. Roles and responsibility of employee's home department**

**Contact in home department**

- Prepare performance plans, mid-period reviews, and final evaluations in accordance with home department's policies and procedures, incorporating information provided by the Bay Area UASI Management Team
- Allow employee to fulfill the terms of reference as laid out in this document, including working full time for a period of two years. Should unusual circumstances prevail and these terms of reference need to change, notify the Bay Area UASI at least **three** months in advance so that this document may be updated.

## **7. Scope of work:**

## **8. Bay Area UASI Management Team Policies and Procedures Manual**

As an assigned staff person to the Bay Area UASI Management Team, the staff person is expected to comply with the Bay Area UASI Management Team Policies and Procedures Manual unless they are in conflict with specific provisions of existing labor agreements. This manual provides administrative standards, policies, and procedures for Bay Area UASI Management Team staff members, including staffing and personnel procedures, general office procedures, professional standards, and ethical principles.

## **9. Termination**

Assigned Personnel from other member jurisdictions may be terminated from an assignment to the Bay Area UASI Management Team at any time, with or without cause (2011 Bylaws Article VII, section 7.1 (d)). Prior to terminating an assignment on the UASI Management Team, whenever reasonably possible,

the General Manager will contact the Approval Authority Member of the Assigned Personnel not less than 30 days from the termination of assignment date and issue the Assigned Personnel written notice of the termination of assignment ("Termination of Assignment"). Upon receiving the Termination of Assignment, the Approval Authority Member will notify the employee's Supervisor and arrange for the return of the Assigned Employee to the Employing Jurisdiction. The Assigned Personnel will return all equipment and will not have access to the UASI work place premises no later than two weeks from the actual termination date.

## 10. Signatures

Seconded staff

Direct supervisor of seconded staff

Bay Area UASI General Manager

Relevant Approval Authority Member

## **F. MOU Regarding Personal Assigned to the Bay Area UASI Management Team-**

### **~~MEMORANDUM OF UNDERSTANDING REGARDING PERSONNEL ASSIGNED TO THE~~**

### **~~BAY AREA URBAN AREAS SECURITY INITIATIVE (BAY AREA UASI) MANAGEMENT TEAM~~**

~~THIS MEMORANDUM OF UNDERSTANDING, dated \_\_\_\_\_, 20\_\_\_\_ is between the General Manager of the Bay Area UASI Management Team (General Manager), and the County of \_\_\_\_\_ in its capacity as a member of the Approval Authority for the Bay Area UASI ("Employing Jurisdiction"), collectively referred as Parties:~~

### **~~RECITAL~~**

~~WHEREAS, the County of \_\_\_\_\_ is a member of the Bay Area Urban Area Approval Authority ("Approval Authority") and has entered into a Memorandum of Understanding ("2011 MOU") setting forth the objectives, governance structures, responsibilities, and financial arrangements concerning the use, application for, allocation and distribution of UASI grant funds to the Bay Area Urban Area, and establishing the Bay Area UASI Region Approval Authority ("Approval Authority") as the body with oversight of the UASI Program for the Bay Area Urban Area; and,~~

~~WHEREAS, Pursuant to the 2011 MOU and related Bylaws, the General Manager in consultation with the Approval Authority may select individuals for assignment to work full-time on the Bay Area UASI Management Team. Assigned individuals shall be employees of the Approval Authority member jurisdictions (Assigned Personnel);~~

~~WHEREAS, This MOU does not affect the 2011 MOU and related Bylaws and,~~

~~WHEREAS, The Bay Area Approval Authority approved the General Manager's Policies and Procedures Manual setting forth staffing and personnel procedures, general office procedures, professional standards, and ethical principles; and,~~

~~WHEREAS, The Assigned Personnel desires to work on the Bay Area UASI Management Team, and the General Manager, and Approval Authority Member consent to the assignment; and~~

~~WHEREAS, an MOU has been executed setting forth the Assigned Personnel's performance period and termination, scope of work, compensation and benefits, roles and responsibilities of the assigned employee's home jurisdiction, and the roles and responsibilities of the Bay Area UASI Management Team.~~

~~IN CONSIDERATION of the above mentioned, the Parties hereby agree as follows:~~

- ~~1. The Assigned Personnel has read and understands the policies and procedures manual for the Bay Area UASI Management Team.~~
- ~~2. The Assigned Personnel consents to the MOU describing his/her scope of work, including his/her roles and responsibilities.~~
- ~~3. The Assigned Personnel will still be subject to the policies, rules, and procedures of the County of \_\_\_\_\_ ("Employing Jurisdiction").~~
- ~~4. The Assigned Personnel may be removed from the UASI Management Team with or without cause at any time; however, the Employing Jurisdiction retains all power to issue written reprimands or suspensions to Assigned Personnel.~~
- ~~5. On an annual basis, the General Manager will meet with the Approval Authority Member to discuss the performance of the Assigned Personnel.~~
- ~~6. Prior to terminating an assignment on the UASI Management Team, whenever reasonably possible, the General Manager will contact the Approval Authority Member of the Assigned Personnel not less than 30 days from the termination of assignment date and issue the Assigned Personnel written notice of the termination of assignment ("Termination of Assignment"). Upon receiving the Termination of Assignment, the Approval Authority Member will notify the employee's Supervisor and arrange for the return of the Assigned Employee to the Employing Jurisdiction. The Assigned Personnel will return all equipment and will not have access to the UASI work place premises no later than two weeks from the actual termination date. The Approval Authority Member will make a good faith effort to replace the Assigned Personnel with a candidate possessing similar skills and subject matter expertise.~~

Signature of Approval Authority Member \_\_\_\_\_ Signature of General Manager

\_\_\_\_\_

Printed Name \_\_\_\_\_ Printed Name